

## AMENDMENT OF SOLICITATION/MODIFICATION OF CONTRACT

BPA NO.

1 CONTRACT ID CODE

PAGE

1

OF

3

2. AMENDMENT/MODIFICATION NO.

M002

3. EFFECTIVE DATE

4-30-2013

4. REQUISITION/PURCHASE REQ. NO.

CFO-13-034

5. PROJECT NO. (If applicable)

6. ISSUED BY

CODE

3100

U.S. Nuclear Regulatory Commission  
Div. of Contracts  
Attn: Sharon M. Lim  
Mail Stop: TWB-01-B10M  
Washington, DC 20555

7. ADMINISTERED BY (If other than Item 6)

CODE

3100

U.S. Nuclear Regulatory Commission  
Div. of Contracts  
Mail Stop: TWB-01-B10M

Washington, DC 20555

8. NAME AND ADDRESS OF CONTRACTOR (No., street, county, State and ZIP Code)

KELLY, ANDERSON &amp; ASSOCIATES, INC

424 N WASHINGTON ST

ALEXANDRIA VA 223142312

(X)

9A. AMENDMENT OF SOLICITATION NO.

9B. DATED (SEE ITEM 11)

10A. MODIFICATION OF CONTRACT/ORDER NO.

GS23F8077H NRC-HQ-12-F-09-0003

10B. DATED (SEE ITEM 13)

08-17-2012

CODE 161584073

FACILITY CODE

X

## 11. THIS ITEM ONLY APPLIES TO AMENDMENTS OF SOLICITATIONS

☐ The above numbered solicitation is amended as set forth in Item 14. The hour and date specified for receipt of Offers ☐ is extended, ☐ is not extended.

Offers must acknowledge receipt of this amendment prior to the hour and date specified in the solicitation or as amended, by one of the following methods:

(a) By completing Items 8 and 15, and returning \_\_\_\_\_ copies of the amendment; (b) By acknowledging receipt of this amendment on each copy of the offer submitted; or (c) By separate letter or telegram which includes a reference to the solicitation and amendment numbers. FAILURE OF YOUR ACKNOWLEDGMENT TO BE RECEIVED AT THE PLACE DESIGNATED FOR THE RECEIPT OF OFFERS PRIOR TO THE HOUR AND DATE SPECIFIED MAY RESULT IN REJECTION OF YOUR OFFER. If by virtue of this amendment you desire to change an offer already submitted, such change may be made by telegram or letter, provided each telegram or letter makes reference to the solicitation and this amendment, and is received prior to the opening hour and date specified.

12. ACCOUNTING AND APPROPRIATION DATA (If required)

B&amp;R: 2013-7N-51-G-169, Job Code: N7448, BOC: 252A,

Appropriation No: 31X0200, Obligate: \$0.00

NAICS: 541611 Commitment No: 13-18-32

## 13. THIS ITEM APPLIES ONLY TO MODIFICATIONS OF CONTRACTS/ORDERS, IT MODIFIES THE CONTRACT/ORDER NO. AS DESCRIBED IN ITEM 14.

(X) A THIS CHANGE ORDER IS ISSUED PURSUANT TO (Specify authority) THE CHANGES SET FORTH IN ITEM 14 ARE MADE IN THE CONTRACT ORDER NO. IN ITEM 10A

B THE ABOVE NUMBERED CONTRACT/ORDER IS MODIFIED TO REFLECT THE ADMINISTRATIVE CHANGES (such as changes in paying office, appropriation date, etc.) SET FORTH IN ITEM 14. PURSUANT TO THE AUTHORITY OF FAR 43.103(b).

C THIS SUPPLEMENTAL AGREEMENT IS ENTERED INTO PURSUANT TO AUTHORITY OF Mutual Agreement of the Parties

D. OTHER (Specify type of modification and authority)

E. IMPORTANT: Contractor ☐ is not, ☒ is required to sign this document and return 1 copies to the issuing office.

14. DESCRIPTION OF AMENDMENT/MODIFICATION (Organized by UCF section headings, including solicitation/contract subject matter where feasible)

The following changes are hereby incorporated into Task Order No. NRC-HQ-12-F-09-0003:

(SEE ATTACHED CONTINUATION PAGE)

Period of Performance: 8/17/12 - 8/16/13 (Unchanged)

Order Obligation: \$328,724.50 (Unchanged)

Order Ceiling: \$432,000.00 (Changed)

Except as provided herein, all terms and conditions of the document referenced in Item 9A or 10A, as heretofore changed, remains unchanged and in full force and effect.

