

**NAMA-11-RFI-0002**

**NARA ERA OPERATIONS & MAINTENANCE  
SECTION C - DRAFT STATEMENT OF WORK**

Version 05JAN2011

# SECTION C - DESCRIPTION /STATEMENT OF WORK

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## **1.0 SCOPE**

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### **1.1 INTRODUCTION**

The purpose of this Statement of Work is to outline the provisions of the Operations and Maintenance (O&M) for the Electronic Records Archives (ERA) system of the National Archives and Records Administration (NARA).

### **1.2 ERA BACKGROUND**

ERA's purpose is to preserve and manage NARA's electronic records and to manage the lifecycle of paper records and other holdings, including support for records retention schedules and the accessioning process for all Federal records. ERA allows NARA to fulfill its mission in the digital age: to safeguard and preserve the records of our government, ensure that the people can discover, use and learn from this documentary heritage, and ensure continuing access to the essential documentation of the rights of American citizens and the actions of their government.

As a program, ERA is composed of the policies, procedures, practices, and technology that enables NARA to receive, preserve, and provide access to electronic records. Electronic records are managed in the context of NARA's Lifecycle Approach to managing records. This approach places records management decisions and actions in a comprehensive and continuous discipline that extends from the design of systems in which records shall be created and kept to their final disposition including, where appropriate, permanent preservation in the National Archives of the United States (which includes Presidential Libraries). Continuous and comprehensive records management applies to all records, not just electronic records.

The ERA systems ingest, preserve, and provide access to the electronic records of all three branches of the U.S. Government. ERA is a comprehensive, systematic, and dynamic means for preserving any kind of electronic record, free from dependence on specific hardware and/or software.

In summation, ERA provides capabilities to:

1. Facilitate lifecycle management transactions (such as disposition agreements, transfers, and accessions) for all records;
2. Store and search descriptions for permanent records;
3. Preserve and provide access to permanent electronic records;
4. Interface with other systems to receive from them and provide them with relevant lifecycle management information;
5. Ingest, preserve, and provide access to non-electronic records that have been converted to electronic format;

6. Ensure that electronic records transferred to NARA remain free from corruption and accessible regardless of changes in information technology; and
7. Enforce restrictions on access and release of electronic records.

### 1.3 SCOPE OF WORK

The production platform and other electronic resources for the ERA system to be managed in this contract are located at the Allegany Ballistics Laboratory (ABL) in Rocket Center, West Virginia. ABL is a diverse industrial complex operated by Naval Sea Systems Command (NAVSEA) and is a member of the Federal Laboratory Consortium. Additional resources for ERA are located at the NARA Archives II building in College Park, MD.

NARA has contracted the use of facilities at ABL for ERA operations. ERA operations are located on site at ABL which contains the system's datacenters totaling approximately 4,000 square feet.

The ERA datacenters currently contain approximately 50 racks of equipment of servers, networking, and electronic storage. The current environment is a combination of Sun and Dell servers, EMC and NetApp storage, and Cisco routers. The Hitachi Content Archive Platform (HCAP) system is utilized in one instance of the ERA system for content management and archival storage. An overview of the ERA production environment is provided in the documentation referenced in Section 2.

The ABL site provides services for the search, recall, input, and validation of NARA electronic records via a web interface to the various system users. The Contractor will be responsible for management of the data center resources, networking, storage, records ingest processes, IT security, backup and recovery, help desk functions, and corrective and adaptive maintenance of the ERA systems.

The Contractor will be responsible for maintaining all development and test environments in order to perform corrective and adaptive maintenance and sustaining engineering tasks. This includes the following environments: the development environment, the Software Integration & Test (SWIT) Lab and the System Integration & Test (SIT) Lab. The Contractor shall provide a secure, climate controlled space and utility power to accommodate the equipment. The facility shall be located within 25 miles of the NARA Archives II building in College Park, MD. All development and test hardware and software will be furnished by NARA. Specific information pertaining to these environments is provided in the documentation referenced in Section 2. External networking (WAN) connectivity will be furnished by NARA.

The Contractor will not be responsible for the operation or support of government furnished telecommunications at ABL or College Park. However, the contractor will be required to track issues regarding their status through the ERA helpdesk and inform responsible parties of service disruptions as appropriate.

The Contractor will not be responsible for management of facility-based services at the ABL site including utility power, HVAC, physical security, generator, telephone system, and other services that directly support the facility. However the contractor will be required to track issues regarding their status through the ERA helpdesk and inform responsible parties of service disruptions as appropriate.

Cubicle space for up to twenty-five persons will be provided by the government to the contractor at the ABL site. Any additional workspace for performance of work under this contract shall be provided by the contractors.

