

**BLANKET PURCHASE AGREEMENT (BPA)**

**Statement of Objectives**

**Records Management**

The General Services Administration (GSA), on behalf of [Insert Agency Name] is planning to issue a Blanket Purchase Agreement (BPA) under the Federal Supply Schedule (FSS) to provide a Comprehensive Digital Records Management capability utilizing primarily Special Item Number (SIN) 51-600, ELECTRONIC RECORDS MANAGEMENT SOLUTIONS for this acquisition. The ordering procedures under FAR Part 8.4 will be followed.

Rather than prescribe all aspects of a solution to industry in a Statement of Work (SOW), we have used a Statement of Objectives (SOO) to define certain basic requirements and constraints that are necessary to meet business, technical, security, and privacy obligations but that are open to a wide variety of alternatives for satisfying agency needs under this BPA. The enclosed solicitation documents include the overarching objectives of this initiative and a list of performance requirements, from both a business and a technical perspective. The solicitation provides information to clearly identify mandatory elements of the solution while also allowing a range of possibilities for providing the agency with flexible and extensible digital records management solutions under the BPA and BPA calls issued against it.

Interested FSS Contractors are invited to complete and submit a written quote utilizing the contents of this solicitation. Written quotes must be submitted in accordance with the procedures outlined in the Request for Quote (RFQ) instructions not later than      PM ET on      , \_\_\_\_.

Enclosure 1 – Request for Quote (RFQ) and Schedule of Prices

Enclosure 2 – Statement of Objectives (SOO) BPA

Enclosure 3 – Statement of Objectives (SOO) CALL 1

Enclosure 4 – Requirements Matrices (Technical and Business Requirements)

**ENCLOSURE 1**  
**SCHEDULE OF PRICES**

**1. ORDER TYPE**

Individual Calls will establish contract types, dependent upon the nature of the work required (e.g., FFP, T&M, and/or LH). Only the labor categories proposed and included in the BPA will be available for use on Calls under this BPA, unless a modification to the BPA is issued. The labor rates and equipment or product prices shall be consistent with those on the underlying GSA Schedule(s) and any discounts established by this BPA.

**2. SCHEDULE OF PRICES**

The following abbreviations are used in this price schedule:

- CLIN: Contract Line Item Number
- NTE: Not-to-Exceed
- OLM: Order Level Materials
- ODC: Other Direct Cost
- FFP: Firm Fixed Price
- T&M: Time and Materials
- LH: Labor Hour

Contractors are strongly encouraged to offer discounts against their schedule rates. The Government reserves the right to issue the BPA and to award BPA calls issued against it without discussions. Therefore, Contractors are requested to submit their best pricing upfront.

**2.1. ESTIMATED PRICES:** The aggregate sum of all Calls awarded under this BPA is estimated at \$70 million over the total five-year period of performance.

**ENCLOSURE 2**  
**STATEMENT OF OBJECTIVES (SOO), BPA**  
**Comprehensive Digital Records Management**

**1.1 INTRODUCTION**

The [Insert Agency Name] and its mission area are pursuing the acquisition of comprehensive digital records management solutions with the objectives of replacing manual, paper-based business processes. [Insert Agency Name] is seeking solutions that provide capabilities for scanning and managing records, both permanent and temporary, end-to-end across the full lifecycle with NARA-compliant electronic records.

This Statement of Objectives (SOO) describes the goals that [Insert Agency Name] expects to achieve with regard to the implementation of comprehensive digital records management capabilities. The solutions under this Blanket Purchase Agreement (BPA) are expected to improve business performance by providing [Insert Agency Name] users with new electronic records capabilities reflecting current industry offerings.

Ultimately, the solutions provided under this BPA will meet industry performance standards, offer the necessary extensibility and scalability to meet [Insert Agency Name] needs, provide state-of-the-art technology that promotes a rich user experience and facilitates user adoption while avoiding service disruption to the maximum practical extent.

**1.2 PURPOSE:** This BPA is being established under the FSS in accordance with FAR part 8.4. A single-award BPA is envisioned against which Calls can be issued on a Firm fixed priced (FFP), Time & Materials (T&M), and Labor Hour (LH) basis. The Government anticipates issuing a series of BPA Calls that will leverage and successively build upon outcomes and achievements that occur as [Insert Agency Name] matures its digital records management capabilities. Work shall be performed in accordance with this agreement and the successful awardee's underlying GSA Schedule(s).

**1.3 DURATION:** The period of performance for this BPA will be for 5-years from date of award, unless the BPA is cancelled or expires. A BPA expires when the Contractor's GSA Schedule which the BPA is predicated upon, expires.

**1.4 OVERARCHING BENEFITS AND CHANGE DRIVERS:**

- **Improved Customer Experience:** Improve customer experience by providing a single source of customer documents across programs and agencies
- **Compliance:** OMB Memorandum M-19-21 sets new targets for all agencies to convert all permanent federal records to electronic forms with appropriate metadata. By the end of CY2019 all permanent records must be managed in electronic format. By the end of CY2022, all permanent records must be managed in electronic format with appropriate metadata; the National Archives and Records Administration (NARA) will stop accepting paper records on that date.
- **Employee Productivity:** Electronic documentation improves staff efficiency and effectiveness to provide better customer service.



- **Potential Cost Savings:** Transition/migration to electronic document management requires significant investment. Expected savings can offset the upfront investment over time.

## 2.1 SCOPE

The scope of this BPA includes all document management and support services required to scan, tag, support SEO, store, access, control and manage digital records along with all necessary technical services to acquire, design, test, implement, secure, operate, and maintain a comprehensive Digital Records Management System (DRMS) with effective internal controls to secure and safeguard electronic records.

The scope includes:

- **Paper-to-Electronic Record Conversion:** Scanning, analyzing, indexing, quality checking, and storing existing paper records as electronic artifacts.
- **Indexing and Searching Engine:** Enables indexing and searching of stored e-records by managing metadata about the records. This is the central engine that controls access and life cycle for all the managed artifacts governed by established policies and procedures.
- **Records Management:** Full lifecycle management support of electronic records in accordance with Federal and agency records management standards and rules.
- **Security & Business Rules:** Access controls applied universally to protect data and enforce business policies. Business rules leveraged by all components to ensure consistency, completeness, and accuracy of metadata.
- **Extensible:** In the future, other systems (using APIs) should be able to read, write, manage and access records to the provided solution of this BPA.

## 2.2 RECORDS MANAGEMENT STANDARDS AND REGULATIONS

Within [Attachment 01](#), the Government has identified the set of reference standards, regulations, and policies that are relevant to and govern the management of records by federal agencies. The latest edition of such will apply to work performed under this BPA.



Attachment 01 -  
Records Management

## 2.3 RECORDS LIST, UNIVERSAL ERM REQUIREMENTS, FILE MAINTENANCE AND DISPOSITION

[Insert Agency Name] has developed a spreadsheet that describes the applicable Universal ERM Requirements ([Attachment 02](#)). For reference, [Insert Agency Name] has developed a spreadsheet that frames the File Plans for NRCS and FSA and lists the descriptions, the disposition, and the disposition authorities applicable to the various records types within these agencies (Records List, [Attachment 03](#)). This is a living document that is expected to change.

For reference, the Government has included within [Attachment 04](#), the NRCS DMS Release 5 Document Type Reference; and within [Attachment 05](#), the FSA File Maintenance and Disposition Manual.

## 2.4 REFERENCE ARCHITECTURE

[Insert Agency Name] has provided a reference architecture that frames the current and desired future-state capabilities for the DRMS. The DRMS Reference Architecture (**Attachment 06**) frames the envisioned target state capabilities and will serve as a basis to support the procurement of design and implementation services to establish DRMS and fulfill comprehensive digital management needs under this BPA.

The first call under this BPA, as detailed in the Call 1 SOO (**Enclosure 3**), includes a pilot for the digitization of records at 15 discrete service center locations and the buildout of the DRMS Middleware with APIs that are necessary to provide the underlying functionality for this initiative. It is anticipated that subsequent BPA Calls will build upon lessons learned and outcomes from this pilot.

The pilot will occur concurrently with the development of the DRMS Middleware and must leverage the existing FMI-DMS for pilot document/record storage. Lessons learned from the pilot will help perfect the ultimate development and configuration of the DRMS Middleware deployed to the target production infrastructure. Inevitably, the FMI-DMS will become a subordinate storage system utilized by the DRMS Middleware. This relationship between the DRMS Middleware with dependent systems, mission delivery applications, and subordinate commercial storage systems is explained within the Reference Architecture.

## 2.5 GLOSSARY

[Insert Agency Name] has provided a Glossary (**Attachment 14**) that provides several terms and their definitions. This is a living document and terms may be added to accommodate for future BPA Calls.

## 3.1 REQUIREMENTS AND OBJECTIVES

**The Digital Records Management (DRM) Technical Requirements and Business Requirements applicable to performance under this BPA are contained in **Enclosure 4** at the end of this document.**

**Additionally, the objectives outlined in this section below frame the overall scope of work to support the DRM objectives that the agency wants to achieve over the next 5 years.**

In support of DRM requirements and as necessary to support awarded Calls issued against this BPA, the Contractor shall:

- **Conduct a kickoff meeting with the [Insert Agency Name]-GSA contracting administration team and agency stakeholders to initiate project(s).**

- **Provide Project Management Resources**
  - Support training, management, and awareness for SAFe agile development practices and procedures
  - Support reporting to leadership and oversight organizations on project/program progress, milestones, delays, risks, spending, and accomplishments
  - Support frequent meetings and interactions within teams, business subject matter experts, leadership; with note taking, conference calls, live presentations, face-to-face meetings
  - Track and update actions, issues, risks, performance for the benefit and awareness for leadership, business, IT staff

#### **OBJECTIVE 1 – PLAN AND CONDUCT RECORDS SCANNING, MEASURE AND REPORT RESULTS**

The Contractor shall provide all labor, equipment, services, and personnel with the skills necessary to support this objective. The scope includes conducting site surveys and assessments; identifying business needs for records management; establishing and implementing streamlined scanning processes to digitize and store records with appropriate metadata in compliance with NARA Universal Requirements. The contractor shall perform records hygiene, including adhering to the disposition scenarios in **Attachment 11**, before, during, and after scanning efforts at each respective field office in a way that minimizes disruption.

The [Insert Agency Name] Mission Area is seeking an intelligent document type recognition and metadata extraction solution that can eliminate most labor needed to prepare scanned or imported documents for storage and can also minimize the human labor needed to develop and maintain the solution.

The [Insert Agency Name] Mission Area requires a bulk scanning and results management workflow solution that can track—at office, batch and page levels—the progress and status of scanning, metadata identifying, quality checking and DRMS storage of records.

The Contractor is expected to apply industry best practices; capture and incorporate lessons learned from one pilot location to the next and in to the future, continuously analyzing results to incorporate process improvements into the tools, techniques, and procedures utilized to satisfy requirements.

#### **OBJECTIVE 2 – TRAIN THE WORKFORCE AND SUPPORT CULTURAL/BUSINESS PROCESS CHANGES**

The Contractor shall provide services and personnel with the necessary skills and experience with implementing and sustaining a comprehensive digital records management training program inclusive of training materials to train agency personnel; facilitate user adoption; and support the cultural and business process shifts from manual, paper-based records to electronic records.

In support of this objective and as necessary to support awarded Calls issued against this BPA, the Contractor shall provide services that support the following objectives:

- Objective 2a – Understanding of general standards and practices for managing and maintaining electronic records.
- Objective 2b - Understanding of naming conventions, file structure, and associated metadata.
- Objective 2c – Understanding of the systems that will be used to automatically upload, download, manage and utilize electronic records.





- Objective 2d – Understanding how to distinguish original records from reference copies.
- Objective 2e – As specified in individual BPA Calls.

### **OBJECTIVE 3 – DEPLOY SOLUTIONS FOR SECURE, EXTENSIBLE, DIGITAL RECORDS MANAGEMENT SYSTEM**

The Contractor shall provide services and personnel with the necessary project management and technical skills to support this objective. The scope includes identifying, acquiring, configuring, designing, developing, and implementing the technical components and for production deployment on appropriate infrastructure with services for a DRMS that can best meet mission requirement and needs. The Contractor shall build/enable APIs, as specified in individual BPA Calls that are compliant with the specifications, dependencies, and designs described in the DRMS Reference Architecture (Attachment 06). The Contractor shall align its development process to the [Insert Agency Name]'s existing scaled-agile framework, practices, and timelines and generate all requisite System Development Lifecycle (SDLC) documentation for review and approval of the Government (see Attachment 07). In performing this work, the Contractor shall adhere to the Risk Management Framework provided at Attachment 08. The [Insert Agency Name] FY2020 Annual Assessment and Authorization is provided for reference at Attachment 09.

The Contractor is expected to apply industry best practices; capture and incorporate lessons learned; incorporate continuous process improvements into the tools, techniques, processes and procedures utilized to satisfy requirements. In support of this objective and as necessary to support the Calls awarded against this BPA, the scope of Contractor services includes but is not limited to:

- Objective 3a – Develop Technical Solutions that comply with the technical specifications, dependencies, and designs described in the DRMS Reference Architecture
- Objective 3b – Prepare Design documentation and attain [Insert Agency Name] mission area Design Approvals
- Objective 3c – Prepare documentation to support attaining an Authority to Test and Authority to Operate.
- Objective 3d – Prepare documentation and technical support to enable API level programmatic interaction with DRMS from mission delivery applications and services
- Objective 3e – Prepare documentation and technical support to enable API level programmatic interaction with DRMS with multiple selected commercial document storage Software products (e.g. Alfresco, FileNet, Box, etc.)
- Objective 3f – Provide documentation and services to enable production level operation and maintenance support of the DRMS deployed in the target infrastructure and maintaining reliable dependent system interactions
- Objective 3g - As specified in individual BPA Calls

In support of these objectives and as necessary to support awarded Calls issued against this BPA, the Contractor shall:

- **Generate and provide System Development Lifecycle (SDLC) documentation for review and approval of the Government, including but not limited to:**
  - Requirements Analysis
  - Epics, Features and User Stories
  - Design documents, Drawings, and Process Diagrams
  - Test Plans, Acceptance Criteria, and Test Results
  - Implementation and Migration Plans
  - Operations and Maintenance documentation
  - Documentation and support for the Assessment and Authorization (A&A) process
  - Information Assurance documentation
  - System Security Plans
  - Continuous Monitoring Plans
- **Provide Post-Implementation Support to Maintain Solutions and Facilitate a Shift To Electronic Records for the agency portfolio of legacy applications/systems**
- **Stand up contractor staff for development, test, and scrum teams.**

Objectives, as necessary to support the Calls awarded against this BPA, are to:

  - Support rapid, cost effective development/modification of the operational system, training system, and support components that meet business user defined thresholds
  - Support as many stretch objectives as are affordable under current contracting capacity
  - Satisfy all Business user defined performance thresholds and clearly demonstrates business value to the mission area subject matter experts
  - Address dependencies between systems, develops solutions that require the minimum number of work-arounds to provide a robust API for programmatic interactions with DRMS
  - Mitigate the risks associated with architectural dependencies between standing up minimum viable product and interactions with dependent/associated systems
  - Support rapid, cost effective modification/upgrade/technology development and configuration using SAFe agile development methodologies
  - Support timely, cost effective configuration/development that ensures access to all required technical data and computer software, and associated license rights
  - Support timely, cost effective creation of security artifacts needed for authority to test (ATT) and authority to operate (ATO)
  - Ensure provided staff have the necessary/required skill sets to fully support development, configuration, installation, deployment, testing a system of components that support business objectives without additional training required

- **Support Digital Signature workflows and capabilities as defined by the agency mission area. In support of M-12 19, Digital Signature is critical to the modernization effort to manage signature in a “Live digital, Die digital environment.” The capabilities needed are as follows:**
  1. Multi-Signature per document
  2. Digital Signature tracking
  3. Signature status (signed, unsigned, partially signed in the case of multiple)
  4. PIV and archival IAW NARA connectivity
  5. Digital signature validation and ability to manage digital signature and wet signatures combined with a document
  6. Unordered signature process

#### **OBJECTIVE 4 – ACHIEVE A COMPREHENSIVE ELECTRONIC RECORDS MANAGEMENT PROGRAM**

The Contractor shall provide services and personnel with the necessary skills and experience with electronic records management to assist [Insert Agency Name] mission area staff in its implementation of a comprehensive digital records management program to support this objective. The Contractor is expected to apply industry best practices; capture and incorporate lessons learned; incorporate continuous process improvements into the business processes and procedures utilized to digitize records and provide technical solutions to satisfy requirements in support of establishing such electronic records management capabilities.

In support of this objective and as necessary to support awarded Calls issued against this BPA, the Contractor shall provide services that support the following:

##### **Records Management Objectives:**

- a. **Directives:** [Insert Agency Name] has the objective of making a cultural change from processes around primarily physical documents to modern electronic services for both our external customers and our staff. The agency uses directives for policy and requires our directives to align to our new organization, address roles and responsibilities (especially for our new electronic systems), and provide the tools for our users to treat our information as organizational assets.
- b. **Records Management Oversight and Compliance:** During hygiene of the offices and after implementation of the systems, the agency requires control and oversight of the records. The agency objective is to create a Records Management oversight and compliance Office in accordance with the [Insert Agency Name] Department Records Management Office’s implementation of the NARA ‘Federal RIM Program Maturity Model,’ hereafter called the RIM CMM. The agency will define the components, offices and divisions included in the scope of the assessment (RIM CMM Step 1). Contractor will perform the following RIM CMM steps:
  - RIM CMM Step 2: Contractor will recommend Assign roles and responsibilities for the assessment.
  - RIM CMM Step 3: Contractor will recommend key personnel and stakeholders. The agency will approve the key personnel and stakeholders. Contractor will coordinate with key personnel and stakeholders in accordance with the RIM CCM.
  - RIM CMM Step 4 and Step 5: Contractor will schedule meetings and run the assessment in accordance with the RIM CMM. The Contractor will provide a preliminary assessment of the RIM CMM score.