15A. NAME AND TITLE OF SIGNER (Type or print)

Paul Henne, Managing Principal

16A. NAME AND TITLE OF CONTRACTING OFFICER (Type or print)

Sharon M. Lim  
Contracting Officer

15B. CONTRACTOR/OFFEROR

(Signature of person authorized to sign)

15C. DATE SIGNED

04/29/13

16B. UNITED STATES OF AMERICA

BY Sharon M. Lim  
(Signature of Contracting Officer)

16C. DATE SIGNED

4-30-13

NSN 7540-01-152-9070  
PREVIOUS EDITION NOT USABLESTANDARD FORM 30 (REV 10-83)  
Prescribed by GSA - FAR (48 CFR) 53.243

SUNSI REVIEW COMPLETE

TEMPLATE - ADM001

MAY 02 2013

ADM002

The following changes are hereby incorporated into Task Order No. NRC-HQ-12-F-09-0003:

1. The following changes are hereby incorporated into the Base Year:
  - CLIN 001 – Senior Project Manager – increase the estimated hours by 54 hours from 480 hours to 534, thereby increase the dollar value of CLIN 001 by \$6,750.00 from \$60,000.00 to \$66,750.00
  - CLIN 005 – Technical Writer – increase the estimated hours by 76 hours from 140 hours to 216 hours, thereby increasing the dollar value of CLIN 005 by \$7,548.00 from \$13,860.00 to \$21,408.00.
  - CLIN 021 – Associate 1 – is hereby added to the Base Year with estimated hours of 735 at an hourly rate of \$78.00, thereby resulting in a dollar value of \$57,330.00 for CLIN 021.
2. The following changes are hereby incorporated into Option Year Three:
  - CLIN 017 – Subject Matter Expert III – decrease the estimated hours by 200 hours from 288 hours to 88 hours, thereby decreasing the dollar value of CLIN 017 by \$27,178.00 from \$39,136.32 to \$11,958.32.
  - CLIN 018 – Senior Auditor – decrease the estimated hours by 250 hours from 360 hours to 110 hours, thereby decreasing the dollar value of CLIN 018 by \$31,250.00 from \$45,000.00 to \$13,750.00.
  - CLIN 019 – Staff Auditor – decrease the estimated hours by 120 hours from 120 hours to 0 hours, thereby decreasing the dollar value of CLIN 019 by \$13,200.00 from \$13,200.00 to \$0.00.
3. As a result of Item (1) above, the ceiling of the Base Year is hereby increased by \$71,628.00 from \$360,372.00 to \$432,000.00
4. As a result of Item (2) above, the ceiling for Option Year Three is hereby decreased by \$71,628.00 from \$103,915.32 to \$32,287.32.
5. As a result of Items (1) and (2) above, the current Pricing Schedule (Attachment One to the task order) is hereby deleted and replaced with Attachment One to this document.
6. Delete the current version of the Statement of Work (Attachment Two to the task order) and replace with the revised version contained in Attachment Two to this document.
7. This modification is hereby incorporated into the task order at no additional cost to the Government.

8. All other terms and conditions of Task Order No. NRC-HQ-12-F-09-0003 hereby remain unchanged and in full force and effect.

**Base Year: August 17, 2012 through August 16, 2013**

<u>CLIN</u>	<u>NRC Labor Category</u>	<u>GSA Labor Category</u>	<u>Estimated Hours</u>	<u>Hourly Rate</u>	<u>Total</u>
001	Senior Project Mgr.	Executive Associate	534	\$125.00	\$ 66,750.00
002	Subj. Matter Expert III	Senior Associate 1	800	\$135.89	\$108,712.00
003	Senior Auditor	Senior Associate 2	1,000	\$125.00	\$125,000.00
004	Staff Auditor	Principal Associate 1	480	\$110.00	\$ 52,800.00
005	Technical Writer	Principal Associate 1	216	\$ 99.00	\$ 21,408.00
021	Associate 1	Associate 1	735	\$ 78.00	\$57,330.00

**BASE YEAR TOTAL \$432,000.00****Option Year One: August 17, 2013 through August 16, 2014**

<u>CLIN</u>	<u>NRC Labor Category</u>	<u>GSA Labor Category</u>	<u>Estimated Hours</u>	<u>Hourly Rate</u>	<u>Total</u>
006	Senior Project Mgr.	Executive Associate	117	\$125.00	\$ 14,625.00
007	Subj. Matter Expert III	Senior Associate 1	400	\$135.89	\$ 54,356.00
008	Senior Auditor	Senior Associate 2	500	\$125.00	\$ 62,500.00
009	Staff Auditor	Principal Associate 1	192	\$110.00	\$ 21,120.00
010	Technical Writer	Principal Associate 1	96	\$ 99.00	\$ 9,504.00