The Contractor shall be responsible for providing all support necessary to maintain each of the ERA instances which are:

1. ***Federal Records Instance (Base): Deployed June 2008***
  - Ingests, processes, and stores permanent electronic Federal records
  - Supports online creation and approval of records schedules for records in all formats
  - Supports the accessioning of records in all formats into NARA legal custody
  - Enables agencies to send electronic records to NARA using the ERA Packaging Tool
  - Currently used by NARA electronic records staff, appraisal and accessioning archivists, and staff from 16 Federal agencies participating in the ERA deployment pilot
  - Contains 1.250 TB of Federal records, including both legacy holdings and new accessions
  - Projected to grow at a rate of 10 TB quarterly
  - Projected to include 50 TB at execution of contract
2. ***Executive Office of the President (EOP) Instance: Deployed December 2008***
  - Rapid ingest, search, and retrieval of electronic records from the George W. Bush Administration, including 81.0 TB of data
  - 250+ million electronic records indexed and available for search
  - 200+ million e-mail messages
  - 3+ million digital photographs
  - 30+ million other electronic records
  - Currently used by approximately 30 archivists responding to special access requests
  - 66,000+ searches conducted in the system to date.
3. ***Congressional Records Instance (CRI): Deployed January 2009***
  - Designed for the unique requirements of US Congressional records with dedicated ERA storage
  - Developed for use by the Center for Legislative Archives at NARA, the Office of the Clerk of the House, and the Office of the Secretary of the Senate

- Flexible two-part model: ability to ingest and preserve Congressional e-records, regardless of format
- Local reference and access copies are available at the main National Archives Building, which is one mile from the Capitol
- “Deep” preservation at ERA’s facility in Rocket Center, WV
- 151 TB of House and Senate records have been ingested with 40 TB more expected by 2012.

4. ***Online Public Access (OPA) Instance: To Be deployed December 2010***

- Integrated online search of the Archival Research Catalog (ARC) records, *Archives.gov* content, and electronic records holdings
- Search and navigation
- Results that present the record itself front and center
- Launched to general public in December 2010.

5. ***Classified ERA (CERA) Instance: To be Deployed September 2011***

- Meets the specialized requirements for the ingest, storage, preservation, and access of classified records.
- Located at the Archives II building in College Park, Maryland. Operational and ingest support for the classified instance shall be provided by the contractor at College Park.
- Contractor personnel working on the classified instance will be required to possess and maintain a Top Secret - Sensitive Compartmented Information (TS/SCI) security clearance.

6. ***Title 13(Census) Instance: To be Deployed September 2011***

- Storage and retrieval of records related to the US Census Bureau.
- Due to the confidential nature of these records, Title 13 of the United States Code (U.S.C.) specifies enhanced procedures NARA must observe to ensure the non-disclosure of this information and to segregate it from other ERA holdings.
- The Contractor shall be required to abide by NARA-provided procedures for handling Title 13 that prevent the release of this protected information.

7. ***Access to the Archival Database (AAD) : Redeployment to ABL in 2011***

- Research tool that makes a selection of the Archives' most popular electronic records available to the public over the Internet
- Provides both free-text and fielded searching options in a specialized user interface that is specifically designed to enhance parametric searching of structured-data resources according to series and files and by records within the files. Some files consist of more than one data table.

- Public-facing NARA reference system that provides access to over 85 million historic electronic records created by more than 30 agencies of the U.S. federal government and from collections of donated historical materials.
- Accessible at <http://aad.archives.gov/aad/>

## 2.0 APPLICABLE DOCUMENTS

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An ERA reference document library has been established online at <http://archives.gov/era/recompete>. This library contains documents on the current architecture, configuration, policies and procedure to enable potential offerors to better understand the ERA system and the tasks described in this Statement of Work.

## 3.0 DESCRIPTION OF WORK – ERA OPERATIONS AND MAINTENANCE

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The Contractor shall perform and provide Operations and Maintenance services in accordance with the requirements specified in this section. NARA intends to order the work in this section under a Firm Fixed Price vehicle, unless otherwise noted.

### 3.1 PROGRAM MANAGEMENT

#### 3.1.1 PROGRAM MANAGEMENT

- 3.1.1.1 The Contractor shall provide formal, comprehensive program and project management to ensure responsiveness, efficient and effective service, and innovation in meeting the government's requirements.
- 3.1.1.2 The Contractor shall provide a Monthly Management Report as described in Section 6-Deliverables.
- 3.1.1.3 The Contractor shall provide a Concept of Operations (CONOPS) that conforms to contract requirements and that documents the Contractor's approach for operating and maintaining the ERA system, and for providing for adequate program management processes and procedures required to meet ERA goals and requirements. The CONOPS is described in Section 6-Deliverables.
- 3.1.1.4 The Contractor shall ensure adequate levels of staffing to meet all requirements.