- RIM CMM Step 6 and Step 8: Contractor will provide an analysis of the score, including recommendations to the agency Records Management Office and agency leadership. Contractor to provide a briefing of the analysis and the score to the Agency Records Management Office and Agency leadership. Contractor to provide a standard briefing package for Step 6 review of the score with the participants and the Stakeholders. Contractor will schedule and review the score with the participants and the stakeholders, with participation of the Agency Records Management Office.
  - RIM CMM Step 7: Contractor to:
    - Recommend RIM goals,
    - Recommend improvements to achieve the desired goals, and
    - Recommend a strategic plan to implement the improvements over time using Agency's limited Records Management Office resources.
- c. **Records Management Operations Including Disposition**: Agency has the objective to ensure our records are properly managed during our transition from a primarily paper-based operation to a future digitally based operation. Our objective during and after this transition, is to minimize the burden on staff to meet: Controlled Unclassified Information (CUI), Freedom of Information Act (FOIA), Open Government, Open Data, 508 Compliance, NARA Records Management, forms, Cyber-security standards, Privacy (PII), civil discovery rules, geospatial standards, and classified markings. This includes minimizing the burden on staff to meet disposition requirements. Disposition is a comprehensive term that includes both destruction and transfer of Federal records to the National Archives of the United States.
- d. **Office Hygiene Services for physical records**: The Agency objective is to identify our records, classify the records using our Agency records schedules, inventory, ensure scheduled, and perform hygiene of physical records. Contractor will visit Agency offices (see **Attachment 10**, List of Agency Offices) to perform hygiene services. Hygiene objective is for minimal disruption to the field, produce scanned electronic versions back to the user, minimize the return of physical records, and either store or dispose of physical records to reduce the office footprint and move agency business processes from paper to electronic. **Attachment 11** provides disposition scenarios that the contractor shall follow. Disposition will be in accordance with federal laws and guidance, Department and agency directives, and industry best practices, which include both destruction and accessioning options. Scheduling of the Office Hygiene will be coordinated by the federal government to ensure minimal disruption to the field offices during busy periods of the year and cost savings such as coinciding with lease endings. Contractor will provide training and outreach to federal staff in the field so that offices are prepared to carry-on Office Hygiene after the contractor has completed their service.
- **Records identification and scheduling**: The Contractor will ensure records are identified, classified, inventoried, and scheduled. The Contractor will identify and report unscheduled records and records that are improperly scheduled. The contractor will write new schedules ready for the Records Officer to process, so that our schedules are media neutral, address specific systems when appropriate, and align to the new Agency organization. In addition to aligning to evolved business needs, Agency needs the schedules to maximization of use of the GRS and integrate with Department-level schedules as much as is practical.
- e. **Records Management, Electronic Records**: Agency has the objective to receive records in a variety of ways, such as scanning, direct entry, upload, feed from other applications, etc. The



Agency objective is to incorporate viewable and manageable version control and Robust Search Engine Optimization (SEO) and eDiscovery across the enterprise. This may leverage indexing, taxonomy, keywords, and metadata.

- The Contractor will ensure all systems created under this contract are documented against the NARA Universal ERM requirements, including required formats. The documentation must include how the requirements are met through automation, IT administrators, impact to users and requirements of users, and coverage through agency directives.
- Agency records include Social Media and Web data, which must be captured and maintained adequately.

**4.0 DELIVERABLES**

In support of this BPA, the following deliverables are anticipated under the Calls:

|  |  |
|--|--|
| Program Management Plan, inclusive of: <ul style="list-style-type: none"> <li>● Communications Plan</li> <li>● Quality Control Plan (QCP)</li> <li>● Risk Management Plan</li> </ul> | BPA-level deliverable submitted NLT 60 days following award. This is a living document that is updated as program needs evolve.                            |
| Program Management Reviews (PMR) briefing slides   | BPA-level review of contractor performance on awarded calls; typically conducted Quarterly or Semi-Annually with senior leadership and/or key stakeholders |
| Project Plans  | To Be Determined at Order Level  |
| Schedules  | To Be Determined at Order Level  |
| Status Reports   | To Be Determined at Order Level  |
| Briefings  | To Be Determined at Order Level  |
| Meeting Minutes  | To Be Determined at Order Level  |
| Site Verification / Site Assessments   | To Be Determined at Order Level  |
| Reports, Studies, Analyses   | To Be Determined at Order Level  |
| Curriculum / Training Materials  | To Be Determined at Order Level  |
| Design Deliverables and Drawings   | To Be Determined at Order Level  |
| SDLC Lifecycle documentation   | In Accordance with [Insert Agency Name]/Agency SDLC. To Be Determined at Order Level   |
| Bill of Materials (BOM)  | To Be Determined at Order Level  |
| A&A Documentation, Authority to Test, Authority to Operate Deliverables  | In Accordance with applicable IA/Cyber Security policies. To Be Determined at Order Level  |

|                    |  |
|--------------------|--|
| Other Deliverables | As specified at the Order Level in BPA Calls |
|--------------------|--|

## 5.1 REPORTING AND COMMUNICATIONS

In support of this requirement and as necessary to support awarded Calls issued against this BPA, the Contractor shall implement reporting and communications processes that provide timely and accurate information to [Insert Agency Name]/Agency stakeholders and the [Insert Agency Name]-GSA contracting team administering this BPA and Calls awarded against it. This includes, but is not limited to:

- a. Orientation/Post-Award Conference
- b. In-Progress Reviews (IPR)
- c. Status Reports and Status Meetings
- d. Problem Notification Report (PNR)
- e. Contract Discrepancy Report (CDR)

## 6.1 ADMINISTRATIVE CONSIDERATIONS

### 6.2 GOVERNMENT POINTS OF CONTACT (POCs)

The names, title, organizational address, and contact data for government POCs who will administer this BPA and monitor contractor performance are listed below.

It is anticipated that additional agency-level POCs will be identified in Calls issued against the BPA. This is expected to include order-level Contracting Officers, Contracts Specialists and Contracting Officer Representatives (CORs), Technical POCs (TPOCs) and Subject Matter Experts (SMEs), as necessary to award and administer the work performed under this BPA. Roles and responsibilities of such POCs would be addressed during post-award kickoff meetings and technical exchanges at the start of performance of the issued Calls.

#### 6.2.1 Contracting Officer

Insert POC Information

#### 6.2.2 Contract Specialist

Insert POC Information

#### 6.2.3 Project Manager (PM)

Insert POC Information

**6.2.4 [Insert Agency Name] CONTRACTING OFFICER'S REPRESENTATIVE (COR) AND TPOCS and SMEs**

The designated COR, TPOC(s), and SME(s) for Calls issued against this BPA will be provided at time of award of each Call.

**6.3 PERIOD OF PERFORMANCE**

The period of performance for Calls issued under this BPA will be specified at the order level.

**6.4 NORMAL DUTY HOURS**

On-site contractor support shall be available during customer agency operating (0600 - 1800) hours. Work shall generally consist of 40-hour workweeks, Monday through Friday, excluding federal holidays. The contractor personnel shall observe all Federal holidays.

The contractor shall provide for non-standard duty hours support on an as required basis. Non-standard duty hours or additional hours or times for work to be performed shall be coordinated with the COR. The additional hours shall be managed in accordance with the funds available and the burn rate for all labor hours shall be monitored.

In preparing project plans and other activities that require government involvement or review, the ten federal holidays listed below shall be taken into consideration and are not considered working business days for government resources, as federal employees will not be available, unless an exception is identified in advance:

- New Year's Day
- Martin Luther King's Birthday
- President's Day
- Memorial Day
- Independence Day
- Labor Day
- Columbus Day
- Veteran's Day
- Thanksgiving Day
- Christmas Day



## **6.5 PERFORMANCE LOCATIONS**

Under this BPA, it is anticipated that performance locations will include [Insert Agency Name] Agency offices located in all 50 States, American Samoa, Mariana Islands, Palau, Puerto Rico, and the Virgin Islands.

Place(s) of performance will be specified within individuals Call issued against the BPA. It is anticipated that work will require on-site and off-site performance, depending upon the requirements specified within the individual BPA Calls. Therefore, the Contractor shall propose both on-site and off-site rates.

A List of Potential Offices for the Records Management Pilot under Call 1 is provided at [Attachment 10](#).

## **6.6 TRAVEL**

Long-distance travel is defined as travel over 50 miles from the place of performance established in each BPA Call. Local travel will not be reimbursed. Requirements for long-distance travel will be specified within individual Calls issued against the BPA. The Contractor shall perform travel between the primary places of performance and non-local facilities as required during the performance-of the BPA Calls.

Video Teleconferencing and webinars should be used as much as practicable to minimize travel costs. When travel is authorized, Contractors are expected to utilize means that are most economical to the Government, such as but not limited to using only the minimum number of travelers and rental cars needed to accomplish the tasks.

Travel allowances will be addressed in the quote for individual BPA Calls. Project specific travel requirements will be authorized by the COR under each BPA Call.

### **6.6.1 TRIP REQUEST APPROVALS**

The COR shall approve all non-local travel prior to costs being incurred by the Contractor.

Travel requests, to include a breakdown of projected costs, shall be submitted to the COR for review and approval no later than three workdays prior to travel. Travel will be handled, to include the reimbursement of expenses, in accordance with FAR 31.205-46 and the terms and conditions in the awardees underlying GSA Schedule and this BPA.

All travel arrangements are the responsibility of the Contractor including, but not limited to, airline, hotel, and rental car reservations. The Contractor should make all efforts to schedule travel far enough in advance of the trip dates to take advantage of reduced airfares. The Contractor shall stay in Government furnished lodging as available.

### **6.6.2 TRAVEL BACKUP DOCUMENTATION AND RECEIPTS**

Invoices including travel costs shall include supporting documentation as required by the Federal Travel Regulation (FTR) (which currently requires receipts for all costs \$75.00 or greater). Invoice submissions including travel costs shall include completed travel expense sheets for each trip employee.

## **6.7 GOVERNMENT FURNISHED EQUIPMENT/INFORMATION/ACCESS**

Where work specified within individual BPA Calls requires GFE for on-site performance, the Government may provide the following resources to the contractor for task performance:

- Workspace at a government facility for the maximum number of funded employees.
- Standard office configuration (office work area, telephone, access to fax, computer, email account, software, network access, etc.).
- Access to available IT equipment and software, as it may deem necessary, to the contractor for the exclusive purpose of performing the services as defined in the BPA.
- Access to available technical information (i.e., standard configurations, [Insert Agency Name] directives, etc.) as required and upon contractor request for the performance of this task order.

All Government-provided products and facilities remain the property of the Government and shall be returned upon completion of the support services. Contractor personnel supporting this requirement shall return all Government provided items that were used during the performance of these requirements by the end of the performance period.

All documented processes, procedures, tools and applications, developed under BPA Calls becomes the property of the Government. The Government shall have unlimited rights to these documents. Modification and distribution of end products for use at other installations will be at the discretion of the Government.

All text, electronic digital files, data, new capabilities or modification of existing applications, source code, documentation, and other products generated, modified or created under this contract shall become the property of the Government. The information shall be returned to the Government unless otherwise specified herein.

## **7.1 CONSTRAINTS**

### **7.2 Personnel Security**

Homeland Security Presidential Directive-12 (HSPD-12) requires that all federal entities ensure that all contractors have current and approved security background investigations that are equivalent to investigations performed on federal employees. All personnel working this project shall hold a minimum of a Moderate security determination, unless a higher suitability determination is specified in an individual BPA Call.

#### **7.2.1 Suitability Determination**

Contractor personnel must be able to obtain a favorable suitability decision in accordance with 5 CFR part 731. The duties to be performed under Calls issued against this BPA range from low risk to high risk positions. Contractor personnel will be required to submit all required documentation necessary for the agency to provide a favorable preliminary decision on suitability. This decision is required prior to commencing work on this BPA or on the Calls issued under this BPA. Contractor personnel who do not receive a favorable preliminary suitability decision are not authorized to perform work under the BPA and the Calls issued against it. Similarly, contractor personnel who receive an unfavorable suitability decision shall be immediately removed.

#### **7.2.2 HSPD-12 Credentials**

Contractor personnel must complete necessary requirements to obtain HSPD-12 credentials immediately upon beginning work on the contract. Failure to obtain HSPD-12 credentials is grounds for

removal/suspension of contractor personnel from performing work under the BPA and the Calls issued against it.

The Contractor shall be responsible for ensuring its contract employees (inclusive of any teaming partners) comply with any annual security training and reporting requirements of GSA, National Institute of Standard and Technology (NIST), [Insert Agency Name] and HSPD-12.

### **7.3 Security, Confidentiality, and Privacy.**

In meeting the scope and objectives under this BPA and BPA Calls issued against it, the Contractor shall protect the confidentiality of information by adhering to safeguard principles, including:

- a. Emphasizing to its officers, employees, contractors, and agents the importance of protecting the confidentiality of information in cases where the identity of respondents can reasonably be inferred by either direct or indirect means;
- b. Training its officers, employees, contractors, and agents in their legal obligations to protect the confidentiality of respondent identifiable information, and in the procedures that must be followed to provide access to such information;
- c. Implementing appropriate measures to assure the physical and electronic security of confidential data;
- d. Establishing a system of records that identifies individuals accessing confidential data and the project for which the data was required;
- e. Being prepared to document their compliance with safeguard principles to other agencies authorized by law to monitor such compliance;
- f. Not publishing or disclosing in any manner, without the Contracting Officer's written consent, the details of any safeguards used by the Contractor under the resulting FSS order or otherwise provided by or for the government.

#### **7.3.1 Privacy Act**

Work performed under this BPA and BPA Calls issued against it will require or allow Contractor personnel access to Privacy Information. Content contained within the system is subject to the Privacy Act. As such, all personnel shall adhere to the Privacy Act, Title 5 of the U.S. Code, Section 552a, and applicable agency rules and regulations. The Contractor shall refer to the RFQ attachments in this solicitation for further guidance and clarification related to rules and regulations in meeting the scope and objectives of this BPA.

#### **7.3.2 Regulatory Requirements**

Work performed under this BPA and BPA Calls issued against it requires compliance with security and regulatory requirements defined by OMB mandate, the National Institute of Standards and Technology (NIST), the Federal Information Security Management Act (FISMA), National Archives and Records Administration (NARA), and [Insert Agency Name]-specific security requirements as it relates to digital records systems, the protection, integrity, and non-repudiation of data, information assurance, and cyber security.

#### **7.3.3 Non-Disclosure Agreements**

Some [Insert Agency Name] records to be handled by the Contractor or stored in the system contain personally identifiable information (PII) and business proprietary data which must be protected from unauthorized disclosure.

- a. The Contractor shall require each of its employees that interface with the management of data, regardless of form (i.e., paper records or electronic records), to sign a non-disclosure agreements prior to beginning work under this BPA and BPA calls issued against it.



- b. Standard non-disclosure statements shall be provided as required for personnel who may have access to government data in the course of their duties.

#### **7.4 ACCESSIBILITY STANDARDS**

Requirements for accessibility based on Section 508 of the Rehabilitation Act of 1973 (29 U.S.C. 794d) are determined to be relevant. Information about the Section 508 Electronic and Information Technology (EIT) Accessibility Standards may be obtained via the Web at the following URL: <http://www.Section508.gov>. The link to the ART Tool to create reports for product accessibility under this BPA is <https://app.buyaccessible.gov/home>. This replaces the former Government Product/Service Accessibility Template (GPAT).

**Attachment 12** contains [Insert Agency Name]'s guide on Section 508 Accessibility of Information and Communications Technology Standards.

#### **7.5 Internet Protocol Version 6 (IPV6)**

Requirements to provide IPV6 compatible solutions are determined to be applicable to the solutions delivered under this BPA, unless expressly identified otherwise in a Call issued under the BPA.

- a. Any system, hardware, software, firmware or networked component (voice, video or data) developed, procured or acquired in support or performance of this contract shall be capable of transmitting, receiving, processing, forwarding and storing digital information across system boundaries utilizing system packets that are formatted in accordance with commercial standards of Internet Protocol (IP) version 6 (IPv6) as set forth in the USGv6 Profile (NIST Special Publication 500-267) and corresponding declarations of conformance defined in the USGv6 Test Program. In addition, this system shall maintain interoperability with IPv4 systems and provide at least the same level of performance and reliability capabilities of IPv4 products:
- b. Specifically, any new IP product or system developed, acquired, or produced must:
  1. Interoperate with both IPv6 and IPv4 systems and products, and
  2. Have available contractor/vendor IPv6 technical support for development and implementation and fielded product management.
- c. As IPv6 evolves, the Contractor commits to upgrading or providing an appropriate migration path for each item developed, delivered or utilized at no additional cost to the Government.
- d. The Contractor shall provide technical support for both IPv4 and IPv6.
- e. Any system or software must be able to operate on networks supporting IPv4, IPv6 or one that supports both.
- f. Any product whose non-compliance is discovered and made known to the Contractor within one year after acceptance shall be upgraded, modified or replaced to bring it into compliance at no additional cost to the Government.

## **8.1 PACKAGING AND MARKING**

### **8.2 DELIVERABLES MEDIA**

The Contractor shall provide virus-free electronic format deliverables and/or printed deliverables or provide access to the contractor's secure portal for those deliveries that cannot be emailed.

Deliverables shall be submitted to designated officials at the addresses specified in awarded BPA Calls.

### **8.3 MARKINGS FOR DELIVERY**

For printed and electronic deliverables, the Contractor shall label each delivery with the BPA Contract Number/TO Number for the Call, Project Title, and company name.