**OPTION YEAR ONE TOTAL \$162,105.00****Option Year Two: August 17, 2014 through August 16, 2015**

<u>CLIN</u>	<u>NRC Labor Category</u>	<u>GSA Labor Category</u>	<u>Estimated Hours</u>	<u>Hourly Rate</u>	<u>Total</u>
011	Senior Project Mgr.	Executive Associate	114	\$125.00	\$ 14,250.00
012	Subj. Matter Expert III	Senior Associate 1	384	\$135.89	\$ 52,181.76
013	Senior Auditor	Senior Associate 2	480	\$125.00	\$ 60,000.00
014	Staff Auditor	Principal Associate 1	216	\$110.00	\$ 23,760.00
015	Technical Writer	Principal Associate 1	96	\$ 99.00	\$ 9,504.00

**OPTION YEAR TWO TOTAL \$159,695.76**

**Option Year Three: August 17, 2015 through August 16, 2016**

<u>CLIN</u>	<u>NRC Labor Category</u>	<u>GSA Labor Category</u>	<u>Estimated Hours</u>	<u>Hourly Rate</u>	<u>Total</u>
016	Senior Project Mgr.	Executive Associate	36	\$125.00	\$ 4,500.00
017	Subj. Matter Expert III	Senior Associate 1	88	\$135.89	\$ 11,958.32
018	Senior Auditor	Senior Associate 2	110	\$125.00	\$ 13,750.00
019	Staff Auditor	Principal Associate 1	0	\$110.00	\$ 0.00
020	Technical Writer	Principal Associate 1	21	\$ 99.00	\$ 2,079.00

**OPTION YEAR THREE TOTAL \$ 32,287.32****TASK ORDER TOTAL \$786,088.08**

**Statement of Work****U.S. Nuclear Regulatory Commission  
Office of the Chief Financial Officer  
Division of Planning and Budget****Title: Agency-Wide Programmatic Internal Control Support****1.0 Background**

The U.S. Nuclear Regulatory Commission (NRC) Office of the Chief Financial Officer (OCFO) is responsible for coordination and oversight of the agency's Programmatic Internal Control Program. The NRC is currently improving its Programmatic Internal Control Program by incorporating Federal best-practices.

**2.0 Objective**

Contractor shall provide independent analysis, expert advice, and onsite support to facilitate the implementation of an agency-wide, streamlined, standardized, and improved programmatic internal control framework. The implementation of this framework will help ensure the NRC is in substantial compliance with the Federal Managers' Financial Integrity Act of 1982 (FMFIA), as well as Office of Management and Budget (OMB) and General Accountability Office (GAO) guidelines.

**3.0 Scope of Work****General Requirements**

The Contractor shall provide assistance and expert advice in the implementation of NRC's new programmatic internal control framework, including the development and facilitation of risk assessments, development of internal control plans, memoranda of understanding, communication plans, assistance with the development and facilitation of an internal control working group and senior management internal control team, and shall provide direct, onsite support to NRC management and key staff during the transition to the new framework.

The Contractor shall provide the necessary personnel, equipment, and management, to meet the requirements of this statement of work.

**Specific Scope****Task 1: Kickoff Meeting (Base Period)**

**REQUIREMENT:** The Contractor shall attend a one-time kick-off meeting at the NRC Headquarters in Rockville, MD, to discuss the project plan, milestones, step-by-step details on framework implementation, and due dates.

**DELIVERABLE:** Kick-off meeting shall be held within three (3) working days of task order award.

**Task 2: Project/Framework Implementation Plan (Base Period)**

**REQUIREMENT:** The Contractor shall develop and submit to the Contracting Officer's Representative (COR), a detailed Project/Framework Implementation Plan (Plan), including a step-by-step breakdown of how the framework will be implemented from start to completion.

The Plan shall include a description of the Contractor's approach to implement NRC's new programmatic internal control framework, including the development and facilitation of risk assessments, development of internal control plans, memoranda of understanding among reasonable assurance information sources and the assessable unit manager (business line lead), communication plan to engage NRC management and staff, assistance with the development and facilitation of an internal control working group and senior management internal control team, and its approach to providing onsite support in Rockville, Maryland, to NRC management and key staff during the transition to the new framework.

Using GAO Standards for Internal Control in the Federal Government as a guide, and conforming to FMFIA, OMB Circular A-123, *Management's Responsibility for Internal Control*, and other applicable Federal requirements, the Plan shall also:

- Describe the Contractor's approach for changing from the current framework to the new framework: the tasks to be performed, the methodology for accomplishing the change, and how the benefits will be measured;
- Link the outcomes of the Programmatic Internal Control Program to the agency's mission and strategic objectives;
- Provide a detailed, step-by-step breakdown, both in written format and in Visio process flows, of how the framework will be implemented;
- Use workflow charts, cost-benefit analysis, and other tools, as necessary, to show the effect of the Plan on business processes and human capital management;
- Include a communications plan to engage NRC management and staff; and
- Include the agreed upon milestones and schedule.