### 3.1.2 QUALITY MANAGEMENT

- 3.1.2.1 The Contractor is responsible for proactively monitoring and controlling the quality of services and related work in the Statement of Work. The Contractor shall proactively plan and perform quality inspections, and shall perform additional monthly quality inspections as requested by the government (not to exceed twelve per year).
- 3.1.2.2 The Contractor shall follow ISO 9000:2008 compliant quality management processes to meet quality objectives for the program and to monitor and control processes and products.
- 3.1.2.3 The Contractor shall follow a process for Continual Service Improvement that is in accordance with ISO/IEC 20000 standards.
- 3.1.2.4 Prior to deployment in the production environment, the Contractor shall verify all hardware and software changes are functioning properly and the correct hardware and software repairs are included in hardware/software releases..
- 3.1.2.5 The Contractor shall perform reviews to confirm that hardware and software assets being deployed to and/or removed from the ERA environment are tracked and correctly implemented. The Contractor shall also perform audits of the physical library or storage repository for the software assets to check for accurate maintenance of the existing software in the ERA environment.
- 3.1.2.6 The Contractor shall perform deployment verifications of all ERA releases. After deployment of hardware and software repairs and changes, the Contractor shall conduct a regimented verification to ensure the repair/change was implemented correctly and did not have unintended impact to the system.  
  
Because the award of both fixed-price and time-and-material line items are anticipated, 52.212-4 Contract Terms and Conditions – Commercial Items (JUN 2010) and 52.212-4 Alt 1 (OCT 2008) are applicable.
- 3.1.2.7 The Contractor shall provide a Quality Control Plan (QCP) that describes the operational techniques, methods and processes for providing quality control for all work products.
- 3.1.2.8 The contractor’s inspection system shall facilitate continuous improvement and address any negative trends or rejected work, provide a means to correct deficiencies, and document all corrective actions taken. The Contractor shall describe these aspects of its system in its QCP.
- 3.1.2.9 The Contractor shall measure customer satisfaction and incorporate the results of the surveys into its overall plan for quality control.



- 3.1.2.10 The Contractor shall implement an inspection system that includes both scheduled and unscheduled inspections and covers all services and related products listed in the Statement Of Work, and describe that system and the frequency of inspections in the Quality Control Plan (QCP).

### 3.1.3 CONFIGURATION MANAGEMENT

- 3.1.3.1 The Contractor shall develop and maintain a Configuration Management Plan as listed in Section 6 Deliverables to address major components of CM.
- 3.1.3.2 The Contractor shall provide operations and maintenance support that complies with ERA's Release and Configuration Management process (See Section 2).
- 3.1.3.3 NARA shall be notified in a timely manner of the status of deployment installations and verifications. Notifications shall be in accordance with the ERA Release Management process dated.
- 3.1.3.4 The Contractor shall establish and maintain Configuration Management procedures sufficient to maintain the integrity of the ERA system and its data. The Contractor shall establish, control and maintain Configuration Management processes.
- 3.1.3.5 The Contractor shall document the current ERA system's Configuration Items and establish an accurate current baseline.

Existing documentation including the configuration baseline and CM Repository will be furnished by NARA to the contractor. The furnished documents may be used by the contractor for the basis of their documentation; however it is the responsibility of the contractor to verify the accuracy of the data before incorporating it into any contractor work product.

- 3.1.3.6 The Contractor shall maintain a CM Repository to track all Configuration Items and non-configuration items related to the ERA Program.
- 3.1.3.7 The Contractor shall conduct status accounting consisting of the recording and reporting of information needed to manage CIs efficiently.
- 3.1.3.8 The Contractor shall ensure that only components that have been tested and debugged are installed onto operational systems and that all changes, upgrades, or replacements have followed the ERA Configuration Control Process.

## 3.2 OPERATIONS AND MAINTENANCE

### **3.2.1 GENERAL OPERATIONS**

- 3.2.1.1 The Contractor shall establish a plan for the management, preventative maintenance, general maintenance, sustaining engineering, corrective and adaptive engineering, layered products, the ERA applications, and all COTS, GOTS, and FOSS products used in all ERA instances.
- 3.2.1.2 The Contractor shall establish and maintain a methodology, including processes and procedures, which allows for the detection, notification and escalation of ERA system or service issues. The solution shall comply with NARA-approved policies and procedures.