If not otherwise specified, interior packages and exterior-shipping containers shall be marked with the BPA Contract Number/TO Number for the Call, Project Title, and company name and markings shall be in accordance with the following standards for deliveries to civilian activities.

- a. Supplies shall be marked in accordance with Federal Standard 123, edition in effect on the date of issuance of the solicitation.
- b. Additional marking requirements may be specified in Calls issued under this BPA.

Improperly marked material - When Government inspection and acceptance are at destination, and delivered supplies are not marked in accordance with BPA/Call requirements, the Government has the right, without prior notice to the Contractor, to perform the required marking and charge the Contractor the reasonable actual cost of that performance. This right is not exclusive, and is in addition to other rights or remedies provided for in this BPA.

### **8.4 PRESERVATION, PACKAGING, AND PACKING**

Unless otherwise specified, all items shall be preserved, packaged, and packed in accordance with normal commercial practices, as defined in the applicable commodity specifications. Packaging and packing shall comply with the requirements of the Uniform Freight Classification and the National Motor Freight Classification (issue in effect at time of shipment)

### **8.5 PACKING LIST**

A packing list or other suitable shipping document shall accompany each shipment and shall include: (1) Name and address of the consignor; (2) Name and complete address of the consignee; (3) Government Order or requisition number; (4) Government bill of lading number covering the shipment (if any); and (5) Description of the material shipped, including item number, quantity, number of containers, and packaging number (if any).

## **9.1 INSPECTION AND ACCEPTANCE**

### **9.2 PLACE OF INSPECTION AND ACCEPTANCE**

Inspection and acceptance of all work performance, reports and other deliverables under this BPA shall be performed by the designated [Insert Agency Name] representative at the primary place of performance specified in each BPA Call.

### **9.3 SCOPE OF INSPECTION**

The Government, through its authorized representative, has the right, at reasonable times, to inspect, or otherwise evaluate the work performed or being performed hereunder and shall notify the Contractor

of unsatisfactory performance. Inspections and evaluations shall be performed in such a manner as will not unduly delay the work.

- Deliverables will be inspected for content, completeness, accuracy, and conformance to requirements.
- Inspection may include validation of information or software through the use of automated tools, testing, or inspections of the deliverables, as specified in individual TOs. The scope and nature of this inspection will be sufficiently comprehensive to ensure the completeness, quality, and adequacy of all deliverables.

The Government requires a period NTE 15 workdays after receipt of final deliverable items for inspection and acceptance or rejection.

#### **9.4 BASIS OF ACCEPTANCE**

The basis for acceptance shall be compliance with the requirements set forth in the individual BPA Call and the contractor's quote, and relevant terms and conditions of the BPA. Deliverable items rejected shall be corrected in accordance with the applicable clauses.

- For technical solutions delivered under this BPA, the final acceptance will occur when all discrepancies, errors, or other deficiencies identified in writing by the Government have been resolved, through documentation updates, program correction, or other mutually agreeable methods.
- Reports, documents, and narrative-type deliverables will be accepted when all discrepancies, errors, or other deficiencies identified in writing by the Government have been corrected.

If a draft deliverable is adequate, the Government may accept the draft and provide comments for incorporation into the final version.

The Government's comments on deliverables must either be incorporated in the succeeding version of the deliverable, or the Contractor must demonstrate to the Government's satisfaction why such comments should not be incorporated.

If the Government finds that a draft or final deliverable contains spelling errors, grammatical errors, or improper format, or otherwise does not conform to the requirements stated within Calls under this BPA, the document may be immediately rejected without further review and returned to the Contractor for correction and resubmission. If the Contractor requires additional Government guidance to produce an acceptable draft, the Contractor shall arrange a meeting with the responsible [Insert Agency Name] and GSA personnel.

#### **9.5 WRITTEN ACCEPTANCE/REJECTION BY THE GOVERNMENT**

Unless otherwise specified in individual BPA Calls, the designated [Insert Agency Name] representative will provide written notification of acceptance or rejection of all final deliverables within 15 workdays. (Reference the sample "DELIVERABLE ACCEPTANCE FORM" at [Attachment 13](#)).

All notifications of rejection will be accompanied with an explanation of the specific deficiencies causing the rejection. If written notification of acceptance or rejection is not received by the contractor within 15 work days, the contractor shall not automatically assume the deliverable is accepted and shall contact the designated [Insert Agency Name] representative for clarification of the deliverable's status.

#### **9.6 NON-CONFORMING PRODUCTS OR SERVICES**

Non-conforming products or services will be rejected. Unless otherwise specified in individual TOs, deficiencies will be corrected, by the contractor, within 10 workdays of the rejection notice. If the deficiencies cannot be corrected within 10 workdays, the contractor shall immediately notify the responsible [Insert Agency Name]-Agency POC of the reason for the delay and provide a proposed corrective action plan. For FFP deliverables, if the contractor does not provide products or services that conform to the requirements of this TO, the Government will not pay the fixed price associated with the non-conforming products or services.

## 10.1 CLAUSES

### 10.2 CONTRACT CLAUSES INCORPORATED BY REFERENCE

The Contractor's GSA Schedule contract clauses are applicable to this BPA.

### 10.3 FAR CLAUSES AND GSA CLAUSES

The Contractor shall submit the requisite Supply Chain Risk Management (SCRM) certification to the GSA Contracting Officer at time of award, consistent with the following clauses:

#### **GSAR Clause 552.204-70 Representation Regarding Certain Telecommunications and Video Surveillance Services or Equipment (AUG 2019)**

- (a) Definitions. As used in this clause- "Covered telecommunications equipment or services", "Critical technology", and "Substantial or essential component" have the meanings provided in FAR 52.204-25, Prohibition on Contracting for Certain Telecommunications and Video Surveillance Services or Equipment.
- (b) Prohibition. Section 889(a)(1)(A) of the John S. McCain National Defense Authorization Act for Fiscal Year 2019 (Pub. L. 115-232) prohibits the head of an executive agency on or after August 13, 2019, from procuring or obtaining, or extending or renewing a contract to procure or obtain, any equipment, system, or service that uses covered telecommunications equipment or services as a substantial or essential component of any system, or as critical technology as part of any system. Contractors are not prohibited from providing- (1) A service that connects to the facilities of a third-party, such as backhaul, roaming, or interconnection arrangements; or (2) Telecommunications equipment that cannot route or redirect user data traffic or permit visibility into any user data or packets that such equipment transmits or otherwise handles.
- (c) Representation. The Offeror or Contractor represents that it [ ] will or [ ] will not [Contractor to complete and submit to the Contracting Officer] provide covered telecommunications equipment or services to the Government in the performance of any contract, subcontract, order, or other contractual instrument resulting from this contract. This representation shall be provided as part of the proposal and resubmitted on an annual basis from the date of award.
- (d) Disclosures. If the Offeror or Contractor has responded affirmatively to the representation in paragraph (c) of this clause, the Offeror or Contractor shall provide the following additional information to the Contracting Officer— (1) All covered telecommunications equipment and services offered or provided (include brand; model number, such as original equipment manufacturer (OEM) number, manufacturer part number, or wholesaler number; and item description, as applicable); (2) Explanation of the proposed use of covered telecommunications equipment and services and any factors relevant to determining if such use would be permissible under the prohibition in paragraph (b) of this provision; (3) For services,



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the entity providing the covered telecommunications services (include entity name, unique entity identifier, and

Commercial and Government Entity (CAGE) code, if known); and (4) For equipment, the entity that produced the covered telecommunications equipment (include entity name, unique entity identifier, CAGE code, and whether the entity was the OEM or a distributor, if known).

(End of clause)

**FAR Clause 52.204-25 PROHIBITION ON CONTRACTING FOR CERTAIN TELECOMMUNICATIONS AND VIDEO SURVEILLANCE SERVICES OR EQUIPMENT (AUG 2019).**

(a) Definitions. As used in this clause— Covered foreign country means The People’s Republic of China. Covered telecommunications equipment or services means- (1) Telecommunications equipment produced by Huawei Technologies Company or ZTE Corporation (or any subsidiary or affiliate of such entities); (2) For the purpose of public safety, security of Government facilities, physical security surveillance of critical infrastructure, and other national security purposes, video surveillance and telecommunications equipment produced by Hytera Communications Corporation, Hangzhou Hikvision Digital Technology Company, or Dahua Technology Company (or any subsidiary or affiliate of such entities); (3) Telecommunications or video surveillance services provided by such entities or using such equipment; or (4) Telecommunications or video surveillance equipment or services produced or provided by an entity that the Secretary of Defense, in consultation with the Director of National Intelligence or the Director of the Federal Bureau of Investigation, reasonably believes to be an entity owned or controlled by, or otherwise connected to, the government of a covered foreign country. Critical technology means- (1) Defense articles or defense services included on the United States Munitions List set forth in the International Traffic in Arms Regulations under subchapter M of chapter I of title 22, Code of Federal Regulations; (2) Items included on the Commerce Control List set forth in Supplement No. 1 to part 774 of the Export Administration Regulations under subchapter C of chapter VII of title 15, Code of Federal Regulations, and controlled— (i) Pursuant to multilateral regimes, including for reasons relating to national security, chemical and biological weapons proliferation, nuclear nonproliferation, or missile technology; or (ii) For reasons relating to regional stability or surreptitious listening; (3) Specially designed and prepared nuclear equipment, parts and components, materials, software, and technology covered by part 810 of title 10, Code of Federal Regulations (relating to assistance to foreign atomic energy activities); (4) Nuclear facilities, equipment, and material covered by part 110 of title 10, Code of Federal Regulations (relating to export and import of nuclear equipment and material); (5) Select agents and toxins covered by part 331 of title 7, Code of Federal Regulations, part 121 of title 9 of such Code, or part 73 of title 42 of such Code; or (6) Emerging and foundational technologies controlled pursuant to section 1758 of the Export Control Reform Act of 2018 (50 U.S.C. 4817). Substantial or essential component means any component necessary for the proper function or performance of a piece of equipment, system, or service.

(b) Prohibition. Section 889(a)(1)(A) of the John S. McCain National Defense Authorization Act for Fiscal Year 2019 (Pub. L. 115-232) prohibits the head of an executive agency on or after August 13, 2019, from procuring or obtaining, or extending or renewing a contract to procure or obtain, any equipment, system, or service that uses covered telecommunications equipment or services as a substantial or essential component of any system, or as critical technology as part of any system. The Contractor is prohibited from providing to the Government any equipment, system, or service that uses covered telecommunications equipment or services as a substantial or essential component of any system, or as critical technology as part of any system, unless an exception at paragraph (c) of this clause applies or the covered telecommunication equipment or services are covered by a waiver described in Federal Acquisition Regulation 4.2104.

(c) Exceptions. This clause does not prohibit contractors from providing— (1) A service that connects to the facilities of a third-party, such as backhaul, roaming, or interconnection arrangements; or (2) Telecommunications equipment that cannot route or redirect user data traffic or permit visibility into any user data or packets that such equipment transmits or otherwise handles.

(d) Reporting requirement. (1) In the event the Contractor identifies covered telecommunications equipment or services used as a substantial or essential component of any system, or as critical technology as part of any system, during contract performance, or the Contractor is notified of such by a subcontractor at any tier or by any other source, the Contractor shall report the information in paragraph (d)(2) of this clause to the Contracting Officer, unless elsewhere in this contract are established procedures for reporting the information; in the case of the Department of Defense, the Contractor shall report to the website at <https://dibnet.dod.mil>. For indefinite delivery contracts, the Contractor shall report to the Contracting Officer for the indefinite delivery contract and the Contracting Officer(s) for any affected order or, in the case of the Department of Defense, identify both the indefinite delivery contract and any affected orders in the report provided at <https://dibnet.dod.mil>. (2) The Contractor shall report the following information pursuant to paragraph (d)(1) of this clause: (i) Within one business day from the date of such identification or notification: the contract number; the order number(s), if applicable; supplier name; supplier unique entity identifier (if known); supplier Commercial and Government Entity (CAGE) code (if known); brand; model number (original equipment manufacturer number, manufacturer part number, or wholesaler number); item description; and any readily available information about mitigation actions undertaken or recommended. (ii) Within 10 business days of submitting the information in paragraph (d)(2)(i) of this clause: any further available information about mitigation actions undertaken or recommended. In addition, the Contractor shall describe the efforts it undertook to prevent use or submission of covered telecommunications equipment or services, and any additional efforts that will be incorporated to prevent future use or submission of covered telecommunications equipment or services.

(e) Subcontracts. The Contractor shall insert the substance of this clause, including this paragraph (e), in all subcontracts and other contractual instruments, including subcontracts for the acquisition of commercial items.

(End of clause)

#### **52.217-7 Option for Increased Quantity-Separately Priced Line Item (Mar 1989)**

The Government may require the delivery of the numbered line item, identified in the Schedule as an option item, in the quantity and at the price stated in the Schedule. The Contracting Officer may exercise the option by written notice to the Contractor within 90 days of award. Delivery of added items shall continue at the same rate that like items are called for under the contract, unless the parties otherwise agree.

(End of clause)

#### **52.217-8 Option to Extend Services (Nov 1999)**

The Government may require continued performance of any services within the limits and at the rates specified in the contract. These rates may be adjusted only as a result of revisions to prevailing labor rates provided by the Secretary of Labor. The option provision may be exercised more than once, but the total extension of performance hereunder shall not exceed 6 months. The Contracting Officer may exercise the option by written notice to the Contractor within 30 days.

(End of clause)

#### **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 thirty (30) days before the contract expires; provided that the Government gives the Contractor a preliminary written notice of its intent to extend at least forty-five (45) 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 60 months.

(End of clause)

#### **FAR 52.204-9 Personal Identity Verification of Contractor Personnel (Jan 2011)**

(a) The Contractor shall comply with agency personal identity verification procedures identified in the contract that implement Homeland Security Presidential Directive-12 (HSPD-12), Office of Management and Budget (OMB) guidance M-05-24 and Federal Information Processing Standards Publication (FIPS PUB) Number 201.

(b) The Contractor shall account for all forms of Government-provided identification issued to the Contractor employees in connection with performance under this contract. The Contractor shall return such identification to the issuing agency at the earliest of any of the following, unless otherwise determined by the Government:

- (1) When no longer needed for contract performance.
- (2) Upon completion of the Contractor employee's employment.
- (3) Upon contract completion or termination.

(c) The Contracting Officer may delay final payment under a contract if the Contractor fails to comply with these requirements.

(d) The Contractor shall insert the substance of this clause, including this paragraph (d), in all subcontracts when the subcontractor's employees are required to have routine physical access to a Federally-controlled facility and/or routine access to a Federally-controlled information system. It shall be the responsibility of the prime Contractor to return such identification to the issuing agency in accordance with the terms set forth in paragraph (b) of this section, unless otherwise approved in writing by the Contracting Officer.

(End of clause)

## 10.4 SPECIAL CLAUSES/PROVISIONS

### 10.4.1 ORDER LEVEL MATERIALS (OLMs)

Requirements for Order Level Materials (OLMs) will be specified within individual Calls issued against the BPA. It is anticipated that work under the BPA may require materials that are ancillary and necessary to provide a complete solution to fulfill requirements specified in the individual BPA Calls.

GSAR 552.238-82 provides the authority for including Order Level Materials; however, vendors must have added the OLM SIN to their MAS contract to exercise the authority.

Given the breadth of the requirement, the Government anticipates the successful awardee to require the use of Order Level Materials to successfully execute against this BPA over its life, inclusive of its options. Therefore, the Government shall only consider quotes from vendors that have added SIN 36-500, Order Level Materials, to their contract.

### 10.4.2 INVOICING AND PAYMENT

Unless specified otherwise in individual Calls issued against this BPA, the Contactor shall submit invoices for payment in accordance with the following requirements.

The following GSA ASSIST and GSA Finance instructions will apply at the BPA level; however invoicing and payment details for the Calls against the BPA will require customization to tie payment to deliverables.

The Contractor shall invoice for the entire delivery order amount upon completion of the project unless otherwise specified in the individual Calls awarded against the BPA

**Invoicing:** The Period of Performance (POP) for each invoice shall be for one calendar month. The Contractor shall submit only one invoice per month per order/contract. The appropriate GSA office will receive the invoice by the twenty-fifth calendar day of the month after either:

- (1) The end of the invoiced month (for services) or
- (2) The end of the month in which the products (commodities) or deliverables (fixed- priced services) were delivered and accepted by the Government.

**Content of Invoice:** The Contractor's invoice will be submitted monthly for work performed the prior month. The Contractor may invoice only for the hours, travel and unique services ordered under the BPA and actually used in direct support of the client representative's project. The invoice shall be submitted on official letterhead and shall include the following information at a minimum.

1. GSA Task Order Number
2. Task Order ACT Number
3. Remittance Address
4. Period of Performance for Billing Period
5. Point of Contact and Phone Number
6. Invoice Amount
7. Skill Level Name and Associated Skill Level Number
8. Actual Hours Worked During the Billing Period
9. Travel Itemized by Individual and Trip (if applicable)

10. Training Itemized by Individual and Purpose (if applicable)
11. Support Items Itemized by Specific Item and Amount (if applicable)

**For Firm-Fixed Price orders/contracts:** FFP CLINs shall be charged as 1/nth of the overall price of the n-month performance period. For example, with a 12-month performance period, monthly invoices shall reflect 1/12th of the overall value of the FFP CLIN for the 12-month period.

**For Labor Hour and Time and Material orders/contracts** each invoice shall show, the skill level category, the hours worked per skill level, the rate per skill level and the extended amount for that invoice period. It shall also show the total cumulative hours worked (inclusive of the current invoice period) per skill level, the hourly rate per skill level, the total cost per skill level, the total travel costs incurred and invoiced, and the total of any other costs incurred and invoiced, as well as the grand total of all costs incurred and invoiced.