The NRC plans to pilot the new framework with three assessable units beginning in Quarter 4 of Fiscal Year (FY) 2012, and fully deploy the framework to the rest of the agency in FY 2013.

According to GAO, any approach that omits the substance of the steps shown in Figure 1 is likely to have material weaknesses. Therefore, the Plan shall address all steps of the GAO risk management framework. (See next page)

**DELIVERABLES:**

- Outline due no later than (NLT) three (3) working days after kick-off meeting.
- Draft Plan due NLT five (5) working days after receipt of approved outline from the COR.
- Final Project/Framework Implementation Plan due NLT five (5) working days after receipt of approved draft plan from the COR. The final project plan shall encompass a detailed, step-by-step procedural breakdown of the new framework's implementation.

The COR may request deliverables be submitted electronically, on CD, and/or in hard copy.

The COR shall reserve the right to request additional information as needed.

NRC Furnished Materials: The COR will provide the assessable unit structure, risk assessment questionnaire used previously, and reasonable assurance certification.

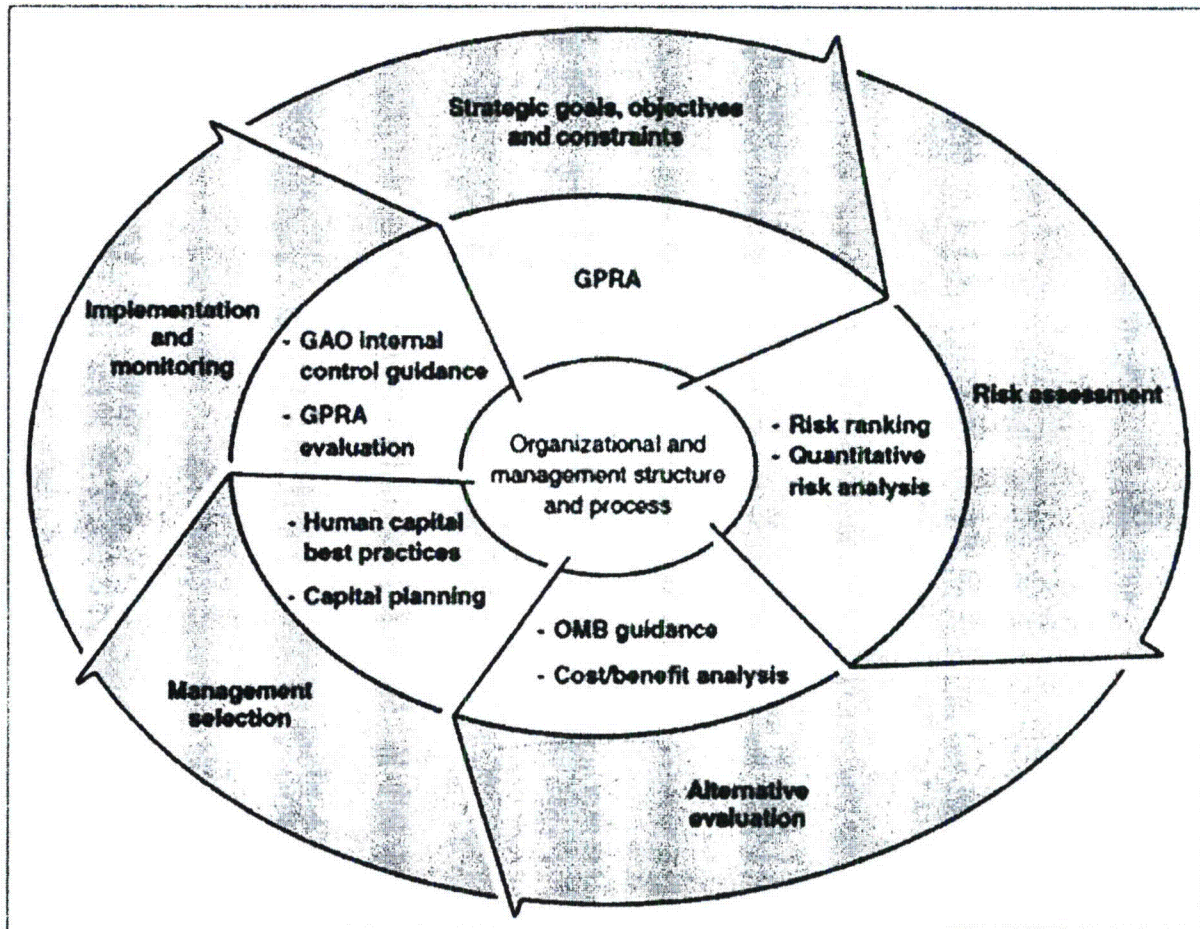


Figure 1: Sources of Evaluation Criteria Associated with Risk Management Phases  
Source: GAO