### **3.2.2 CLASSIFIED INSTANCE OPERATIONS STAFFING**

- 3.2.2.1 The Contractor shall provide and maintain security clearances at the TS-SCI level for the staffing of system administration and records ingest for the ERA classified instance. All contractors staffing for the ERA classified instance must hold and be able to maintain the TS-SCI clearance. No work for this instance can be performed by contractor staff not holding a valid TS-SCI security clearance.
- 3.2.2.2 The Contractor shall be responsible for the cost associated with obtaining and maintaining all staff clearances required for these tasks.
- 3.2.2.3 Work for operations and maintenance and ingest of records for the ERA classified instance shall be performed at the NARA facility in College Park, MD.

### **3.2.3 HELP DESK OPERATIONS**

- 3.2.3.1 The Contractor shall establish and maintain a single, integrated Help Desk that is the central management point for user-reported problems related to ERA. The Help Desk shall be dedicated to ERA and operate from 6:00AM – 10:00PM, five days a week, 52 weeks a year, excluding weekends and Federal holidays.
- 3.2.3.2 The Contractor shall follow a process for Continual Service Improvement that is in accordance with ISO/IEC 20000 standards.
- 3.2.3.3 The Contractor shall ensure that adequate staffing of qualified personnel and resources is provided sufficient to manage the functions of the Help Desk.

It is estimated that there will be approximately 150 customers using ERA at the

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commencement of this contract. Prior to each option year, NARA will provide the contractor with the best available projection of the number of expected help desks customers for that upcoming period.

- 3.2.3.4 The Contractor shall ensure that staff providing user support is experienced, skilled, and knowledgeable within their specific responsibilities, and has a professional demeanor.
- 3.2.3.5 The Contractor shall develop a help desk training manual for its Help Desk staff. The manual shall cover an overview of the ERA O&M environment and include guidance on assisting ERA users in all areas in which the Help Desk provides support.
- 3.2.3.6 The Contractor shall use an automated trouble ticket management system at the Help Desk to record and track all incidents, complaints, and support requests from users. NARA shall furnish the BMC Remedy IT Service Management Suite and its hardware to the contractor. The Contractor is responsible for managing and operating the Remedy system and its related hardware and software.
- 3.2.3.7 The Contractor shall provide the Government online access to the Remedy automated trouble ticket management system at ABL and Archives II in College Park, MD.
- 3.2.3.8 The Contractor shall generate a set of standard reports from the automated trouble ticket management system that provide NARA visibility into trends and the health of the ERA system. These reports are outlined in Section 6-Deliverables. The Contractor shall provide additional support to NARA to allow for the creation and validation of additional reports based on stakeholder need as directed by the COR, approximately 15 additional reports annually.
- 3.2.3.9 The Contractor shall provide a method by which the Government may directly produce ad-hoc reports and statistics from the automated trouble ticket management system.
- 3.2.3.10 The Contractor shall establish the Help Desk as the central point to receive, field, and answer, all problems and questions related to ERA, and to redirect when necessary to other appropriate help desks.
- 3.2.3.11 The Contractor shall ensure that the Help Desk records, tracks, and reports all incidents, complaints, and support requests from initial logging through resolution, and provides status updates to users and as requested.
- 3.2.3.12 The Contractor shall ensure that the Help Desk can respond to user issues and employ an escalation process to coordinate with qualified technical personnel and/or vendors to resolve more complex issues.
- 3.2.3.13 The Contractor shall establish Problem Resolution and Escalation procedures and ensure that Help Desk and support staff fully complies with these procedures.

3.2.3.14 The Contractor shall implement processes and procedures to maximize the percentage of help desk requests that can be successfully resolved upon initial contact to the help desk. The Contractor's first-tier help desk staff shall be required, at a minimum, to be able to:

- Access the ERA instances and demonstrate a working knowledge of the systems' screens and workflows.
- Create user accounts
- Reset passwords
- Provide basic functional assistance in the use of the ERA application
  - Understand the NARA business processes supported by ERA
  - Provide navigational assistance; be familiar with the basic layout of each of the ERA screens (i.e. Records Scheduling; Transfer Request)
  - Understand the business objects a user creates in ERA (LTI, TR, etc.)
  - Understand the process/sequence for creating the various business objects

NARA shall provide the Contractor access to training materials developed for ERA end users to facilitate the education of contractor staff on the ERA system.

3.2.3.15 The Contractor shall support the workstations and access interfaces used for the support of ERA.

3.2.3.16 The Contractor shall establish Account Management procedures for the creation, provisioning, and access control for ERA accounts. The Contractor shall ensure that Help Desk staff and support personnel fully comply with these procedures.