**For Labor Hour and Time and Material orders/contracts** each invoice shall clearly indicate both the current invoice's monthly "burn rate" and the total average monthly "burn rate". The contractor shall submit all required documentation (unless exempted by the contract or order) as follows:

**For Travel:** Submit the traveler's name, dates of travel, location of travel, and dollar amount of travel.

**For ODCs:** Submit a description of the ODC, quantity, unit price and total price of each ODC.

The Government reserves the right to audit; thus, the Contractor shall keep on file all backup support documentation for travel and ODCs.

Note: For Firm Fixed Price, Labor Hour, and Time and Material fiscal task items:

Charges:

- All invoice charges must be task item specific (only one task item) unless concurrent task item periods of performance exist.
- For invoices with concurrent task item periods of performance all invoice charges must be service month specific (that is one service month only).

Credits:

- If the credit invoice is for the same year of a particular ACT#, the contractor shall include that credit on a subsequent invoice submission against that same ACT#. If the contractor is unwilling to offset a subsequent invoice then they must submit a refund check.
- When the credit invoice is for a different year, the contractor shall submit a refund check for that credit invoice.

Invoices that net to a credit balance SHALL NOT be accepted. Instead a refund check must be submitted by the contractor to GSA accordingly. The refund check shall cite the ACT Number and the period to which the credit pertains. The contractor shall provide the credit invoice as backup documentation. Do not attach credit invoice in the GSA ASSIST portal or on the Finance website. It must be attached to the refund check. The refund check shall be mailed to:

General Services Administration  
Finance Division  
P.O. Box 71365  
Philadelphia, PA 19176-1365

**Posting Acceptance Documents:** Invoices shall be submitted monthly through GSA's electronic Web-Based Order Processing System, ASSIST Central Invoice Service (CIS), to allow the Customer Representative and GSA to electronically accept and certify services received by the Customer Representative (CR). Included with the invoice will be all back-up documentation required such as, but not limited to, travel authorizations and training authorizations (including invoices for such).

**Receiving Agency's Acceptance:** The receiving agency has the following option in accepting and certifying services:

Electronically: The client agency may accept and certify services electronically via GSA's electronic Web-Based Order Processing System, ASSIST Central Invoice Service (CIS), by accepting the Acceptance Document generated by the contractor. Electronic acceptance of the invoice by the CR is considered concurrence and acceptance of services.

Electronic acceptance of the invoice by the CR is considered concurrence and acceptance of services. The contractor shall seek acceptance and electronically post the acceptance document in GSA's electronic Web-based Order Processing System, ASSIST Central Invoice Service (CIS). After acceptance of the invoice by the CR, the Contractor shall submit a proper invoice to GSA Finance ([www.finance.gsa.gov/defaultexternal.asp](http://www.finance.gsa.gov/defaultexternal.asp)) not later than five (5) business days after acceptance by the Government of the product, service, and/or cost item.

Note: The acceptance of the authorized agency customer representative is REQUIRED prior to the approval of payment for any invoiced submitted and shall be obtained prior to the approval of payment. In order to expedite payment, it is strongly recommended that the contractor continue to include the receiving agency's electronic acceptance of all the services or products delivered, with signature of the authorized agency customer representative and the date of acceptance, as part of the submission documentation.

Note: If any invoice is received without the required documentation and the customer's electronic acceptance, the invoice shall be rejected in whole or in part as determined by the Government.

**Posting Invoice Documents:** Contractors shall submit invoices to GSA Finance for payment, after acceptance has been processed in GSA's electronic Web-Based Order Processing System, ASSIST Central Invoice Service (CIS). The Contractor is to post the invoice on GSA's Ft. Worth web site, [www.finance.gsa.gov/defaultexternal.asp](http://www.finance.gsa.gov/defaultexternal.asp)

**Final Invoice:** Invoices for final payment must be so identified and submitted within 60 calendar days from task completion and no further charges are to be billed. A copy of the written acceptance of task completion must be attached to final invoices. The contractor shall request from GSA an extension for final invoices that may exceed the 60-business day timeframe.

The Government reserves the right to require certification by a GSA COR before payment is processed, if necessary.



**Close-out Procedures.**

The contractor shall submit a final invoice within sixty (60) calendar days after the end of the Performance Period. After the final invoice has been paid the contractor shall furnish a completed and signed Release of Claims (GSA Form 1142) to the Contracting Officer. This release of claims is due within fifteen (15) calendar days of final payment.

**Attachment**

**13 SAMPLE**

**DELIVERABLE ACCEPTANCE FORM**

**Deliverable and Acceptance**

Agency/Site: Purchase Order:

City/State:

Vendor Lead:

Before signing, the Client Site Representative and/or COR should complete inspection and review with the vendor supervisor. Note any missing, or incorrect items.

**NOTE: Any or all missing, or incorrect items shall be resolved prior to signing of this document!**

I hereby agree that on this date \_\_\_\_\_ the service has been completed to my satisfaction.

This project is estimated to be 100 percent complete.

Client Site Contact:

Phone Number:

Email:

Date:

Signature:

Vendor Site Contact:

Date:

Signature:

Comments:

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**Attachment 11**

**1. Disposition Scenarios**

| TEMPORARY DISPOSITION OF RECORDS |  |   | PERMANENT DISPOSITION OF RECORDS |  |  |
|----------------------------------|--|---|----------------------------------|--|--|
| #                                | Scenarios  | Actions   | #                                | Scenarios  | End Game   |
| 1                                | <ul style="list-style-type: none"> <li>● Temporary record</li> <li>● Active for user</li> <li>● Eligible for Destruction</li> <li>● Low value for scanning</li> </ul>                                    | No scan/ stays in office without destruction / flag for reconsideration for its active status                                   | 9                                | <ul style="list-style-type: none"> <li>● Permanent record</li> <li>● Active for user</li> <li>● Eligible for accession</li> <li>● No litigation hold</li> </ul>      | Scan / confirm electronic version available to user / / accession electronic to NARA / destroy paper   |
| 2.1                              | <ul style="list-style-type: none"> <li>● Temporary record</li> <li>● Active for user</li> <li>● Eligible for Destruction</li> <li>● High value for scanning</li> <li>● No litigation</li> </ul>          | Scan / confirm electronic version available to user / destroy physical record   | 10                               | <ul style="list-style-type: none"> <li>● Permanent record</li> <li>● Active for user</li> <li>● Eligible for accession</li> <li>● Has litigation hold</li> </ul>     | Scan / confirm electronic version available to user / hold physical record locally, properly marked with litigation information / tag electronic for accession after litigation complete |
| 2.2                              | <ul style="list-style-type: none"> <li>● Temporary record</li> <li>● Active for user</li> <li>● Eligible for Destruction</li> <li>● High value for scanning</li> <li>● Has litigation hold</li> </ul>    | Scan / confirm electronic version available to user / hold physical record locally, properly marked with litigation information |                                  |  |  |
| 3                                | <ul style="list-style-type: none"> <li>● Temporary record</li> <li>● Active for user</li> <li>● Not Eligible for Destruction</li> <li>● Low value for scanning</li> </ul>                                | No scan / stays in office without destruction   | 11                               | <ul style="list-style-type: none"> <li>● Permanent record</li> <li>● Active for user</li> <li>● Not Eligible for accession</li> <li>● No litigation hold</li> </ul>  | Scan / confirm electronic version available to user / destroy physical record / tag for future accession   |
| 4.1                              | <ul style="list-style-type: none"> <li>● Temporary record</li> <li>● Active for user</li> <li>● Not Eligible for Destruction</li> <li>● High value for scanning</li> <li>● No litigation hold</li> </ul> | Scan / confirm electronic version available to user/ destroy physical record  | 12                               | <ul style="list-style-type: none"> <li>● Permanent record</li> <li>● Active for user</li> <li>● Not Eligible for accession</li> <li>● Has litigation hold</li> </ul> | Scan / confirm electronic version available to user / hold physical record locally, properly marked with litigation information / tag electronic for accession after litigation complete |

|     |   |  |  |  |  |  |
|-----|---|--|--|--|--|--|
| 4.2 | <ul style="list-style-type: none"><li>• Temporary record</li><li>• Active for user</li><li>• Not Eligible for</li></ul> | Scan / confirm<br>electronic version<br>available to user/ |  |  |  |  |
|-----|---|--|--|--|--|--|

|     |  |   |  |    |   |   |
|-----|--|---|--|----|---|---|
|     | <ul style="list-style-type: none"> <li>• Destruction</li> <li>• High value for scanning</li> <li>• Has litigation hold</li> </ul>  | hold physical record locally, properly marked with litigation information   |  |    |   |   |
| 5   | <ul style="list-style-type: none"> <li>• Temporary record</li> <li>• In-Active for user</li> <li>• Eligible for Destruction</li> <li>• Low value for scanning</li> </ul>                                     | No scan / destroy   |  | 13 | <ul style="list-style-type: none"> <li>• Permanent record</li> <li>• In-Active for user</li> <li>• Eligible for accession</li> <li>• No litigation hold</li> </ul>      | Direct accession with no scan   |
| 6.1 | <ul style="list-style-type: none"> <li>• Temporary record</li> <li>• In-Active for user</li> <li>• Eligible for Destruction</li> <li>• High value for scanning</li> <li>• No litigation hold</li> </ul>      | Scan / confirm electronic version available to user/ destroy physical record  |  | 14 | <ul style="list-style-type: none"> <li>• Permanent record</li> <li>• In-Active for user</li> <li>• Eligible for accession</li> <li>• Has litigation hold</li> </ul>     | Scan / hold physical record locally, properly marked with litigation information / tag electronic for accession after litigation complete |
| 6.2 | <ul style="list-style-type: none"> <li>• Temporary record</li> <li>• In-Active for user</li> <li>• Eligible for Destruction</li> <li>• High value for scanning</li> <li>• Has litigation hold</li> </ul>     | Scan / confirm electronic version available to user / hold physical record locally, properly marked with litigation information |  |    |   |   |
| 7   | <ul style="list-style-type: none"> <li>• Temporary record</li> <li>• In-Active for user</li> <li>• Not Eligible for Destruction</li> <li>• Low value for scanning</li> </ul>                                 | No scan / send to FRC for long term storage   |  | 15 | <ul style="list-style-type: none"> <li>• Permanent record</li> <li>• In-Active for user</li> <li>• Not Eligible for accession</li> <li>• No litigation hold</li> </ul>  | Scan / tag for accessioning   |
| 8.1 | <ul style="list-style-type: none"> <li>• Temporary record</li> <li>• In-Active for user</li> <li>• Not Eligible for Destruction</li> <li>• High value for scanning</li> <li>• No litigation hold</li> </ul>  | Scan / confirm electronic version available to user / destroy physical record   |  | 16 | <ul style="list-style-type: none"> <li>• Permanent record</li> <li>• In-Active for user</li> <li>• Not Eligible for accession</li> <li>• Has litigation hold</li> </ul> | Scan / hold physical record locally, properly marked with litigation information / tag electronic for accession after litigation complete |
| 8.2 | <ul style="list-style-type: none"> <li>• Temporary record</li> <li>• In-Active for user</li> <li>• Not Eligible for Destruction</li> <li>• High value for scanning</li> <li>• Has litigation hold</li> </ul> | Scan / confirm electronic version available to user / hold physical record locally, properly marked with litigation information |  |    |   |   |

**ENCLOSURE 4  
 REQUIREMENTS MATRICES**

**1. OVERVIEW**

The matrices below provide the Contractor with the performance requirements to provide a solution that is minimally viable. The descriptions provided for each of the performance requirements listed in the tables below is meant to be illustrative and give Contractors guidance for its quotation, but not to limit or prescribe responses or offered solutions. While the feature may be required, how it is provided and the depth and breadth of the solution’s characteristics are expected to vary.

**2. TECHNICAL REQUIREMENTS**

| <b><u>DRMS SOO - ISD Technical Perspective</u></b> |  | <b>Alfresco Mod<br/>(Not included in this BPA)</b> | <b>Scanning/Records Management</b> | <b>BPA Call # 1</b> | <b>Future BPA Calls</b> |
|--|--|--|------------------------------------|---------------------|-------------------------|
| <b>T1</b>  | <b>Hookup Alfresco Document Management System (DMS) to Farmers.Gov</b>   |  |                                    |                     |                         |
| T1.1   | ● Establish network/service connectivity between Alfresco DMS and Farmers.Gov                                    | X  |                                    |                     |                         |
| T1.2   | ● Identify FSA file types and metadata values to be included in initial Farmers.Gov access                       | X  |                                    |                     |                         |
| T1.3   | ● Identify Farmers.Gov services to call FMI-DMS services to manage metadata and artifacts                        | X  |                                    |                     |                         |
| T1.4   | ● Develop document searching and display capabilities in FMI-DMS and integrate with Farmers.Gov user experience. | X  |                                    |                     |                         |
| <b>T2</b>  | <b>Add Agency Mission Area file types to FMI-DMS and DRMS MVP</b>  |  |                                    |                     |                         |
| T2.1   | ● Identify, catalog, establish access business rules for FSA file types  | X  |                                    | X                   | X                       |
| T2.2   | ● Adjust Alfresco DMS to accommodate FSA file types  | X  |                                    |                     |                         |
| T2.3   | ● Identify and establish records management metadata to support scanning pilot                                   |  | X                                  | X                   | X                       |
| T2.4   | ● Test automated file type and metadata extraction identification alternatives                                   |  | X                                  |                     |                         |

|           |   |  |   |   |   |
|-----------|---|--|---|---|---|
| T2.5      | <ul style="list-style-type: none"> <li>Establish infrastructure requirements and design for the Scanning Pilot, including connectivity solutions between scanners, scan results and secure automation accessible from [Insert Agency Name] network</li> </ul> |  | X |   |   |
| T2.6      | <ul style="list-style-type: none"> <li>Establish metrics and collection and reporting mechanism for use during local office scanning pilot to indicate progress, time, costs, and space reduction cost savings during the pilot</li> </ul>                    |  | X | X |   |
| T2.7      | <ul style="list-style-type: none"> <li>Identify and establish Agency Mission Area file types in to DRMS</li> </ul>  |  |   | X | X |
| <b>T3</b> | <b>Propose Solution as per NARA universal requirements for Electronic records Management DRMS</b>   |  |   |   |   |
| T3.1      | <ul style="list-style-type: none"> <li>Propose a solution to implement NARA Universal ERM requirements(see Attachment 02)</li> </ul>  |  | X | X | X |
| T3.2      | <ul style="list-style-type: none"> <li>Map Agency requirements with NARA universal requirements and identify</li> </ul>   |  | X | X | X |

|           |   |  |  |   |   |
|-----------|---|--|--|---|---|
|           | discrepancies between the two.  |  |  |   |   |
| T3.3      | <ul style="list-style-type: none"> <li>Develop a technical solution that is extensible and configurable by business specialists to accommodate future shifts in NARA universal requirements</li> </ul>  |  |  | X | X |
| T3.4      | <ul style="list-style-type: none"> <li>Support rapid, cost effective development of operational systems to interact with NARA archiving dependencies</li> </ul>   |  |  | X |   |
| <b>T4</b> | <b>Identify, acquire, and configure Enterprise DRMS components for Minimum Viable Product</b>   |  |  |   |   |
| T4.1      | <ul style="list-style-type: none"> <li>Identify the full set of technical components that can best meet mission needs using a cloud-based middleware search/indexing engine coupled with various artifact stores</li> </ul>   |  |  | X | X |
| T4.2      | <ul style="list-style-type: none"> <li>Validate the fit and establish workable architectural patterns needed to successfully implement a sustainable enterprise level solution</li> </ul>   |  |  | X | X |
| T4.3      | <ul style="list-style-type: none"> <li>Add NRCS and FSA file types, adjust SEO, store, and verify business and records management workflows</li> </ul>  |  |  | X |   |
| T4.4      | <ul style="list-style-type: none"> <li>Migrate Metadata stores from existing Alfresco DRMS to cloud-based middleware search/indexing engine</li> </ul>  |  |  | X |   |
| T4.5      | <ul style="list-style-type: none"> <li>Establish a practical workable approach to migration, bridging and/or coexisting with Alfresco DRMS for transitional period</li> </ul>   |  |  | X |   |
| <b>T5</b> | <b>Identify and acquire [Insert Agency Name]-DISC cloud infrastructure and services</b>   |  |  |   |   |
| T5.1      | <ul style="list-style-type: none"> <li>In cooperation with [Insert Agency Name]-DISC cloud architects, identify and specify required development, testing, and production cloud infrastructure environments</li> </ul>  |  |  | X | X |
| T5.2      | <ul style="list-style-type: none"> <li>Identify dedicated provider-to-provider connections and configure</li> </ul>   |  |  | X | X |
| T5.3      | <ul style="list-style-type: none"> <li>Procure production/non-production infrastructure and general support services with [Insert Agency Name]-DISC</li> </ul>  |  |  | X | X |
| <b>T6</b> | <b>Provide standard capability to hook-up mission delivery applications/systems</b>   |  |  |   |   |
| T6.1      | <ul style="list-style-type: none"> <li>Identify and catalog document management needs for Agency mission delivery applications, in coordination with Information Solutions Division (ISD) staff</li> </ul>  |  |  | X | X |
| T6.2      | <ul style="list-style-type: none"> <li>Develop a standardized Agency application programming interface (API) service layer to enable mission delivery application connection with the cloud-based middleware search/indexing engine to:               <ul style="list-style-type: none"> <li>store, version, delete, replace, restore, hide, unhide, archive, and retrieve documents of NRCS and FSA file types</li> <li>create, maintain, and search metadata via standardized SQL based search criteria</li> <li>manage records throughout the records lifecycle</li> </ul> </li> </ul> |  |  | X | X |
| T6.3      | <ul style="list-style-type: none"> <li>Configure cloud-based middleware search/indexing engine to use the provided Agency application access management (AAM) authorization</li> </ul>  |  |  | X |   |