**Task 3: Provide Support (Onsite and Offsite) for Three NRC Assessable Units Participating in a Pilot of the New Programmatic Internal Control Framework (Base Period)**

**REQUIREMENT:** The Contractor shall provide support (onsite in Rockville, Maryland, and via phone, email, memoranda, presentations, and other vehicles) for three Assessable Units during the pilot program of the new programmatic internal control framework. The Contractor shall be knowledgeable of NRC's mission, performance goals, and business processes.

The Contractor shall provide support to the assessable unit managers, key staff, and COR during the pilot of the new programmatic internal control framework. This support shall include, but not be limited to:



- Drafting memoranda of understanding (MOUs) between assessable unit managers (business line leads) and partner offices/regions, other business line leads, and/or product line owners to ensure that assessable unit managers (business line leads) have the appropriate types and levels of information to support the annual reasonable assurance certification. Gather the information for the MOUs from the assessable unit managers/key staff, partner offices/regions, other business line leads, and/or product line owners as necessary for all three assessable units. Provide a reusable MOU template and a method statement to show how the work was completed;
- Drafting a separate, distinct risk assessment questionnaire for each of the assessable units. The questionnaire shall contain approximately 25 to 50 standard questions and approximately 15 to 25 questions tailored to each assessable unit. Determine the 15 customized questions as a result of interviewing NRC employees with technical expertise and working knowledge of the business processes of the assessable unit. Provide a method statement to show how the work was completed;
- Using each customized risk assessment questionnaire, conduct a facilitated risk assessment with each of the assessable unit managers and key staff; the risk assessment shall address the identification and evaluation of inherent risks to the assessable unit manager and agency's ability to achieve its strategic goals and objectives; identify potential events which may adversely affect desired outcomes; evaluate events based on likelihood of occurrence and impact; identify high risks and a prioritized risk management strategy; identify actions to mitigate or reduce risk based on results of the risk assessments; identify the benefits of managing risk, including a cost-benefits analysis; and define processes for continuous identification and evaluation of inherent risks since governmental, economic, industry, legislative, and operating conditions continually change. Provide a method statement to show how the work was completed;
- Meeting with assessable unit managers and key staff upon the request of the COR to answer questions, interview and obtain information, and provide expertise and guidance during the transition. The NRC estimates approximately 75 onsite meetings of approximately two to four (2 - 4) hours each during the base period of the task order; and
- Reviewing the Internal Control Working Group (ICWG) charter and providing feedback to finalize the charter; supporting the ICWG by preparing agendas, documenting action items, and facilitating meetings as requested by the COR.

**DELIVERABLES:**

- Written review/feedback on charter document for Internal Control Working Group – due two (2) working days after Final Project/Framework Implementation Plan.
- Internal Control Working Group – first meeting to be held NLT September 12, 2012.
- Pilot for assessable unit 1 [includes customized risk assessment questionnaire, facilitated risk assessment, MOUs to support reasonable assurance (as many memos as needed according to the assessable unit managers and key staff), reusable MOU template, and method statement to show how the work was completed] – Pilot 1 to be completed May 10, 2013.
- Visio process flows to illustrate how the complete processes and inputs/outputs of the new internal control framework will function, including what communications are necessary for

the processes to function, who are the sources/recipients, and the respective timeframes – due May 31, 2013.

- Pilot for assessable unit 2 [includes customized risk assessment questionnaire, facilitated risk assessment, MOUs to support reasonable assurance (as many memos as needed according to the assessable unit managers and key staff), and method statement to show how the work was completed] – Pilot 2 to be completed May 10, 2013.
- Pilot for assessable unit 3 [includes customized risk assessment questionnaire, facilitated risk assessment, MOUs to support reasonable assurance (as many memos as needed according to the assessable unit managers and key staff), and method statement to show how the work was completed] – Pilot 3 to be completed May 10, 2013.
- Emphasis: Constructive support (including onsite in Rockville, Maryland) to the three assessable units during the pilot program is an essential component of this task.

The COR may request deliverables be submitted electronically, on CD, and/or in hard copy. The COR shall reserve the right to request additional information as needed.