3.2.3.17 The Contractor shall provide Help Desk and support staff to perform user account management functions according to the Contractor's Account Management Procedures.

### **3.2.4 INCIDENT MANAGEMENT**

An incident is defined as any unplanned interruption to an IT service or reduction in the quality of an IT service. A failure of any configuration item that has not yet impacted service is also considered an incident. The purpose of Incident Management is to minimize the impact of an incident and to restore to normal operating services as quickly as possible.

3.2.4.1 The Contractor shall establish Incident Management and Infrastructure Incident Detection and Recording procedures compliant with ITIL v3 and ensure that support staff fully complies with these procedures.

3.2.4.2 The Contractor shall ensure that all incidents are logged and tracked.

3.2.4.3 The Contractor shall conduct investigation and diagnosis for all incidents and complaints. The Contractor shall perform an initial assessment of the incident and determine scope.

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- 3.2.4.4 The Contractor shall follow the NARA ERA Notification Process for all incidents determined to be reportable to NARA. The Contractor shall provide updates on the status of reportable incidents and complaints to NARA.
- 3.2.4.5 The Contractor shall create and follow Problem Resolution and Escalation procedures to coordinate with appropriate support groups and vendors as needed to resolve incidents and complaints.
- 3.2.4.6 The Contractor shall establish Incident Recovery and Restoration of Service procedures and ensure that support staff fully complies with these procedures. The Contractor shall perform incident recovery immediately after incident assessment is completed.
- 3.2.4.7 The Contractor shall establish procedures for incident closure and ensure that support staff fully complies with these procedures. Upon closure of an incident, the Contractor shall follow up with all appropriate points of contact to ensure that the incident has been fully resolved and services are restored.
- 3.2.4.8 The Contractor shall establish management reporting and review procedures for all incidents and problems and ensure that support staff fully complies with these procedures. The Contractor shall provide an Incident Report to NARA immediately upon closure of an incident.
- 3.2.4.9 The Contractor shall identify and maintain a record of critical ERA infrastructure. A critical infrastructure is defined as those technologies whose failure would result in an ERA severity 1 or 2 event. The Contractor shall establish and maintain a response plan for critical infrastructure failure. The response plan shall be maintained in a manner that shall support ERA Contingency Planning and Disaster Recovery.

**3.2.5 PROBLEM MANAGEMENT**

A problem is defined as a condition that results from multiple incidents with common symptoms. The purpose of problem management is to identify root causes of incidents to eliminate recurring incidents or minimize the impact of problems or incidents that cannot be eliminated. The requirements related to Problem Management are listed below.

- 3.2.5.1 The Contractor shall establish Problem Management procedures compliant with ITIL v3 standards and approved by NARA. The Contractor shall ensure that all staff fully complies with the procedures.
- 3.2.5.2 The Contractor shall perform root cause analysis of incidents, determine resolution, remove root cause points of failure, prevent recurrence of incidents, and implement a proactive approach to reducing incident volume and minimizing adverse impact of incidents and problems.

- 3.2.5.3 The Contractor shall establish and maintain an ERA Problem Management System to:
  - (1) Function as an accurate and inclusive record of ERA support activity
  - (2) Function as a knowledgebase supporting timely resolution of problems
  - (3) Support trend analysis by tracking the root cause of incidents and problems
  - (4) Allow for the creation of recurring and ad-hoc reports to support NARA's needs for operational and business decision-making and oversight.
- 3.2.5.4 The Contractor shall provide the NARA staff at ABL access to the Problem Management System.
- 3.2.5.5 The Contractor shall generate a set of standard reports as specified in the Deliverables Section 6. The Contractor shall provide support to NARA stakeholders in the production and customization of reports to meet evolving business needs.
- 3.2.5.6 The Contractor shall provide a method for NARA to access a reporting tool to produce ad-hoc reports and statistics from the Problem Management System. The tool shall be furnished by the Government. The contractors shall be responsible for installing and maintaining the tool and associating it to the required data sources in the ERA system.

**3.2.6 HARDWARE AND SOFTWARE MAINTENANCE**

The Contractor shall be responsible for providing and maintaining all approved hardware and software for the ERA system, its components and infrastructure for a system in operational mode. The requirements for hardware and software maintenance are listed below.