|      |   |  |  |   |   |
|------|---|--|--|---|---|
|      | rules and protocols to insure proper access controls  |  |  |   |   |
| T6.4 | <ul style="list-style-type: none"> <li>Configure cloud-based middleware search/indexing engine to deny access to an improperly formed API request to ensure metadata integrity</li> </ul>   |  |  | X |   |
| T6.5 | <ul style="list-style-type: none"> <li>Establish repeatable collection functionality to group multiple file types into a compressed package to ease time burden on field staff for streamlined access, use, and analysis</li> </ul> |  |  | X | X |
| T6.6 | <ul style="list-style-type: none"> <li>Establish ability to produce an inventory report on stored records and how</li> </ul>  |  |  | X |   |

|           |   |   |   |   |   |
|-----------|---|---|---|---|---|
|           | many are in each system/location based on leadership guidance and criteria  |   |   |   |   |
| <b>T7</b> | <b>Work jointly with [Insert Agency Name] cybersecurity for Authority to Test (ATT) and Authority to Operate (ATO)</b>  |   |   |   |   |
| T7.1      | <ul style="list-style-type: none"> <li>Establish cross-functional project team with executive sponsorship to accomplish Authority to Test (ATT) and Authority to Operate (ATO)</li> </ul>   | X |   | X |   |
| T7.2      | <ul style="list-style-type: none"> <li>Define a strategic approach to accelerate ATT and ATO completion in cooperation with [Insert Agency Name] cybersecurity and Agency-ISD-IAB staff</li> </ul>                                    | X |   | X |   |
| T7.3      | <ul style="list-style-type: none"> <li>Support timely, cost effective creation of security artifacts needed for authority to test (ATT) and authority to operate (ATO)</li> </ul>   | X | X | X | X |
| T7.4      | <ul style="list-style-type: none"> <li>Ensure all cloud-based IaaS-, PaaS- and SaaS-based systems are FedRAMP certified to at least the FISMA Moderate level.</li> </ul>  |   |   | X | X |
| <b>T8</b> | <b>Provide Project Management Resources</b>   |   |   |   |   |
| T8.1      | <ul style="list-style-type: none"> <li>Support training, management, and awareness for SAFe agile development practices and procedures</li> </ul>   | X | X | X | X |
| T8.2      | <ul style="list-style-type: none"> <li>Support reporting to leadership and oversight organizations on project/program progress, milestones, delays, risks, spending, and accomplishments</li> </ul>                                   | X | X | X | X |
| T8.3      | <ul style="list-style-type: none"> <li>Support frequent meetings and interactions within teams, business subject matter experts, leadership; with note taking, conference calls, live presentations, face-to-face meetings</li> </ul> | X | X | X | X |
| T8.4      | <ul style="list-style-type: none"> <li>Track and update actions, issues, risks, performance for the benefit and awareness for leadership, business, IT staff</li> </ul>   | X | X | X | X |
| <b>T9</b> | <b>Stand up contractor staff for development, test, and scrum teams</b>   |   |   |   |   |
| T9.1      | <ul style="list-style-type: none"> <li>Support rapid, cost effective development/modification of the operational system, training system, and support components that meet business user defined thresholds</li> </ul>                | X |   | X | X |
| T9.2      | <ul style="list-style-type: none"> <li>Support as many stretch objectives as are affordable under current contracting capacity</li> </ul>   | X |   | X | X |
| T9.3      | <ul style="list-style-type: none"> <li>Satisfy all Business user defined thresholds and clearly demonstrates business value to the mission area subject matter experts</li> </ul>   | X |   | X | X |
| T9.4      | <ul style="list-style-type: none"> <li>Address dependencies between systems, develops solutions that require the minimum number of work-arounds</li> </ul>  | X |   | X | X |
| T9.5      | <ul style="list-style-type: none"> <li>Mitigate the risks associated with architectural dependencies between standing up minimum viable product and interactions with dependent/associated systems</li> </ul>                         | X |   | X | X |
| T9.6      | <ul style="list-style-type: none"> <li>Support rapid, cost effective modification/upgrade/technology development and configuration using SAFe agile development methodologies</li> </ul>  | X |   | X | X |

|      |  |   |   |   |   |
|------|--|---|---|---|---|
| T9.7 | <ul style="list-style-type: none"> <li>Support timely, cost effective configuration/development that ensures access to all required technical data and computer software, and associated license rights</li> </ul>   | X | X | X | X |
| T9.8 | <ul style="list-style-type: none"> <li>Provide staff with the necessary/required skill sets to fully support development, configuration, installation, deployment, testing a system of components that support business objectives without additional training required</li> </ul> | X | X | X | X |

|            |  |   |  |   |   |
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| <b>T10</b> | <b>Evaluate and identify Digital Signature capability and enable within DRMS</b>   |   |  |   |   |
| T10.1      | <ul style="list-style-type: none"> <li>Establish cross functional team with business and field staff to identify, and record Digital Signature requirements</li> </ul>   | X |  | X |   |
| T10.2      | <ul style="list-style-type: none"> <li>Enable the collection of digital signatures in local/non-local office locations (online only)</li> </ul>  | X |  | X | X |
| <b>T11</b> | <b>Other non-functional requirements</b>   |   |  |   |   |
| T11.1      | <ul style="list-style-type: none"> <li>Guarantee a high degree of data durability and the prevention of data loss, even in cases of catastrophic system or data center failure.</li> </ul>   |   |  | X | X |
| T11.2      | <ul style="list-style-type: none"> <li>Enable regular backups of all data, metadata, transaction logs, databases, content and configurations needed to fully restore the solution from those backups within 24 hours or less of catastrophic failure.</li> </ul>   |   |  | X | X |
| T11.3      | <ul style="list-style-type: none"> <li>Encrypt data and backups in transit and at rest in FISMA -moderate compliant infrastructure/system</li> </ul>   |   |  | X | X |
| T11.4      | <ul style="list-style-type: none"> <li>Ensure fault tolerance to preserve business operations in the event of component, external resource, or less-than-catastrophic failure.</li> </ul>  |   |  | X | X |
| T11.5      | <ul style="list-style-type: none"> <li>All components emit appropriate log messages for business events, technical events or failures.</li> </ul>  |   |  | X | X |
| T11.6      | <ul style="list-style-type: none"> <li>Conform to the Web Content Accessibility Guidelines (WCAG) 2.0, where Level A and Level AA Success Criteria must be met (a.k.a. Section 508 Compliance).</li> </ul>   |   |  | X | X |
| T11.7      | <ul style="list-style-type: none"> <li>Ability of the solution to operate economically at all scales, supporting incremental, affordable growth to handle large volumes of documents (potentially in the hundreds of millions).</li> </ul>   |   |  | X | X |
| T11.8      | <ul style="list-style-type: none"> <li>Use certificate-based encryption with all solution APIs</li> </ul>  |   |  | X | X |
| T11.9      | <ul style="list-style-type: none"> <li>Ensure government ownership, rights and control over all solution content and data, along with access to all solution components, including rights of oversight, administration, licensing and successorship for the solution, its components and configurations.</li> </ul>                      |   |  | X | X |
| T11.10     | <ul style="list-style-type: none"> <li>Integrate with [Insert Agency Name] and Agency solutions for key management, certificate management, service integration, security authentication, authorization, development, deployment, and operations infrastructure management (log aggregation, monitoring, provisioning, etc.).</li> </ul> |   |  | X | X |
| T11.11     | <ul style="list-style-type: none"> <li>All services, API calls, and queries respond at speeds that meet or exceed limits and thresholds to meet the needs and expectations of customers and Agency staff who must accomplish mission tasks quickly and interactively.</li> </ul>   |   |  | X | X |
| T11.12     | <ul style="list-style-type: none"> <li>Solution intake performance must accommodate hundreds of thousands of documents inserted during a single business day (due to peak demands expected during bulk document loading).</li> </ul>   |   |  | X | X |
| <b>T12</b> | <b>Additional architectural and technical requirements</b>   |   |  |   |   |

|       |   |  |  |   |   |
|-------|---|--|--|---|---|
| T12.1 | ● Provide a repository (for storing) and a metadata schema API (for creating, updating and querying) the official form, content and rules associated with each uniquely identified, versioned metadata schema for each document type; that must be managed separately along agency boundaries |  |  | X | X |
|-------|---|--|--|---|---|

**3. BUSINESS REQUIREMENTS**

| <b><u>DRMS SOO - Business Perspective</u></b> |  | Alfresco Mod<br>(Not included in this BPA) | Scanning/Records Management | BPA Call # 1 t | Future BPA Calls |
|---|--|--|-----------------------------|----------------|------------------|
| <b>B1</b>                                     | <b>Store, Index, Search, and Retrieve New Document Types with Version and Delete Controls</b>                      |  |                             |                |                  |
| B1.1  | ● Identification of new eDocument types required for scanning pilot  | X  | X                           |                |                  |
| B1.2  | ● Identification of metadata needed for new eDocument types  | X  | X                           | X              | X                |
| B1.3  | ● Implementation of new eDocument types and applicable metadata to store, index, search and retrieve new documents | X  |                             | X              | X                |
| B1.4  | ● Ability to Version, Replace, and Delete documents  | X  |                             | X              | X                |
| B1.5  | ● Ability to Restore Deleted Documents and ensure a non-hard delete  | X  |                             | X              | X                |
| B1.6  | ● Ability to toggle visibility of new documents on or off for Clients by originating System                        | X  |                             | X              | X                |
| B1.7  | ● Ability to toggle visibility of new documents on or off for Clients by user w/ write permissions                 | X  |                             | X              | X                |
| B1.8  | ● Ability to search for documents based on metadata tags   | X  |                             | X              | X                |
| B1.9  | ● Ability to search for documents based on document type   | X  |                             | X              | X                |
| B1.10   | ● Ability to display pertinent documents based on a user's context in document solution                            | X  |                             | X              | X                |
| B1.11   | ● Ability to view documents in both FMI-DMS and Farmers.Gov  | X  |                             | X              | X                |
| B1.12   | ● Service layer so that other applications can fully connect and communicate with it and feed documents to it      | X  |                             | X              | X                |
| <b>B2</b>                                     | <b>New Document Roles for FSA for Read/Write Permissions</b>   |  |                             |                |                  |
| B2.1  | ● Analysis on types of roles needed  |  | X                           |                |                  |
| B2.2  | ● Analysis on permissions for each role  |  | X                           |                |                  |
| B2.3  | ● Creation of new Roles for Read Only  | X  | X                           | X              |                  |
| B2.4  | ● Creation of new Roles for Read/Write Ability   | X  | X                           | X              |                  |
| B2.5  | ● Integration of new Roles with production DRMS solution   | X  | X                           | X              | X                |

|           |  |   |   |   |   |
|-----------|--|---|---|---|---|
| B2.6      | <ul style="list-style-type: none"> <li>Changes to existing non-FSA roles to allow/not allow access to individual documents or document collections</li> </ul>  | X |   |   |   |
| B2.7      | <ul style="list-style-type: none"> <li>Integrate new roles and eDocument behavior with Farmers.Gov</li> </ul>  | X | X |   |   |
| B2.8      | <ul style="list-style-type: none"> <li>New role for NARA expert for NARA rules configuration</li> </ul>  | X | X |   | X |
| <b>B3</b> | <b>Identify Business Needs for Records Management</b>  |   |   |   |   |
| B3.1      | <ul style="list-style-type: none"> <li>Analysis for Records Management needs for Current and Future eDocument Types</li> </ul>   | X | X | X | X |
| B3.2      | <ul style="list-style-type: none"> <li>Provide recommended policy and procedures to implement digital records management and guidance (actual content) that can be used in MyAgency Portal to help employees understand and implement records management</li> </ul>                            |   | X | X |   |
| B3.3      | <ul style="list-style-type: none"> <li>Update/Modify the Federal Records Officer Network (FRON) RM 101 course package (Articulate Storyline software) that can be used in AgLearn (the [Insert Agency Name] online training portal) suitable. The course must include a certificate</li> </ul> |   | X | X |   |

|       |   |   |   |   |   |
|-------|---|---|---|---|---|
|       | of completion   |   |   |   |   |
| B3.4  | <ul style="list-style-type: none"> <li>Develop training material and curriculum to train local office staff on how to scan hardcopy documents when necessary</li> </ul>   |   | X | X |   |
| B3.5  | <ul style="list-style-type: none"> <li>Reports, dashboards, analytic tools and document metadata that will enable digital records oversight, audits, and reporting</li> </ul>   |   | X | X | X |
| B3.6  | <ul style="list-style-type: none"> <li>Minimize the burden on staff to search, find, and group records to enable staff to efficiently respond to requests for information and data calls.</li> </ul>  |   | X | X |   |
| B3.7  | <ul style="list-style-type: none"> <li>Compliance with such as Controlled Unclassified Information (CUI), Freedom of Information Act (FOIA), Open Government, Open Data, 508 Compliance, NARA Records Management, Paperwork Reduction Act, Cyber-security standards, Privacy (PII), civil discovery rules, geospatial standards, classified markings</li> </ul>                             | X | X | X | X |
| B3.8  | <ul style="list-style-type: none"> <li>Visit Agency offices to perform hygiene services resulting in reduction of physical records, scanning, tagging, and disposition (as defined by Federal Records Act 36 cfr 1222)</li> </ul>   |   | X |   |   |
| B3.9  | <ul style="list-style-type: none"> <li>All scanning must be in accordance with NARA standards in "Technical Guidelines for Digitizing Archival Materials for Electronic Access: Creation of Production Master Files<br/> <a href="https://www.archives.gov/files/preservation/technical/guidelines.pdf">https://www.archives.gov/files/preservation/technical/guidelines.pdf</a></li> </ul> | X | X | X | X |
| B3.10 | <ul style="list-style-type: none"> <li>Analysis of records schedule and recommend changes</li> </ul>  |   | X | X |   |
| B3.11 | <ul style="list-style-type: none"> <li>Analysis of priority systems against the NARA Universal ERM Requirements including but not limited to the FMI-DMS</li> </ul>   | X | X | X |   |
| B3.12 | <ul style="list-style-type: none"> <li>All systems recommended and procured under this contract must meet NARA universal ERM requirements <a href="https://www.archives.gov/records-mgmt/policy/universalerrequirements">https://www.archives.gov/records-mgmt/policy/universalerrequirements</a></li> </ul>  | X | X | X | X |
| B3.13 | <ul style="list-style-type: none"> <li>Analysis for level of effort for eDiscovery of records, indexing, keywords, taxonomy, and metadata on records across other priority systems</li> </ul>   | X | X | X | X |
| B3.14 | <ul style="list-style-type: none"> <li>eDiscovery enablement for all software procured under this contract</li> </ul>   |   | X | X | X |
| B3.15 | <ul style="list-style-type: none"> <li>When choosing metadata, ensure options are context sensitive</li> </ul>  | X | X | X | X |
| B3.16 | <ul style="list-style-type: none"> <li>Ensure all records under the system recommended and procured with this contract have the capability to automatically migrate in accordance with the NARA Universal ERM Requirements</li> </ul>   | X | X | X | X |
| B3.17 | <ul style="list-style-type: none"> <li>Migrate records and metadata as needed from the old system to the new system</li> </ul>  |   |   | X | X |
| B3.18 | <ul style="list-style-type: none"> <li>Establish there are internal controls to ensure all eligible, permanent agency records in all media are transferred to NARA according to approved records schedules</li> </ul>   | X | X | X | X |
| B3.19 | <ul style="list-style-type: none"> <li>Allow user intervention to delay, if necessary, the automatic accessioning and/or disposal of records</li> </ul>   |   | X | X | X |
| B3.20 | <ul style="list-style-type: none"> <li>Ensure records are not destroyed (both manually or automatically) before the retention period in the records schedule</li> </ul>   | X | X | X | X |
| B3.21 | <ul style="list-style-type: none"> <li>System must have controls that will allow privileged users to remove incorrect or bad records</li> </ul>   | X | X | X | X |



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| B3.22 | <ul style="list-style-type: none"> <li>Enable the identification of Vital Records in program and administrative areas (36 CFR 1222.2 and 36 CFR 1223.16)</li> </ul>  | X | X | X | X |
| B3.23 | <ul style="list-style-type: none"> <li>Agency requires systems procured under this contract to have an API with ability to connect to multiple systems such as correspondence systems, workflow systems, etc.</li> </ul> |   |   | X | X |