**Task 4: Rollout - Provide Support (Onsite and Offsite) for Full Implementation of the New Programmatic Internal Control Framework throughout the Rest of NRC (Base Period)**

**REQUIREMENT:** The Contractor shall provide support (onsite in Rockville, Maryland, and via phone, email, memoranda, presentations, and other vehicles) for all remaining Assessable Units (12 units) during the rollout of the new programmatic internal control framework.

Provide support to the assessable unit managers, key staff, and COR during the implementation of the new programmatic internal control framework.

This support shall include, but not be limited to:

- Drafting memoranda of understanding (MOUs) between assessable unit managers (business line leads) and partner offices/regions, other business line leads, and/or product line owners to ensure they have the appropriate types and levels of information to support the annual reasonable assurance certification. Gather the information for the MOUs from the 12 assessable unit managers/key staff, partner offices/regions, other business line leads, and/or product line owners as necessary. Provide a method statement to show how the work was completed;
- Drafting a separate, distinct risk assessment questionnaire for each of the 12 assessable units. The questionnaire shall contain 35 standard questions and 15 questions tailored to each assessable unit. Determine the 15 customized questions as a result of interviewing NRC employees with technical expertise and working knowledge of the business processes of the assessable unit. Provide a method statement to show how the work was completed;
- Conducting a facilitated risk assessment with each of the remaining 12 assessable unit managers and key staff; the risk assessment shall address the identification and evaluation of inherent risks to the assessable unit manager and agency's ability to achieve its strategic goals and objectives; identify potential events which may adversely affect desired outcomes; evaluate events based on likelihood of occurrence and impact; identify high risks and a prioritized risk management strategy; identify the benefits of managing risk, including a cost-benefits analysis; and define processes for continuous identification and evaluation of

inherent risks since governmental, economic, industry, legislative, and operating conditions continually change. Provide a method statement to show how the work was completed;

- Meeting with assessable unit managers and key staff upon the request of the COR to answer questions, interview and obtain information, and provide expertise and guidance during the transition and the FY 2013 reasonable assurance process; and
- Facilitating the Internal Control Working Group and/or attending meetings as requested by the COR.

**DELIVERABLES:**

- Rollout of all remaining assessable units [includes for each unit a customized risk assessment questionnaire, facilitated risk assessment, internal control plan, and MOUs to support reasonable assurance (as many memos as needed according to the assessable unit managers and key staff), and method statement to show how the work was completed] – **Rollout to be completed July 31, 2013.**
- Emphasis: Constructive support to assessable units during implementation and continued support of the three pilot units is an essential component of this task.

**Task 5: Internal Control Plans (plan for each Assessable Unit and an Agency-Wide Plan) (Base Period and Option Periods)**

**REQUIREMENT:** The Contractor shall prepare standardized, comprehensive annual Internal Control Plans for all assessable units and an Agency-Wide Multi-Year Internal Control Plan. To complete this task, the Contractor shall:

- Define a standardized, comprehensive format for the Internal Control plan. The format shall have the same level of detail for all assessable units;
- Populate the Internal Control plans for all assessable units based on information obtained from the assessable unit managers, key staff, and risk assessment information. The plan will be a section of the business line quarterly reporting. Obtain acceptance of the internal control plans from the assessable unit managers; and
- Include a 5-year look-ahead to list any planned internal and external assessments for the next five years. These look-aheads will be used as the basis for the Agency-Wide Multi-Year Internal Control Plan, and therefore each assessable unit needs to have at least one assessment during a 5-year period.

**DELIVERABLES:**

- Internal Control Plan template due July 31, 2013.
- Completed Internal Control plans for all assessable units and method statement to show how the work was completed due July 31, 2013.
- Agency-Wide Multi-Year Internal Control Plan, populated with information from the assessable unit plans and risk assessments, and method statement to show how the work was completed due July 31, 2013.

**Task 6: Project Status Reports (Base Period and Option Periods)**

**REQUIREMENT:** The Contractor shall provide the COR and the Contracting Officer (CO) monthly status reports by the 15th calendar day of the each month. The Contractor shall participate in a weekly phone conference on project status.

**DELIVERABLE:** The status report will identify the reporting period, summarize each month's work progress, list monthly spending, total spending to date, and the funds remaining. Any administrative or technical difficulties which may affect the schedule or costs of the project shall be immediately brought to the attention of the COR.

Submit a copy of the status report to the following mailboxes:

David.Holley@nrc.gov

Elizabeth.Bowlin@nrc.gov

Sharon.Lim@nrc.gov

**Task 7: Maintenance after the Implementation is Complete for the New Programmatic Internal Control Framework (Option Periods)**

**REQUIREMENT:** The Contractor shall provide continued support (onsite in Rockville, Maryland, and via phone, email, memoranda, presentations, and other vehicles) to all assessable unit managers, key staff, and COR after the implementation is complete for the new programmatic internal control framework.