- 3.2.6.1 The Contractor shall proactively maintain all ERA environments onsite at ABL and Archives II to optimize system operations.
- 3.2.6.2 The Contractor shall repair and restore failed equipment, server hardware platforms, software operating systems, and associated devices for all ERA environments to operating condition.
- 3.2.6.3 The Contractor shall procure and deploy hardware and software as approved and requested by the Government.
- 3.2.6.4 The Contractor shall procure hardware and software maintenance and license renewals as approved and requested by the Government.
- 3.2.6.5 The Contractor shall deploy COTS software upgrades and patches as approved and requested by the Government.
- 3.2.6.6 The Contractor shall provide a maintenance schedule for all ERA hardware components. The Contractor shall perform all regularly scheduled maintenance



according to an approved schedule.

- 3.2.6.7 The Contractor shall provide for routine decision-making and problem solving for day-to-day operations of the ERA system, and shall escalate problems as necessary in accordance with its ISO 20000 compliant Problem Resolution and Escalation procedures.
- 3.2.6.8 The Contractor shall install, configure, and maintain all service desk- related software on client desktops used by its staff. This includes but is not limited to problem tracking software, reporting tools, etc.
- 3.2.6.9 The Contractor shall create and maintain “as built” documentation that reflects the ERA operational environment. This includes hardware and software lists, rack elevations, server and workstation builds and base images. Information shall be available to NARA upon request to facilitate oversight and operational decision-making.
- 3.2.6.10 The Contractor shall analyze ERA hardware to ensure it has the functionality and capacity to support NARA’s requirements and shall provide recommendations for upgrading hardware features or replacing hardware as necessary.

### 3.2.7 ASSET MANAGEMENT

The Contractor shall be responsible for maintaining accurate records and inventory of all ERA hardware, software, and equipment.

- 3.2.7.1 The Contractor shall maintain an up-to-date, comprehensive inventory of all NARA IT assets.
- 3.2.7.2 The Contractor shall conduct an annual physical inventory of 100% of NARA’s IT assets, as validated by NARA.
- 3.2.7.3 The Contractor shall establish an Information Technology Infrastructure Library (ITIL) v3 compliant approach for managing and reporting all ERA hardware and software assets to the Government.
- 3.2.7.4 The Contractor shall establish an ITIL v3 compliant approach for auditing assets in place and reconciling with inventory.
- 3.2.7.5 The Contractor shall maintain an inventory of all hardware and equipment, and ensure that all hardware and equipment that is assessable, is properly tagged, tracked, and inventoried per the NARA property control processes.
- 3.2.7.6 The Contractor shall comply with software usage (e.g., licensing) restrictions. Software and associated documentation shall be used in accordance with contract

agreements and copyright laws.

- 3.2.7.7 The Contractor shall develop and maintain standard ERA baseline images for ERA production servers and support workstations. The standard ERA baselines shall be Configuration Items and shall be placed under configuration control. The Contractor shall supply NARA with updated baseline images after each software deployment.
- 3.2.7.8 The Contractor shall establish ITIL v3 compliant Asset Deployment procedures including technology refreshes and upgrades.
- 3.2.7.9 The Contractor shall establish ITIL v3 compliant Asset Disposal procedures. The Contractor shall decommission or remove assets from the production environment that are no longer needed or no longer in use as approved by the Government. The Contractor shall return all decommissioned or removed assets to the Government.
- 3.2.7.10 The Contractor shall maintain a physical library where master copies of software versions are placed. The Contractor shall clearly label master copies of software. The Contractor shall maintain copies of software versions on-site at ABL.
- 3.2.7.11 The Contractor shall track licenses and software maintenance agreements for ERA software. Software maintenance information shall be correctly updated with relevant data including, but not limited to maintenance agreement identification number, expiration date of maintenance coverage, software covered under the agreement, Vendor POC information, maintenance coverage type, and any other data that shall be useful in managing the software maintenance agreement.
- 3.2.7.12 The Contractor shall track hardware maintenance agreements for ERA hardware assets. Hardware maintenance information shall be correctly updated with relevant data including, but not limited to maintenance agreement identification number, expiration date of maintenance coverage, hardware covered under the agreement, Vendor POC information, maintenance coverage type, and any other data that shall be useful in managing the hardware maintenance agreement.
- 3.2.7.13 The Contractor shall provide an automated tool and database for tracking software and hardware maintenance, licensing and warranties that is also accessible by NARA staff at ABL.
- 3.2.7.14 The Contractor shall perform quarterly assessments of the ERA system for operational risk following ITIL v3 standards and present its findings to NARA. All critical infrastructures shall be identified and documented. Documentation shall include risk responses to critical infrastructure failure. The first assessment shall be due 120 days after contract transition.
- 3.2.7.15 The Contractor shall manage and maintain hardware spares. The Contractor shall assess the ERA infrastructure and provide recommendations to NARA of critical



components whose availability could be increased through the purchase of spares. Upon agreement, the contractor shall purchase these spares on behalf of NARA. Purchase of spares will be done under a separate CLIN. The Contractor shall manage and maintain levels of these hardware spares necessary to maintain the ERA environment.