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| <b>B4</b> | <b>Identify and Implement Streamlined Scanning Process</b>  |  |   |   |   |
| B4.1      | <ul style="list-style-type: none"> <li>Objective is for all records at a pilot location to be scanned. Records consist of permanent and temporary records. Contractors must have the capability to scan records that consist of standard sizes including letter 8.5X11, legal 8.5X14, and tabloid 11X17.</li> </ul> |  | X | X | X |
| B4.2      | <ul style="list-style-type: none"> <li>FSA and NRCS offices have non-standard sized maps of various sizes ranging up to 24"X36" to be scanned (Note: maps are not huge proportion of the records to be scanned).</li> </ul>   |  | X | X | X |
| B4.3      | <ul style="list-style-type: none"> <li>Analysis and report on recommended modernized scanning methods in private and govt. industry</li> </ul>  |  | X |   |   |
| B4.4      | <ul style="list-style-type: none"> <li>Analysis and report on recommended technology for modern scanning methods</li> </ul>   |  | X |   |   |
| B4.5      | <ul style="list-style-type: none"> <li>Identify and form the number of teams required for scanning proof of concept deliverable</li> </ul>  |  | X |   |   |
| B4.6      | <ul style="list-style-type: none"> <li>Propose acquisition strategy for procurement of scanning technology for implementation teams</li> </ul>  |  | X |   |   |
| B4.7      | <ul style="list-style-type: none"> <li>Ability to streamline metadata attribution for each unique document type in FMI-DMS</li> </ul>   |  | X |   |   |
| B4.8      | <ul style="list-style-type: none"> <li>Strategic scanning based on NARA requirements (e.g. temporary vs. permanent)</li> </ul>  |  | X |   |   |
| B4.9      | <ul style="list-style-type: none"> <li>Quality control measures to ensure accuracy of records hygiene throughout implementation</li> </ul>  |  | X |   |   |
| B4.10     | <ul style="list-style-type: none"> <li>Proper storage or disposal of physical documents according to NARA requirements</li> </ul>   |  | X |   |   |
| B4.11     | <ul style="list-style-type: none"> <li>Provide and maintain an application/system for local office users that allows editing of metadata for scanned records and submission to DRMS.</li> </ul>   |  |   | X | x |
| <b>B5</b> | <b>Pilot and Analysis of Results (est. 15 Local Offices)</b>  |  |   |   |   |
| B5.1      | <ul style="list-style-type: none"> <li>Reserved</li> </ul>  |  | X |   |   |
| B5.2      | <ul style="list-style-type: none"> <li>Produce a Report, post-pilot with Analysis of Alternatives and Recommendations on strategic options for [Insert Agency Name] leadership consideration based off analyses and lessons learned during the pilot</li> </ul>   |  | X |   | X |
| B5.3      | <ul style="list-style-type: none"> <li>Propose an intelligent document type recognition and metadata extraction solution that can eliminate most labor needed to prepare scanned or imported documents for storage and can also minimize the human labor needed to develop and maintain the solution.</li> </ul>    |  | X |   | X |
| B5.4      | <ul style="list-style-type: none"> <li>Propose quality control and metadata editing solutions for manual metadata entry or correction when essential metadata cannot be automatically or correctly extracted; manual corrections should be leveraged to improve future metadata extraction accuracy.</li> </ul>     |  | X |   | X |

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| B5.5 | <ul style="list-style-type: none"> <li>Propose a bulk scanning and results management workflow solution that can track—at office, batch and page levels—the progress and status of scanning, metadata identifying, quality checking and DRMS storage of documents.</li> </ul> |  | X |  | X |
| B5.6 | <ul style="list-style-type: none"> <li>Produce a Project Plan with proposed schedule that incorporates the strategic timing of conducting local office scanning/document hygiene based on geographic region and Customer foot traffic</li> </ul>                              |  | X |  | X |
| B5.7 | <ul style="list-style-type: none"> <li>Collect surveys from field offices on what went well and what could be</li> </ul>  |  | X |  |   |

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|       | <p>improved, inclusive of a summary report of:</p> <ul style="list-style-type: none"> <li>○ Business metrics</li> <li>○ Technical metrics (e.g., connectivity, bandwidth, search capabilities, and verification of scanned document quality and accuracy)</li> </ul> <p>The purpose of this information is to assist [Insert Agency Name] with planning future records management activities.</p> |  |   |  |   |
| B5.8  | <ul style="list-style-type: none"> <li>● Incorporate Metrics, reviewed and approved by the Government to indicate progress of pilot that are reported in recurring status reports</li> </ul>  |  | X |  |   |
| B5.9  | <ul style="list-style-type: none"> <li>● Metrics to project time and cost of remaining local offices, reported in recurring status reports</li> </ul>   |  | X |  | X |
| B5.10 | <ul style="list-style-type: none"> <li>● Assist the Government with producing a methodology to collect metrics on the cubic feet of records processed in accordance with the disposition scenarios</li> </ul>   |  | X |  |   |

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| <b>B6</b> | <b>The DRMS must be capable of supporting current and enhanced Digital Signature capabilities for Customers and Employees, with the following capabilities:</b>                  |  |  |   |   |
| B6.1      | <ul style="list-style-type: none"> <li>● Ability to display signature status table for documents that can or have been signed</li> </ul>   |  |  | X | X |
| B6.2      | <ul style="list-style-type: none"> <li>● Ability to eSign and wet sign documents and automate signature status table upon receipt of signature</li> </ul>                        |  |  | X | X |
| B6.3      | <ul style="list-style-type: none"> <li>● Ability to automatically capture required signatories via authoritative data source</li> </ul>  |  |  | X | X |
| B6.4      | <ul style="list-style-type: none"> <li>● Ability to manually add additional participants to document if authoritative data source is incomplete or inadequate</li> </ul>         |  |  | X | X |
| B6.5      | <ul style="list-style-type: none"> <li>● Ability to automatically document acceptable signatory documentation and hierarchy for entities and embedded entities</li> </ul>        |  |  | X | X |
| B6.6      | <ul style="list-style-type: none"> <li>● Ability to notify customers and employees when a document requiring signature is available</li> </ul>                                   |  |  | X | X |
| B6.7      | <ul style="list-style-type: none"> <li>● Ability to notify customers and employees when a document has been signed</li> </ul>  |  |  | X | X |
| B6.8      | <ul style="list-style-type: none"> <li>● Ability to collect digital signatures in local office</li> </ul>  |  |  | X | X |
| B6.9      | <ul style="list-style-type: none"> <li>● Ability to collect digital signatures in non-local office settings</li> </ul>   |  |  | X | X |
| B6.10     | <ul style="list-style-type: none"> <li>● Ability to manually remove participants to document if authoritative data source is incomplete or inadequate</li> </ul>                 |  |  | X | X |
| B6.11     | <ul style="list-style-type: none"> <li>● Ability to automatically document acceptable signatory documentation and hierarchy for Attorneys- in-Fact (POA Grantees)</li> </ul>     |  |  | X | X |
| B6.12     | <ul style="list-style-type: none"> <li>● Public Key Infrastructure (PKI) from PIV associated with digital signature archived in accordance with NARA records schedule</li> </ul> |  |  | X | X |

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| <b>B7</b> | <b>Business Configurable Documents meeting NARA Universal ERM Requirements</b>  |   |   |  |   |
| B7.1      | <ul style="list-style-type: none"> <li>● Configurable rules engine that automates the management of records through the records lifecycle, and allows appropriate users to apply configuration settings.</li> </ul> | X | X |  | X |

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| B7.2 | <ul style="list-style-type: none"> <li>Ability for system to notify local office users when a document is scheduled for archiving or destruction</li> </ul> |  |   | X | X |
| B7.3 | <ul style="list-style-type: none"> <li>Ability for local office user to postpone document archiving or destruction</li> </ul>                               |  |   | X | X |
| B7.4 | <ul style="list-style-type: none"> <li>Ability to retrieve electronic records from an electronic archive. The</li> </ul>                                    |  | X | X | X |

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|           | service level associated with retrieval of archived documents is no more than 4 business days.   |  |   |   |   |
| B7.5      | <ul style="list-style-type: none"> <li>Ability to review and apply exceptions to automatic disposition of records.</li> <li>Ability to recover automatically disposed of records and identify the proposed SLA for retrieval window.</li> </ul>                              |  | X | X | X |
| <b>B8</b> | <b>New eRecord Collections and Inventory Report on Where Records are Stored</b>  |  |   |   |   |
| B8.1      | <ul style="list-style-type: none"> <li>Ability to customize multiple groupings of document types for streamlined access, use, and analysis</li> </ul>  |  |   | X | X |
| B8.2      | <ul style="list-style-type: none"> <li>Produce an inventory report, prior to the scanning effort, identifying where records to be scanned are stored and how many there are in each location by records type and stage in records lifecycle</li> </ul>                       |  | X | X | X |
| B8.3      | <ul style="list-style-type: none"> <li>Produce an agency-level dashboard showing the inventory of electronic records that includes but is not limited to the systems in which they are stored, the quantity, agency, record type, and stage in records lifecycle.</li> </ul> |  | X | X | X |

**CROSS-MAPPING REQUIREMENTS TO THE REFERENCE ARCHITECTURE**

The matrices provide the Contractor with a mapping of requirements to related sections in the Agency DRMS Reference Architecture (Attachment 06). This is intended to aid the Contractor in developing better proposals by providing additional context behind the government’s current thoughts about long term need. Because the reference describes an envisioned long-range target state, the mappings of the current phase-oriented implementation architecture requirements are not one-to-one. Nevertheless, understanding long term goals can help the Contractor propose and justify implementation choices that will better support incremental evolution toward the desired future.

**4. TECHNICAL REQUIREMENTS CROSS-MAPPING TO THE Agency DRMS REFERENCE ARCHITCTURE**

| <b><u>DRMS BPA- - ISD Technical Perspective</u></b> |  | <b>Reference Architecture Cross-mapping</b>   |
|---|--|---|
| <b>T1</b>   | <b>Hookup Alfresco Document Management System (FMI-DMS) to Farmers.Gov</b>   |   |
| T1.1  | <ul style="list-style-type: none"> <li>Establish network/service connectivity between FMI-DMS and Farmers.Gov</li> </ul>                   | <ul style="list-style-type: none"> <li>Core Access APIs (p49)</li> <li>Applications (p44)</li> <li>Certificate Management (p71)</li> <li>Appendix B: High-level Role-centric Use Cases (p76)               <ul style="list-style-type: none"> <li>See IT Capability Development Personnel use case #13 (p79)</li> </ul> </li> </ul> |
| T1.2  | <ul style="list-style-type: none"> <li>Identify FSA file types and metadata values to be included in initial Farmers.Gov access</li> </ul> | <ul style="list-style-type: none"> <li>Metadata Schema Content and Form (p29)</li> <li>Defining and Implementing Document Types and Metadata (p32)</li> </ul>   |
| T1.3  | <ul style="list-style-type: none"> <li>Identify Farmers.Gov services to call FMI-DMS services to manage metadata and artifacts</li> </ul>  | <ul style="list-style-type: none"> <li>Core Access APIs (p49)</li> <li>Applications (p44)</li> </ul>  |

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| T1.4 | <ul style="list-style-type: none"><li>• Develop document searching and display capabilities in FMI-DMS and integrate with Farmers.Gov user experience.</li></ul> | <ul style="list-style-type: none"><li>• Application Layer (p43)</li><li>• Appendix B: High-level Role-centric Use Cases (p76)<ul style="list-style-type: none"><li>○ See <i>IT Capability Development Personnel use case #13</i> (p79)</li></ul></li></ul> |
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| T2 | <b>Add Agency Mission Area file types to FMI-DMS and DRMS MVP</b> |
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| T2.1 | <ul style="list-style-type: none"> <li>Identify, catalog, establish access business rules for FSA file types</li> </ul>   | <ul style="list-style-type: none"> <li>Metadata Schema Content and Form (p29)</li> <li>Defining and Implementing Document Types and Metadata (p32)</li> </ul>                                   |
| T2.2 | <ul style="list-style-type: none"> <li>Adjust Alfresco DMS to accommodate FSA file types</li> </ul>   | <ul style="list-style-type: none"> <li>Document and Records Management Middleware (p44)</li> <li>Master Metadata System (p52)</li> <li>Document Systems and Stores (p55)</li> </ul>             |
| T2.3 | <ul style="list-style-type: none"> <li>Identify and establish records management metadata to support scanning pilot</li> </ul>  | <ul style="list-style-type: none"> <li>Defining and Implementing Document Types and Metadata (p32)</li> <li>Records Reference Data (p38)</li> </ul>   |
| T2.4 | <ul style="list-style-type: none"> <li>Test automated file type and metadata extraction identification alternatives</li> </ul>  | <ul style="list-style-type: none"> <li>Intelligent Document Recognition &amp; Metadata Extraction (p21)</li> </ul>  |
| T2.5 | <ul style="list-style-type: none"> <li>Establish infrastructure requirements and design for the Scanning Pilot, including connectivity solutions between scanners, scan results and secure automation accessible from [Insert Agency Name] network</li> </ul> | <ul style="list-style-type: none"> <li>Scanning &amp; Existing Document Intake Processes (p12)</li> </ul>   |
| T2.6 | <ul style="list-style-type: none"> <li>Establish metrics and collection and reporting mechanism for use during local office scanning pilot to indicate progress, time, costs, and space reduction cost savings during the pilot</li> </ul>                    | <ul style="list-style-type: none"> <li>Monitor Scan Batches (Dashboard) (p16)</li> <li>Track Batch Document Processing (Dashboard) (p20)</li> <li>Records Management Dashboard (p42)</li> </ul> |

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| <b>T3</b> | <b>Propose Solution as per NARA universal requirements for Electronic records Management DRMS</b>   | <i>For all T3 requirements:</i> <ul style="list-style-type: none"> <li>Records Management Administration (p37)</li> <li>Archives (p67)</li> <li>Defining and Implementing Document Types and Metadata (p32)</li> <li>Document and Records Management Middleware (p44)</li> <li>Immutable Document and Audit Logs (p69)</li> <li>Security Administration (p70)</li> <li>Appendix B: High-level Role-centric Use Cases (p76)               <ul style="list-style-type: none"> <li>See Records Management Officers use cases #7 - 11 (p78)</li> </ul> </li> </ul> |
| T3.1      | <ul style="list-style-type: none"> <li>Propose a solution to implement NARA Universal ERM requirements (see Attachment 02)</li> </ul>                           |  |
| T3.2      | <ul style="list-style-type: none"> <li>Map and reconcile Agency requirements with NARA universal requirements</li> </ul>  |  |
| T3.3      | <ul style="list-style-type: none"> <li>Develop a technical solution that is extensible to accommodate future shifts in NARA universal requirements</li> </ul>   |  |
| T3.4      | <ul style="list-style-type: none"> <li>Support rapid, cost effective development of operational systems to interact with NARA archiving dependencies</li> </ul> |  |

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| <b>T4</b> | <b>Identify, acquire, and configure Enterprise DRMS components for Minimum Viable Product</b>   |   |
| T4.1      | <ul style="list-style-type: none"> <li>Identify the full set of technical components that can best meet mission needs using a cloud-based middleware search/indexing engine coupled with various artifact stores</li> </ul> | <ul style="list-style-type: none"> <li>Full Reference Architecture</li> </ul> |
| T4.2      | <ul style="list-style-type: none"> <li>Validate the fit and establish workable architectural patterns needed to successfully implement a sustainable enterprise level solution</li> </ul>                                   | <ul style="list-style-type: none"> <li>Full Reference Architecture</li> </ul> |



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| T4.3 | NRCS and FSA file types, adjust SEO, store, and verify business and records management workflows | <ul style="list-style-type: none"><li>● Add</li><li>● Metadata Schema Content and Form (p29)</li><li>● Defining and Implementing Document Types and Metadata (p32)</li><li>● Document and Records Management Middleware (p44)</li><li>● Master Metadata System (p52)</li><li>● Document Systems and Stores (p55)</li><li>● Records Management Administration (p37)</li></ul> |
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| T4.4 | <ul style="list-style-type: none"> <li>Migrate Metadata stores from existing Alfresco DMS to cloud-based DRMS middleware search/indexing engine</li> </ul>                           | <i>For T4.4 &amp; T4.5:</i> <ul style="list-style-type: none"> <li>Defining and Implementing Document Types and Metadata (p32)</li> <li>Document and Records Management Middleware (p44)</li> <li>Master Metadata System (p52)</li> <li>Document Systems and Stores (p55)</li> <li>Records Reference Data (p38)</li> <li>Reference Architecture Migration Strategies (p72)</li> </ul> |
| T4.5 | <ul style="list-style-type: none"> <li>Establish a practical workable approach to migration, bridging and/or coexisting with FMI-DMS and DRMS MVP for transitional period</li> </ul> |   |

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| <b>T5</b> | <b>Identify and acquire [Insert Agency Name]-DISC cloud infrastructure and services</b>  | <i>For all T5 requirements:</i> <ul style="list-style-type: none"> <li>Infrastructure needs to be defined as part of the overall solution. All infrastructure and tools (cloud or otherwise) will be acquired in cooperation with and through [Insert Agency Name] OCIO.</li> <li>Development and operations processes and tools must integrate with critical Agency ISD practices.</li> <li>Document Type &amp; Metadata Definition &amp; Development (p27)</li> <li>Platform Administration (p69)</li> <li>Security Administration (p70)</li> </ul> |
| T5.1      | <ul style="list-style-type: none"> <li>In cooperation with [Insert Agency Name]-DISC cloud architects, identify and specify required development, testing, and production cloud infrastructure environments</li> </ul> |   |
| T5.2      | <ul style="list-style-type: none"> <li>Identify dedicated provider-to-provider connections and configure</li> </ul>  |   |
| T5.3      | <ul style="list-style-type: none"> <li>Procure production/non-production infrastructure and general support services with [Insert Agency Name]-DISC</li> </ul>   |   |

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| <b>T6</b> | <b>Provide standard capability to hook-up mission delivery applications/systems</b>   |   |
| T6.1      | <ul style="list-style-type: none"> <li>Identify and catalog document management needs for Agency mission delivery applications, in coordination with Information Solutions Division (ISD) staff</li> </ul>  | <ul style="list-style-type: none"> <li>Application Layer (p43)</li> <li>Defining and Implementing Document Types and Metadata (p32)</li> <li>Appendix B: High-level Role-centric Use Cases (p76)               <ul style="list-style-type: none"> <li>See IT Capability Development Personnel use case #13 (p79)</li> </ul> </li> </ul>   |
| T6.2      | <ul style="list-style-type: none"> <li>Develop a standardized Agency application programming interface (API) service layer to enable mission delivery application connection with the cloud-based middleware search/indexing engine to:               <ul style="list-style-type: none"> <li>store, version, delete, replace, restore, hide, unhide, archive, and retrieve documents of NRCS and FSA file types</li> <li>create, maintain, and search metadata via standardized SQL based search criteria</li> <li>manage records throughout the records lifecycle</li> </ul> </li> </ul> | <ul style="list-style-type: none"> <li>Document and Records Management Middleware (p44)</li> <li>Records Management Administration (p37)</li> <li>Appendix B: High-level Role-centric Use Cases (p76)               <ul style="list-style-type: none"> <li>See Records Management Officers use cases #7 - 11 (p78)</li> </ul> </li> </ul> |
| T6.3      | <ul style="list-style-type: none"> <li>Configure cloud-based middleware search/indexing engine to use the provided Agency application access management (AAM) authorization rules and protocols to insure proper access controls</li> </ul>   | <ul style="list-style-type: none"> <li>Access Management (p 71)</li> </ul>  |
| T6.4      | <ul style="list-style-type: none"> <li>Configure cloud-based middleware search/indexing engine to deny access to an improperly formed API request to insure metadata integrity</li> </ul>   | <ul style="list-style-type: none"> <li>Metadata Schema API and Platform (p35)</li> <li>Core Access APIs (p49)</li> </ul>  |