This support shall include, but not be limited to:

- Reviewing the Programmatic Senior Assessment Team (PSAT) charter and providing feedback to finalize the charter, preparing agendas, documenting action items, and facilitating meetings as requested by the COR. The PSAT will be comprised of assessable unit managers (business line leads);
- Supporting the ICWG by preparing agendas, documenting action items, and facilitating meetings as requested by the COR;
- Updating the risk assessment questionnaire(s) and the risk assessment(s) if there has been changes to external requirements, new assessable units, adverse occurrences, etc.;
- Updating internal control plans, if requested by the COR;
- Continued status reporting as described in Task 6; and
- Continued support to the COR and assessable unit managers as the agency follows GAO's *Internal Control Management and Evaluation Tool*, GAO-01-1008G (August 2001) to verify and document that:

Mechanisms are in place to identify changes that may affect the agency's ability to achieve its missions, goals, and objectives.

Appropriate policies, procedures, techniques, and control mechanisms have been developed and are in place to ensure adherence to established directives; proper control activities have been developed for each of the agency's activities; and the control activities identified as necessary are actually being applied properly.

Information systems are in place to identify and record pertinent operational information relating to internal and external events. That information is communicated to management and others within the agency who need it and in a form that enables them to carry out their duties and responsibilities efficiently and effectively. Management ensures that effective internal communications take place. It also ensures that effective external communications occur with groups that can affect the achievement of the agency's missions, goals, and objectives. The agency employs various forms of communications appropriate to its needs and manages, develops, and revises its information systems in a continual effort to improve communications.

Agency internal control monitoring assesses the quality of performance over time. It does this by implementing procedures to monitor internal control on an ongoing basis as a part of the process of carrying out its regular activities. It includes ensuring that managers know their responsibilities for internal control and control monitoring. In addition, separate evaluations of internal control are periodically performed and the deficiencies found are investigated. Procedures are in place to ensure that the findings of all audits and other reviews are promptly evaluated, decisions are made about the appropriate response, and actions are taken to correct or otherwise resolve the issues promptly.

**DELIVERABLES:** Task 7 will begin mid-period during Option Year 1, if NRC decides to exercise the option. Near that time, the COR and Contractor shall hold a planning meeting, after which the COR will issue a detailed list of deliverables.

#### **Task 8: Documentation (Base Period)**

**REQUIREMENT:** The Contractor shall develop and submit documentation support, including desktop procedures on the work processes for programmatic internal control at NRC, communications plan following NRC template (See Task 2), and documents necessary for the program as directed by the COR,

**DELIVERABLES:**

- Communications Plan (See Task 2) due May 31, 2013.
- Desktop Procedures Handbook, and process charts and maps due TBD and NLT August 9, 2013.
- Deliverables as necessary to document, communicate, and illustrate the project to update the framework for NRC's Programmatic Internal Control Program – due TBD and NLT August 9, 2013.

The COR may request deliverables be submitted electronically, on CD, and/or in hard copy. The COR shall reserve the right to request additional information as needed.

#### **Task 9: Database (Base Period)**

**REQUIREMENT:** The Contractor shall develop and submit to the COR a database in Microsoft Access to organize the voluminous information gathered during the risk assessment process. Contractor shall work with the COR to develop the requirements for what the final application does, how the forms look, and what is included in the reports. Before proceeding with development, contractor shall request COR's approval of database plan to fit the purpose. Contractor shall use development standards and include all three phases of conceptual, logical, and physical database design.

Contractor shall design the database with attention to the following:

- Performance needs of the application;
- Confidentiality, integrity, and availability of data; and
- Security requirements of the database and user permissions.

Contractor shall ensure that the database:

- Can represent all expected data over time;
- Avoids redundancy and ensures consistency;
- Provides efficient access to data; and
- Supports the maintenance of data integrity over time.

**DELIVERABLES:**

The database plan (to fit the purpose), requirements specification, database, data dictionary, reports, and user guide – due TBD and NLT August 9, 2013.

The COR may request deliverables be submitted electronically, on CD, and/or in hard copy. The COR shall reserve the right to request additional information as needed.

**4.0 Labor Categories/Personnel Qualifications**

It is anticipated that the following labor categories will be required: (1) Senior Project Manager, (2) Subject Matter Expert III, (3) Senior Auditor, (4) Staff Auditor, (5) Technical Writer, and (6) Associate 1. The contractor shall provide personnel that meet the minimum qualifications stated below. All personnel proposed are considered to be key personnel, except the Associate 1 labor category.