- 3.2.7.16 The Contractor shall perform Moves, Adds, and Changes (MACs) of ERA system components into, out of, or within an ERA environment upon receipt of Government direction. All MACs shall be done in compliance with ERA Configuration Management and Change Control processes.
- 3.2.7.17 NARA staff onsite at ABL shall have access to all ERA asset management toolsets, databases and research and analysis work produced by the contractor in order to conduct independent audits and analysis.
- 3.2.7.18 Within sixty (60) days of the contract start date, the contractor shall have in place a 98% accurate inventory of all hardware and software assets (including CIs), and from that point forward, shall maintain at least a 98% accurate inventory of all hardware and software assets (including CIs) at all times.
- 3.2.7.19 The Contractor shall be responsible for the maintenance, installation, configuration, and provisioning of ERANet workstations located at ABL. The Contractor will be responsible for purchasing workstation hardware and software upon direction of the COR under the appropriate CLIN. The Contractor will be responsible for the setup of hardware and software on the workstations for existing and any additional staff at ABL. Currently there are approximately 25 workstations.

### **3.2.8 RELEASE AND DEPLOYMENT MANAGEMENT**

The Contractor shall perform release and deployment management to ensure that new or changed software and/or hardware is released safely into the production environment with minimal impact or disruption to the users. Requirements for release and deployment management are listed below.

- 3.2.8.1 The Contractor shall establish and follow procedures to manage the release of all NARA-authorized changes to the ERA environment.
- 3.2.8.2 The Contractor shall ensure that they perform effective release management to 1) plan the rollout of software, 2) design and implement procedures for the installation of changes to the ERA system, 3) effectively communicate and manage customer expectations during planning and rollout of new releases, and 4) control the installation of changes to the ERA system.

### 3.2.9 PERFORMANCE MANAGEMENT

A key aspect of quality assurance includes performance management. Performance can be managed through the use of Service Level Agreements (SLAs) that define the expectations of performance for each component of service delivery, and identify remedies and response requirements for any identified instance of non-compliance. The performance management requirements are presented below.

- 3.2.9.1 The Contractor shall adhere to, and meet, all of the performance management requirements and SLAs.
- 3.2.9.2 The Contractor shall collect data on each major processing activity and ERA instance, and shall have the capability to generate routine and ad hoc reports as requested by the Government.
- 3.2.9.3 The Contractor shall implement an ITIL v3 compliant methodology for addressing and correcting those areas where performance levels are deficient.

### 3.2.10 CAPACITY MANAGEMENT

The contractor shall develop processes to manage the ERA IT system that ensure the IT capacity meets current and future business requirements in a cost-effective manner.

- 3.2.10.1 The Contractor shall monitor the performance and throughput of the ERA system, services, and supporting infrastructure components to ensure that the capacity of systems, services, and infrastructure match user and business demands.
- 3.2.10.2 The Contractor shall follow an ITIL v3 compliant methodology by which capacity assessments of ERA systems and assets can be performed and shall perform these assessments in accordance with this method. This methodology shall include scheduling for recurring and planned assessments and shall provide for documenting levels of resource utilization and service performance.
- 3.2.10.3 The Contractor shall follow an ITIL v3 compliant methodology for performing capacity analysis to measure and monitor performance of the ERA systems, and to analyze impacts of system, user, or data changes to existing infrastructure. The Contractor shall monitor and collect data for analysis to identify trends from normal utilization and service level baselines.
- 3.2.10.4 The Contractor shall provide a method for performing capacity tuning. The Contractor shall recommend areas for performance tuning to the Government based on analysis performed. The Contractor shall perform tuning of the ERA system, its components and resources to improve overall system performance as approved by the Government and in accordance with ERA configuration management and change

control processes.

- 3.2.10.5 The Contractor shall perform ITIL v3 compliant capacity planning to analyze and understand current and future demands of the ERA systems, components, and related infrastructure and to create a forecast and develop plans to provide for future capacity demands.
- 3.2.10.6 The Contractor shall be responsible for creating and providing to the Government capacity and trend analysis reports in a format agreed to by the Government.

### 3.2.11 AVAILABILITY MANAGEMENT

The Contractor shall be responsible for providing the management for all availability-related issues concerning the ERA system, components and resources and for ensuring that availability goals in all areas are measured and achieved, and that they match or exceed the current and future agreed needs of the business in a cost-effective manner. The requirements to address availability management are listed below.