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| T6.5 | <ul style="list-style-type: none"><li>• Establish repeatable collection functionality to group multiple file types into a compressed package to ease time burden on field staff for streamlined access, use, and analysis</li></ul> | <ul style="list-style-type: none"><li>• Document &amp; Records Management Middleware (p44)<ul style="list-style-type: none"><li>○ <i>Compare</i> Folders (p45) <i>versus</i> Containers (p46)</li><li>○ Composite API (p50)</li></ul></li></ul> |
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| T6.6 | <ul style="list-style-type: none"> <li>Establish ability to produce an inventory report on stored records and how many are in each system/location based on leadership guidance and criteria</li> </ul> | <ul style="list-style-type: none"> <li>Document Systems and Stores (p55)</li> <li>See Storage Monitoring (p57) under Assumptions and Minimum Capabilities (p56)</li> </ul> |
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| <b>T7</b> | <b>Work jointly with [Insert Agency Name] cybersecurity for Authority to Test (ATT) and Authority to Operate (ATO)</b>   | <i>For all T7 requirements:</i> <ul style="list-style-type: none"> <li>Security Administration (p70)</li> </ul> |
| T7.1      | <ul style="list-style-type: none"> <li>Establish cross-functional project team with executive sponsorship to accomplish Authority to Test (ATT) and Authority to Operate (ATO)</li> </ul>          |   |
| T7.2      | <ul style="list-style-type: none"> <li>Define a strategic approach to accelerate ATT and ATO completion in cooperation with [Insert Agency Name] cybersecurity and Agency-ISD-IAB staff</li> </ul> |   |
| T7.3      | <ul style="list-style-type: none"> <li>Support timely, cost effective creation of security artifacts needed for authority to test (ATT) and authority to operate (ATO)</li> </ul>                  |   |
| T7.4      | <ul style="list-style-type: none"> <li>Ensure all cloud-based IaaS-, PaaS- and SaaS-based systems are FedRAMP certified to at least the FISMA Moderate level.</li> </ul>                           |   |

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| <b>T8</b> | <b>Provide Project Management Resources</b>   | <i>Project Management Resources are not addressed in the Reference Architecture.</i> |
| T8.1      | <ul style="list-style-type: none"> <li>Support training, management, and awareness for SAFe agile development practices and procedures</li> </ul>   |  |
| T8.2      | <ul style="list-style-type: none"> <li>Support reporting to leadership and oversight organizations on project/program progress, milestones, delays, risks, spending, and accomplishments</li> </ul>                                   |  |
| T8.3      | <ul style="list-style-type: none"> <li>Support frequent meetings and interactions within teams, business subject matter experts, leadership; with note taking, conference calls, live presentations, face-to-face meetings</li> </ul> |  |
| T8.4      | <ul style="list-style-type: none"> <li>Track and update actions, issues, risks, performance for the benefit and awareness for leadership, business, IT staff</li> </ul>   |  |

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| <b>T9</b> | <b>Stand up contractor staff for development, test, and scrum teams</b>  | <i>Delivery team staffing and management are not addressed in the Reference Architecture.</i> |
| T9.1      | <ul style="list-style-type: none"> <li>Support rapid, cost effective development/modification of the operational system, training system, and support components that meet business user defined thresholds</li> </ul> |   |
| T9.2      | <ul style="list-style-type: none"> <li>Support as many stretch objectives as are affordable under current contracting capacity</li> </ul>  |   |
| T9.3      | <ul style="list-style-type: none"> <li>Satisfy all Business user defined thresholds and clearly demonstrates business value to the mission area subject matter experts</li> </ul>                                      |   |
| T9.4      | <ul style="list-style-type: none"> <li>Address dependencies between systems, develops solutions that require the minimum number of work-arounds</li> </ul>   |   |

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| T9.5 | <ul style="list-style-type: none"><li>● Mitigate the risks associated with architectural dependencies between standing up minimum viable product and interactions with dependent/associated systems</li></ul> |  |
| T9.6 | <ul style="list-style-type: none"><li>● Support rapid, cost effective modification/upgrade/technology development and configuration using SAFe agile development methodologies</li></ul>                      |  |

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| T9.7 | <ul style="list-style-type: none"> <li>Support timely, cost effective configuration/development that ensures access to all required technical data and computer software, and associated license rights</li> </ul>   |  |
| T9.8 | <ul style="list-style-type: none"> <li>Provide staff with the necessary/required skill sets to fully support development, configuration, installation, deployment, testing a system of components that support business objectives without additional training required</li> </ul> |  |

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| <b>T10</b> | <b>Evaluate and identify Digital Signature capability and enable within DRMS</b>   | <i>For all T10 requirements:</i> <ul style="list-style-type: none"> <li>Document &amp; Records Management Middleware (p44)               <ul style="list-style-type: none"> <li>See Signature-awareness (p47)</li> </ul> </li> <li>Appendix B: High-level Role-centric Use Cases (p76)               <ul style="list-style-type: none"> <li>See Agency Customer use case #2</li> </ul> </li> </ul> |
| T10.1      | <ul style="list-style-type: none"> <li>Establish cross functional team with business and field staff to identify, and record Digital Signature requirements</li> </ul> |  |
| T10.2      | <ul style="list-style-type: none"> <li>Enable the collection of digital signatures in local/non-local office locations (online only)</li> </ul>                        |  |

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| <b>T11</b> | <b>Other non-functional requirements</b>  | <i>Non-functional performance metrics are not systematically addressed in the Reference Architecture. Citations are provided when relevant discussions are present.</i>         |
| T11.1      | <ul style="list-style-type: none"> <li>Guarantee a high degree of data durability and the prevention of data loss, even in cases of catastrophic system or data center failure.</li> </ul>  | <ul style="list-style-type: none"> <li>Document System (Type 4: Native Cloud Stores), see Cloud Storage Features, Geographical redundancy (availability zones) (p66)</li> </ul> |
| T11.2      | <ul style="list-style-type: none"> <li>Enable regular backups of all data, metadata, transaction logs, databases, content and configurations needed to fully restore the solution from those backups within 24 hours or less of catastrophic failure.</li> </ul>                                | <i>Not addressed in the Reference Architecture.</i>   |
| T11.3      | <ul style="list-style-type: none"> <li>Encrypt data and backups in transit and at rest in FISMA-moderate compliant infrastructure/system</li> </ul>   | <ul style="list-style-type: none"> <li>Security Administration (p70)</li> </ul>   |
| T11.4      | <ul style="list-style-type: none"> <li>Ensure fault tolerance to preserve business operations in the event of component, external resource, or less-than-catastrophic failure.</li> </ul>   | <ul style="list-style-type: none"> <li>Key Enablers (p7), see Elastic, Redundant, Cloud-based Managed Services (p8).</li> </ul>   |
| T11.5      | <ul style="list-style-type: none"> <li>All components emit appropriate log messages for business events, technical events or failures.</li> </ul>   | <ul style="list-style-type: none"> <li>IT System Logs (p69)</li> <li>Immutable Document and Audit Logs (p69)</li> </ul>   |
| T11.6      | <ul style="list-style-type: none"> <li>Conform to the Web Content Accessibility Guidelines (WCAG) 2.0, where Level A and Level AA Success Criteria must be met (a.k.a. Section 508 Compliance).</li> </ul>  | <i>Not called out in the Reference Architecture, but this standard applies to all components that contain a user interface.</i>   |
| T11.7      | <ul style="list-style-type: none"> <li>Ability of the solution to operate economically at all scales, supporting incremental, affordable growth to handle large volumes of documents (potentially in the hundreds of millions).</li> </ul>  | <ul style="list-style-type: none"> <li>Solution Principles / Long-term Goals (p7)</li> </ul>  |
| T11.8      | <ul style="list-style-type: none"> <li>Use certificate-based encryption with all solution APIs</li> </ul>   | <ul style="list-style-type: none"> <li>Certificate Management (p71)</li> </ul>  |
| T11.9      | <ul style="list-style-type: none"> <li>Ensure government ownership, rights and control over all solution content and data, along with access to all solution components, including rights of oversight, administration, licensing and successorship for the solution, its components</li> </ul> | <i>Not addressed in the Reference Architecture.</i>   |

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|        | and<br>configurations.   |   |
| T11.10 | <ul style="list-style-type: none"><li>Integrate with [Insert Agency Name] and Agency solutions for key management, certificate management, service integration, security authentication, authorization, development, deployment, and</li></ul> | <i>Distributed references in several section:</i> <ul style="list-style-type: none"><li>Platform Administration (p69)</li><li>Security Administration (p70)</li></ul> |

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|        | operations infrastructure management (log aggregation, monitoring, provisioning, etc.).  |  |
| T11.11 | <ul style="list-style-type: none"> <li>All services, API calls, and queries respond at speeds that meet or exceed limits and thresholds to meet the needs and expectations of customers and Agency staff who must accomplish mission tasks quickly and interactively.</li> </ul> | <ul style="list-style-type: none"> <li>Solution Principles / Long-term Goals (p7)</li> <li>Key Enablers (p7)</li> </ul>  |
| T11.12 | <ul style="list-style-type: none"> <li>Solution intake performance must accommodate hundreds of thousands of documents inserted during a single business day (due to peak demands expected during bulk document loading).</li> </ul>   | <ul style="list-style-type: none"> <li>Solution Principles / Long-term Goals (p7)</li> <li>Intelligent Document Recognition &amp; Metadata Extraction (see p22 for example numbers)</li> </ul> |

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| <b>T12</b> | <b>Additional architectural and technical requirements</b>  |  |
| T12.1      | <ul style="list-style-type: none"> <li>Provide a repository (for storing) and a metadata schema API (for creating, updating and querying) the official form, content and rules associated with each uniquely identified, versioned metadata schema for each document type; that must be managed separately along agency boundaries</li> </ul> | <ul style="list-style-type: none"> <li>Metadata Schema API and Platform (p35)</li> </ul> |

**5. BUSINESS REQUIREMENTS CROSS-MAPPING TO THE REFERENCE ARCHITCTURE**

| <b>DRMS SOO - Business Perspective</b> |  | <b>Reference Architecture Cross-mapping</b>   |
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| <b>B1</b>                              | <b>Store, Index, Search, and Retrieve New Document Types with Version and Delete Controls</b>  |   |
| B1.1                                   | <ul style="list-style-type: none"> <li>Identification of new eDocument types required for scanning pilot</li> </ul>  | <i>For B.1 and B.2:</i> <ul style="list-style-type: none"> <li>Defining and Implementing Document Types and Metadata (p32)</li> <li>Document and Records Management Middleware (p44)</li> <li>Appendix B: High-level Role-centric Use Cases (p76)               <ul style="list-style-type: none"> <li>See Business Capability Development Personnel use case #12 (p79)</li> <li>See Records Management Officers use cases #7 &amp; 8 (p78)</li> </ul> </li> </ul>  |
| B1.2                                   | <ul style="list-style-type: none"> <li>Identification of metadata needed for new eDocument types</li> </ul>  |   |
| B1.3                                   | <ul style="list-style-type: none"> <li>Implementation of new eDocument types and applicable metadata to store, index, search and retrieve new documents</li> </ul> | <ul style="list-style-type: none"> <li>Document Type &amp; Metadata Definition &amp; Development (p27)</li> <li>Document and Records Management Middleware (p44)</li> <li>Master Metadata System (p52)</li> <li>Document Systems and Stores (p55)</li> <li>Records Reference Data (p38)</li> <li>Appendix B: High-level Role-centric Use Cases (p76)               <ul style="list-style-type: none"> <li>See Business Capability Development Personnel use case #12 (p79)</li> <li>See Records Management Officers use cases #7 &amp; 8 (p78)</li> </ul> </li> </ul> |
| B1.4                                   | <ul style="list-style-type: none"> <li>Ability to Version, Replace, and Delete documents</li> </ul>  | <i>For B1.4 through B1.9:</i><br><i>These are specific features of document lifecycle management discussed in the Reference</i>   |



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| B1.5 | ● Ability<br>to Restore Deleted Documents and ensure a non-hard<br>delete | <i>Architecture. Note: current client application<br/>visibility controls need to be validated in the new</i> |
| B1.6 | ● Ability to toggle visibility of new documents on or off for Clients     |   |

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|       | by originating System   | <i>larger-scale of the DRMS scope.</i>  |
| B1.7  | <ul style="list-style-type: none"> <li>Ability to toggle visibility of new documents on or off for Clients by user w/ write permissions</li> </ul>            | <ul style="list-style-type: none"> <li>Document and Records Management Middleware (p44)</li> <li>Access Management (p71)</li> </ul>   |
| B1.8  | <ul style="list-style-type: none"> <li>Ability to search for documents based on metadata tags</li> </ul>  |   |
| B1.9  | <ul style="list-style-type: none"> <li>Ability to search for documents based on document type</li> </ul>  |   |
| B1.10 | <ul style="list-style-type: none"> <li>Ability to display pertinent documents based on a user's context in document solution</li> </ul>                       | <i>Ability to display is based on ability to retrieve a document using a current metadata reference. That retrieval right is checked at time of attempted document retrieval.</i> <ul style="list-style-type: none"> <li>Document and Records Management Middleware (p44)</li> <li>Access Management (p71)</li> </ul>   |
| B1.11 | <ul style="list-style-type: none"> <li>Ability to view documents in both Alfresco solution and Farmers.Gov</li> </ul>   | <i>Each client of the DRMS APIs would have the ability to view documents assuming the requestor has the appropriate role and authority. Older direct access via Alfresco is possible but would need to be read only to prevent DRMS metadata corruption (should access should be considered as transitional and should be replaced as soon as practical).</i> <ul style="list-style-type: none"> <li>Document and Records Management Middleware (p44)</li> <li>Access Management (p71)</li> </ul> |
| B1.12 | <ul style="list-style-type: none"> <li>Service layer so that other applications can fully connect and communicate with it and feed documents to it</li> </ul> | <i>This is a core design tenant of the Reference Architecture.</i> <ul style="list-style-type: none"> <li>Document and Records Management Middleware (p44)</li> <li>Access Management (p71)</li> </ul>  |

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| <b>B2</b> | <b>New Document Roles for FSA for Read/Write Permissions</b>  | <i>The Reference Architecture addresses the mechanism for defining and implementing the roles and services that enforce access rights as outlined here. More refined requirements will be defined in the course of the program and will include groups beyond FSA.</i> |
| B2.1      | <ul style="list-style-type: none"> <li>Analysis on types of roles needed</li> </ul>   |  |
| B2.2      | <ul style="list-style-type: none"> <li>Analysis on permissions for each role</li> </ul>   |  |
| B2.3      | <ul style="list-style-type: none"> <li>Creation of new Roles for Read Only</li> </ul>   |  |
| B2.4      | <ul style="list-style-type: none"> <li>Creation of new Roles for Read/Write Ability</li> </ul>  |  |
| B2.5      | <ul style="list-style-type: none"> <li>Integration of new Roles with production DRMS solution</li> </ul>  | <ul style="list-style-type: none"> <li>Document and Records Management Middleware (p44)</li> <li>Access Management (p71)</li> </ul>  |
| B2.6      | <ul style="list-style-type: none"> <li>Changes to existing non-FSA roles to allow/not allow access to individual documents or document collections</li> </ul> |  |
| B2.7      | <ul style="list-style-type: none"> <li>Integrate new roles and eDocument behavior with Farmers.Gov</li> </ul>   |  |
| B2.8      | <ul style="list-style-type: none"> <li>New role for NARA expert for NARA rules configuration</li> </ul>   |  |

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| <b>B3</b> | <b>Identify Business Needs for Records Management</b>   |  |
| B3.1      | <ul style="list-style-type: none"> <li>Analysis for Records Management needs for Current and Future eDocument Types</li> </ul>  | <i>Partially addressed in the full Reference Architecture in the generic method of storing binary objects that can accommodate future types with new metadata.</i> |
| B3.2      | <ul style="list-style-type: none"> <li>Provide recommended policy and procedures to implement digital records management and guidance (actual content) that can be used in MyAgency Portal to help employees understand and implement records management</li> </ul> | <i>Not addressed in the Reference Architecture.</i>  |