(1) Senior Project Manager (PM). The PM shall possess, at a minimum, a four-year degree and shall have five (5) years of project-management-related experience in Government and/or private sector. A business degree and a Project Management Professional (PMP) certification are relevant and will be considered, though they are not required.

(2) Subject Matter Expert III (SME3). The SME3 shall possess, at a minimum, a four-year degree and shall have at least seven (7) years of experience related to risk management and Federal Government programmatic internal controls. The following professional certifications are relevant and will be considered, though they are not required: Certified Public Accountant (CPA), Certified Information Systems Auditor (CISA), Certified Information Security Manager (CISM), Certified Government Financial Manager (CGFM), Certified Internal Auditor (CIA), Certified Government Auditing Professional (CGAP).

(3) Senior Auditor. The Senior Auditor shall possess, at a minimum, a four-year degree and shall have at least seven (7) years of auditing experience.

(4) Staff Auditor (Auditor). The Auditor shall possess a four-year degree and shall have at least five (5) years of experience in auditing, analysis, or accounting.

(5) Technical Writer. The Technical Writer shall have at least five (5) years of experience in preparing, drafting, reviewing, revising, or editing plans, documents, or reports.

(6) Associate 1 (Non-Key Personnel) shall support Task 4, Implementation; Task 6, Status Reports; Task 8, Documentation; and Task 9, Database; all during the Base Period. To use

funds more efficiently, Associate 1 shall process and produce documents and spreadsheets, take notes at informational interview meetings, coordinate calendar items, and provide pertinent support for the program. Associate 1 shall possess a four-year degree and have experience using Microsoft Office (Word, Excel, Access, Outlook) to work with documents, spreadsheets, and databases.

In addition, the Contractor shall prepare a staffing plan that identifies the proposed organizational resources to be dedicated to the effort, including staffing at the task level.

### **5.0 Place of Performance**

Work for this task will be performed primarily at the Contractor's site, using email, telephone, and conference calls to accomplish routine contacts with the COR and NRC staff. However, when required, or at the request of the COR, the Contractor shall travel to the NRC headquarters site to provide hands-on support to NRC managers, staff, and the COR. Such support shall include: facilitation of risk assessments with assessable unit managers; facilitation of internal control working group meetings; interviewing NRC managers and key staff to obtain information necessary to support the development of memoranda of understanding, internal control plans and reasonable assurance certifications.

### **6.0 Deliverables**

Deliverable (for a detailed description of deliverable requirements, see Section 3, Scope of Work)	Due Date
Kick-Off Meeting	Complete
Project/Framework Implementation Plan	Outline Complete Draft Plan Complete Final Plan Complete
Internal Control Working Group (ICWG): Review charter and provide feedback to finalize document	Complete
ICWG: Facilitate the establishment and first meeting	Complete
ICWG: Facilitate meetings	4 ICWG meetings per calendar year
Pilot for Assessable Unit 1	May 10, 2013
Visio process flows	May 31, 2013
Pilot for Assessable Unit 2	May 10, 2013
Pilot for Assessable Unit 3	May 10, 2013

Deliverable (for a detailed description of deliverable requirements, see Section 3, Scope of Work)	Due Date
Communications Plan (See Task 2)	May 31, 2013
Rollout in FY2013 of all remaining Assessable Units (12 units)	July 31, 2013
Template for standardized Internal Control Plan	July 31, 2013
Internal Control Plan for each Assessable Unit (15 units total)	July 31, 2013
Agency-Wide Multi-Year Internal Control Plan	July 31, 2013
Desktop Procedures Handbook; process charts and maps	TBD and NLT August 9, 2013
Database plan (to fit the purpose), requirements specification, database, data dictionary, reports, and user guide	TBD and NLT August 9, 2013
Project Status Report	Monthly – by the 15th calendar day of the following month
Project Status Phone Conference	Weekly

## **7.0 Travel**

Occasional travel to and from the NRC Headquarters facility is required, as discussed previously in this document. The Contractor shall not be reimbursed for any travel under this task order. NRC has four regional offices located throughout the country, and the Contractor is expected to use phone and/or video conferences to obtain information, as needed, from these regional offices.

The NRC estimates approximately 75 onsite meetings of approximately two to four (2 - 4) hours each during the base period of the contract.

## **8.0 NRC Furnished Material**

The COR will provide the Programmatic Internal Control Program framework sponsored by the agency's Executive Committee on Internal Control.

## **9.0 Expected Classification or Sensitivity**

All work under this project is unclassified and not sensitive.

## **10.0 Designation of COR**

### **Primary COR:**

David Holley, PMP, Contracting Officer Representative



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