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| B3.3 | <ul style="list-style-type: none"><li>• Update/Modify the Federal Records Officer Network (FRON) RM 101 course package (Articulate Storyline software) that can be used in AgLearn (the [Insert Agency Name] online training portal) suitable. The course must include a certificate of completion</li></ul> | <i>Not addressed in the Reference Architecture.</i> |
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| B3.4  | <ul style="list-style-type: none"> <li>Develop training material and curriculum to train local office staff on how to scan hardcopy documents when necessary</li> </ul>  | <i>Not addressed in the Reference Architecture.</i>   |
| B3.5  | <ul style="list-style-type: none"> <li>Reports, dashboards, analytic tools and document meta data that will enable digital records oversight, audits, and reporting</li> </ul>   | <ul style="list-style-type: none"> <li>Monitor Scan Batches (Dashboard) (p16)</li> <li>Batch Document Processing (Dashboard) (p20)</li> <li>Records Management Dashboard (p42)</li> <li>Immutable Document and Audit Logs (p69)</li> <li>Records Lifecycle Management (p41)</li> <li>Records Management Intelligence Store (p42)</li> <li>Records Audits (p42)</li> </ul> |
| B3.6  | <ul style="list-style-type: none"> <li>Minimize the burden on staff to search, find, and group records to enable staff to efficiently respond to requests for information and data calls.</li> </ul>   | <ul style="list-style-type: none"> <li>Document &amp; Records Management Middleware (p44)             <ul style="list-style-type: none"> <li>Compare Folders (p45) versus Containers (p46)</li> </ul> </li> <li>Composite API (p50)</li> </ul>  |
| B3.7  | <ul style="list-style-type: none"> <li>Compliance with such as Controlled Unclassified Information (CUI), Freedom of Information Act (FOIA), Open Government, Open Data, 508 Compliance, NARA Records Management, Paperwork Reduction Act, Cyber-security standards, Privacy (PII), civil discovery rules, geospatial standards, classified markings</li> </ul>                        | Addressed in Appendix D (Page 84): Applicable Standards, where each of the standards called out in the requirements are addressed with links to the appropriate standards sites online and a brief discussion of how each relates to the DRMS solution.   |
| B3.8  | <ul style="list-style-type: none"> <li>Visit Agency offices to perform hygiene services resulting in reduction of physical records, scanning, tagging, and disposition (as defined by Federal Records Act 36 cfr 1222)</li> </ul>  | <i>Not addressed in the Reference Architecture.</i>   |
| B3.9  | <ul style="list-style-type: none"> <li>All scanning must be in accordance with NARA standards in “Technical Guidelines for Digitizing Archival Materials for Electronic Access: Creation of Production Master Files <a href="https://www.archives.gov/files/preservation/technical/guidelines.pdf">https://www.archives.gov/files/preservation/technical/guidelines.pdf</a></li> </ul> | <i>The intent of the Reference Architecture is to help meet NARA requirements.</i>  |
| B3.10 | <ul style="list-style-type: none"> <li>Analysis of records schedule and recommend changes</li> </ul>   | <i>Not addressed in the Reference Architecture.</i>   |
| B3.11 | <ul style="list-style-type: none"> <li>Analysis of priority systems against the NARA Universal ERM Requirements including but not limited to the Document Management System</li> </ul>   | <i>Not addressed in the Reference Architecture, but the intent is to help meet NARA requirements.</i>   |
| B3.12 | <ul style="list-style-type: none"> <li>All systems recommended and procured under this contract must meet NARA universal ERM requirements <a href="https://www.archives.gov/records-mgmt/policy/universalermsrequirements">https://www.archives.gov/records-mgmt/policy/universalermsrequirements</a></li> </ul>   | <ul style="list-style-type: none"> <li>Full Reference Architecture</li> </ul>   |
| B3.13 | <ul style="list-style-type: none"> <li>Analysis for level of effort for eDiscovery of records, indexing, keywords, taxonomy, and metadata on records across other priority systems</li> </ul>  | <i>Not addressed in the Reference Architecture (as this refers to systems outside DRMS).</i>  |
| B3.14 | <ul style="list-style-type: none"> <li>eDiscovery enablement for all software procured under this contract</li> </ul>  | <p><i>Not directly addressed in the Reference Architecture but please see the following section to clarify the nature of eDiscovery needed. Misapplication could have a dramatically and unnecessarily raise solution cost.</i></p> <ul style="list-style-type: none"> <li>Defined Metadata versus Full-text Indexing (p9)</li> </ul>                                     |

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| B3.15 | <ul style="list-style-type: none"><li>• When choosing metadata, ensure options are context sensitive</li></ul>   | <i>Not discussed in the Reference Architecture but would be an expansion of Middleware (and Records Management Reference Data) services to support UI productivity features for dropdown selection values or auto-suggestion type ahead features.</i> |
| B3.16 | <ul style="list-style-type: none"><li>• Ensure all records under the system recommended and procured with this contract have the capability to automatically</li></ul> | <ul style="list-style-type: none"><li>• Records Management Administration (p37)</li><li>• Archives (p67)</li><li>• Appendix B: High-level Role-centric Use Cases</li></ul>  |

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|       | migrate in accordance with the NARA Universal ERM Requirements   | (p76)<br><ul style="list-style-type: none"> <li>○ See Records Management Officers use cases #7 - 11 (p78)</li> </ul>  |
| B3.17 | <ul style="list-style-type: none"> <li>● Migrate records and metadata as needed from the old system to the new system</li> </ul>   | <ul style="list-style-type: none"> <li>● Defining and Implementing Document Types and Metadata (p32)</li> <li>● Document and Records Management Middleware (p44)</li> <li>● Master Metadata System (p52)</li> <li>● Document Systems and Stores (p55)</li> <li>● Records Reference Data (p38)</li> <li>● Reference Architecture Migration Strategies (p72)</li> </ul>                                     |
| B3.18 | <ul style="list-style-type: none"> <li>● Establish there are internal controls to ensure all eligible, permanent agency records in all media are transferred to NARA according to approved records schedules</li> </ul>    | <p><i>The Reference Architecture is intended to be adaptable to support appropriate [Insert Agency Name] and NARA controls and processes.</i></p> <ul style="list-style-type: none"> <li>● Records Management Administration (p37)</li> <li>● Archives (p67)</li> <li>● Appendix B: High-level Role-centric Use Cases (p76)</li> <li>○ See Records Management Officers use cases #7 - 11 (p78)</li> </ul> |
| B3.19 | <ul style="list-style-type: none"> <li>● Allow user intervention to delay, if necessary, the automatic accessioning and/or disposal of records</li> </ul>  | <p><i>Partially addressed on p35. Proposes Retention Extension metadata field(s) that could support such a request process.</i></p>   |
| B3.20 | <ul style="list-style-type: none"> <li>● Ensure records are not destroyed (both manually or automatically) before the retention period in the records schedule</li> </ul>  | <p><i>The Reference Architecture uses the Middleware Logic layer to enforce Records Management policies, overriding and preventing lifecycle actions contrary to policies.</i></p> <ul style="list-style-type: none"> <li>● Document and Records Management Middleware (p44)</li> </ul>   |
| B3.21 | <ul style="list-style-type: none"> <li>● System must have controls that will allow privileged users to remove incorrect or bad records</li> </ul>  | <p><i>Role and service designs are key to establishing access to (ideally) rarely used services able to remediate errors or take systemic actions like archiving records.</i></p> <ul style="list-style-type: none"> <li>● Document and Records Management Middleware (p44)</li> <li>● Access Management (p71)</li> </ul>   |
| B3.22 | <ul style="list-style-type: none"> <li>● Enable the identification of Records in program and administrative areas (36 CFR 1222.2 and 36 CFR 1223.16)</li> </ul>  | <p><i>The Reference Architecture is specifically designed to address the largest portion of mission program Vital Records (per 36 CFR 1223.16) following official definitions (per 36 CFR 1222.2, redirected to 1220.18).</i></p>   |
| B3.23 | <ul style="list-style-type: none"> <li>● Agency requires systems procured under this contract to have an API with ability to connect to multiple systems such as correspondence systems, workflow systems, etc.</li> </ul> | <p><i>The Reference Architecture further defines the nature and scope of the multiple APIs needed to meet this requirement.</i></p> <ul style="list-style-type: none"> <li>● Document and Records Management Middleware (p44)</li> </ul>  |

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| <b>B4</b> | <b>Identify and Implement Streamlined Scanning Process</b>  | <i>For all B4 requirements:</i>   |
| B4.1      | <ul style="list-style-type: none"> <li>● Objective is for all records at a pilot location to be scanned. Records consist of permanent and temporary records. Contractors must have the capability to scan records that consist of standard sizes including letter 8.5X11, legal 8.5X14, and tabloid 11X17.</li> </ul> | <ul style="list-style-type: none"> <li>● Scanning &amp; Existing Document Intake Processes (p12)</li> </ul> |

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| B4.2 | ● FSA and<br>NRCS offices have non-standard sized maps of various sizes ranging up to 24"X36" to be scanned (Note: maps are not huge proportion of the records to be scanned). |  |
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| B4.3  | <ul style="list-style-type: none"> <li>Analysis and report on recommended modernized scanning methods in private and govt. industry</li> </ul>  |  |
| B4.4  | <ul style="list-style-type: none"> <li>Analysis and report on recommended technology for modern scanning methods</li> </ul>   |  |
| B4.5  | <ul style="list-style-type: none"> <li>Identify and form the number of teams required for scanning proof of concept deliverable</li> </ul>  |  |
| B4.6  | <ul style="list-style-type: none"> <li>Propose acquisition strategy for procurement of scanning technology for implementation teams</li> </ul>  |  |
| B4.7  | <ul style="list-style-type: none"> <li>Ability to streamline metadata attribution for each unique document type in Alfresco solution</li> </ul>   |  |
| B4.8  | <ul style="list-style-type: none"> <li>Strategic scanning based on NARA requirements (e.g. temporary vs. permanent)</li> </ul>  |  |
| B4.9  | <ul style="list-style-type: none"> <li>Quality control measures to ensure accuracy of records hygiene throughout implementation</li> </ul>  |  |
| B4.10 | <ul style="list-style-type: none"> <li>Proper storage or disposal of physical documents according to NARA requirements</li> </ul>   |  |
| B4.11 | <ul style="list-style-type: none"> <li>Provide and maintain an application/system for local office users that allows editing of metadata for scanned records and submission to DRMS.</li> </ul> |  |

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| <b>B5</b> | <b>Pilot and Analysis of Results (est. 15 Local Offices)</b>   |  |
| B5.1      | <ul style="list-style-type: none"> <li>Reserved</li> </ul>   | N/A  |
| B5.2      | <ul style="list-style-type: none"> <li>Produce a Report, post-pilot with Analysis of Alternatives and Recommendations on strategic options for [Insert Agency Name] leadership consideration based off analyses and lessons learned during the pilot</li> </ul>  | <ul style="list-style-type: none"> <li>Full Reference Architecture</li> </ul>                                      |
| B5.3      | <ul style="list-style-type: none"> <li>Propose an intelligent document type recognition and metadata extraction solution that can eliminate most labor needed to prepare scanned or imported documents for storage and can also minimize the human labor needed to develop and maintain the solution.</li> </ul> | <ul style="list-style-type: none"> <li>Intelligent Document Recognition &amp; Metadata Extraction (p21)</li> </ul> |
| B5.4      | <ul style="list-style-type: none"> <li>Propose quality control and metadata editing solutions for manual metadata entry or correction when essential metadata cannot be automatically or correctly extracted; manual corrections should be leveraged to improve future metadata extraction accuracy.</li> </ul>  | <ul style="list-style-type: none"> <li>Quality and Error Handling (p24)</li> </ul>                                 |
| B5.5      | <ul style="list-style-type: none"> <li>Propose a bulk scanning and results management workflow solution that can track—at office, batch and page levels—the progress and status of scanning, metadata identifying, quality checking and DRMS storage of documents.</li> </ul>                                    | <ul style="list-style-type: none"> <li>Scanning &amp; Existing Document Intake Processes (p12)</li> </ul>          |
| B5.6      | <ul style="list-style-type: none"> <li>Produce a Project Plan with proposed schedule that incorporates the strategic timing of conducting local office scanning/document hygiene based on geographic region and Customer foot traffic</li> </ul>   | <i>Not addressed in the Reference Architecture.</i>  |



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| B5.7 | <ul style="list-style-type: none"><li>● Collect surveys from field offices on what went well and what could be improved, inclusive of a summary report of:<ul style="list-style-type: none"><li>○ Business metrics</li><li>○ Technical metrics (e.g., connectivity, bandwidth, search capabilities, and verification of scanned document quality)</li></ul></li></ul> | <i>Not addressed in the Reference Architecture.</i> |
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|       | and accuracy)<br>The purpose of this information is to assist [Insert Agency Name] with planning future records management activities.  |   |
| B5.8  | <ul style="list-style-type: none"> <li>Incorporate Metrics, reviewed and approved by the Government to indicate progress of pilot that are reported in recurring status reports</li> </ul>                  | <ul style="list-style-type: none"> <li>Monitor Scan Batches (Dashboard) (p16)</li> <li>Track Batch Document Processing (Dashboard) (p20)</li> </ul> |
| B5.9  | <ul style="list-style-type: none"> <li>Metrics to project time and cost of remaining local offices, reported in recurring status reports</li> </ul>   | <ul style="list-style-type: none"> <li>Monitor Scan Batches (Dashboard) (p16) Track Batch Document Processing (Dashboard) (p20)</li> </ul>          |
| B5.10 | <ul style="list-style-type: none"> <li>Assist the Government with producing a methodology to collect metrics on the cubic feet of records processed in accordance with the disposition scenarios</li> </ul> | <i>Not addressed in the Reference Architecture.</i>   |

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| <b>B6</b> | <b>The DRMS must be capable of supporting current and enhanced Digital Signature capabilities for Customers and Employees, with the following capabilities:</b>                | <i>For all B6 requirements:</i> <ul style="list-style-type: none"> <li>These requirements extend the limited citations in the Reference Architecture.</li> <li>Document &amp; Records Management Middleware               <ul style="list-style-type: none"> <li>see Permanent vs Temporary Records (p46)</li> <li>see Signature-awareness (p47)</li> </ul> </li> <li>Appendix B: High-level Role-centric Use Cases (p76)               <ul style="list-style-type: none"> <li>See Agency Customer use case #2</li> </ul> </li> </ul> |
| B6.1      | <ul style="list-style-type: none"> <li>Ability to display signature status table for documents that can or have been signed</li> </ul>   |   |
| B6.2      | <ul style="list-style-type: none"> <li>Ability to eSign and wet sign documents and automate signature status table upon receipt of signature</li> </ul>                        |   |
| B6.3      | <ul style="list-style-type: none"> <li>Ability to automatically capture required signatories via authoritative data source</li> </ul>  |   |
| B6.4      | <ul style="list-style-type: none"> <li>Ability to manually add additional participants to document if authoritative data source is incomplete or inadequate</li> </ul>         |   |
| B6.5      | <ul style="list-style-type: none"> <li>Ability to automatically document acceptable signatory documentation and hierarchy for entities and embedded entities</li> </ul>        |   |
| B6.6      | <ul style="list-style-type: none"> <li>Ability to notify customers and employees when a document requiring signature is available</li> </ul>                                   |   |
| B6.7      | <ul style="list-style-type: none"> <li>Ability to notify customers and employees when a document has been signed</li> </ul>  |   |
| B6.8      | <ul style="list-style-type: none"> <li>Ability to collect digital signatures in local office</li> </ul>  |   |
| B6.9      | <ul style="list-style-type: none"> <li>Ability to collect digital signatures in non-local office settings</li> </ul>   |   |
| B6.10     | <ul style="list-style-type: none"> <li>Ability to manually remove participants to document if authoritative data source is incomplete or inadequate</li> </ul>                 |   |
| B6.11     | <ul style="list-style-type: none"> <li>Ability to automatically document acceptable signatory documentation and hierarchy for Attorneys- in-Fact (POA Grantees)</li> </ul>     |   |
| B6.12     | <ul style="list-style-type: none"> <li>Public Key Infrastructure (PKI) from PIV associated with digital signature archived in accordance with NARA records schedule</li> </ul> |   |

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| <b>B7</b> | <b>Business Configurable Documents meeting NARA Universal ERM Requirements</b>  |  |
| B7.1      | <ul style="list-style-type: none"><li>Configurable rules engine that automates the management of records through the records lifecycle, and allows appropriate users to apply configuration settings.</li></ul> | <ul style="list-style-type: none"><li>Records Lifecycle Management (p41)</li></ul>   |
| B7.2      | <ul style="list-style-type: none"><li>Ability for system to notify local office users when a document is scheduled for archiving or destruction</li></ul>   | <i>Partially addressed on p35. Offers one possible mechanism to project the date of upcoming records actions this can be used in a variety of notification or reports.</i> |

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| B7.3 | <ul style="list-style-type: none"> <li>Ability for local office user to postpone document archiving or destruction</li> </ul>   | <i>Partially addressed on p35. Proposes Retention Extension metadata field(s) that could support such a request process.</i>   |
| B7.4 | <ul style="list-style-type: none"> <li>Ability to retrieve electronic records from an electronic archive. The service level associated with retrieval of archived documents is no more than 4 business days.</li> </ul>                         | <i>Extensive discussions of cloud-based hierarchically storage systems with automatic delayed retrieval:</i> <ul style="list-style-type: none"> <li>Key Enablers (p7)</li> <li>Document System (Type 1: Alfresco Stores) (p59)</li> <li>Document System (Type 4: Native Cloud Stores) (p64)</li> </ul> |
| B7.5 | <ul style="list-style-type: none"> <li>Ability to review and apply exceptions to automatic disposition of records.</li> <li>Ability to recover automatically disposed of records and identify the proposed SLA for retrieval window.</li> </ul> | <i>Discussed as general records management processes and rules:</i> <ul style="list-style-type: none"> <li>Records Lifecycle Management (p41)</li> </ul>   |

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| <b>B8</b> | <b>New eRecord Collections and Inventory Report on Where Records are Stored</b>  | <i>For all B8 requirements:</i> <ul style="list-style-type: none"> <li>Records Management Dashboard (p42)</li> </ul> |
| B8.1      | <ul style="list-style-type: none"> <li>Ability to customize multiple groupings of document types for streamlined access, use, and analysis</li> </ul>  |  |
| B8.2      | <ul style="list-style-type: none"> <li>Produce an inventory report, prior to the scanning effort, identifying where records to be scanned are stored and how many there are in each location by records type and stage in records lifecycle</li> </ul>                       |  |
| B8.3      | <ul style="list-style-type: none"> <li>Produce an agency-level dashboard showing the inventory of electronic records that includes but is not limited to the systems in which they are stored, the quantity, agency, record type, and stage in records lifecycle.</li> </ul> |  |