- 3.2.11.1 The Contractor shall establish a plan for providing availability to ERA system, components, infrastructure, and services that support the availability goals of NARA and its users and meets business needs.
- 3.2.11.2 The Contractor shall provide availability management for ERA system, components, infrastructure and services to ensure agreed levels of reliability, serviceability, maintainability, resilience, and security are met.
- 3.2.11.3 The Contractor shall establish a plan to monitor ERA system, components, and infrastructure to measure actual availability against agreed availability requirements. The Contractor shall monitor all ERA systems, components, and infrastructure in accordance with this plan.
- 3.2.11.4 The Contractor shall establish an ITIL v3 compliant plan to analyze and optimize the capability of the ERA infrastructure, services, and support organization to deliver effective and sustained levels of availability that supports ERA users and business needs.
- 3.2.11.5 The Contractor shall provide reports to NARA on the rate of availability including Mean Time to Repair (MTTR) and Mean Time Between Failure (MTBF) for ERA major infrastructure components including servers, routers, storage devices, and drives.

### 3.2.12 SECURITY SERVICES

The Contractor shall be responsible for ensuring the operational security of the ERA system.

- 3.2.12.1 The Contractor shall provide system security for the ERA operational environment. The Contractor shall provide Network Protection for all assets within the ERA system. The Contractor shall implement, maintain, and monitor protection measures to ensure the availability of ERA resources by protecting the system against denial of service, distributed denial of service, and any other network based attacks.
- 3.2.12.2 The Contractor shall provide monitoring of ERA of security automated systems including Intrusion Detection Systems (IDS) and log management systems. The Contractor shall implement, maintain, and monitor protection measures to ensure ERA resources are protected from all malicious code, such as viruses, worms, logic bombs, Trojan horses, spyware, etc. The Contractor shall implement and monitor countermeasures to ensure agency resources are protected. The Contractor shall contain and isolate malicious code, viruses, worms, logic bombs, Trojan horse and spyware, within sixty minutes of detection.
- 3.2.12.3 The Contractor shall manage the application of security patches for the ERA environment in a timely manner (no later than 30 days from release from vendor). The Contractor shall evaluate security related patches for threat, vulnerability, or weaknesses to determine the impact to ERA. The Contractor shall assess each security patch before implementation to determine their importance to the system and the level of threat the patch is designed to fix. The Contractor shall provide NARA with an assessment of security patch installation from time of vulnerability identification to resolution and/or mitigation.
- 3.2.12.4 The Contractor shall perform Security Incident Reporting in the format provided by NARA. The Contractor shall track and report Security incidents using NARA's standard reporting mechanism. The Contractor shall ensure the responsive measures are taken in the specified time frame in accordance with established security incident reporting criteria.
- 3.2.12.5 Contractor shall perform Security Vulnerability Scans of ERA to identify potential security threats present on the network. The Contractor shall log, track, and resolve issues noted in the ticket for all security related tickets generated as a result of vulnerability scans. Service requests relating to vulnerability scans shall be logged, tracked, and resolved.
- 3.2.12.6 Contractor shall perform Security Audits, and review ERA system level audit logs of all contractor managed ERA systems at a minimum of once daily. Any potentially suspicious activity identified through audit log reviews should be investigated by the contractor and shall be reporting to the established ERA incident response policy. For those systems where security baseline deviations are discovered, the contractor shall report findings to NARA and take necessary actions to correct the

- discrepancies. The Contractor shall perform audits on all systems on a defined schedule approved by NARA. Audits include security posture and adherence to security configuration settings. For systems where configurations deviate from standards, the contractor shall report findings to NARA and take actions to correct the discrepancies.
- 3.2.12.7 The Contractor shall provide spillage management support in accordance with established NARA procedures. The Contractor shall notify the onsite Information System Security Officer (ISSO) immediately of the discovery of any potentially classified assets. The contractor shall provide technical support as needed for sanitation procedures.
- 3.2.12.8 The Contractor shall support security-related activities that assist the daily operations of ERA. These tasks shall include providing technical and engineering support to assist in the implementation of secure infrastructure, enhanced security awareness and improved security operations. The Contractor is expected to understand generally accepted security methodologies and principles while maintaining current knowledge of vulnerabilities through monitoring security related notifications (CERT, BUGTRAQ, etc.).
- 3.2.12.9 The Contractor shall create a process for the proactive research and analysis of security technologies and threats and propose improvement to the system's security posture to NARA in quarterly reports.
- 3.2.12.10 The Contractor shall complete NARA initial security training prior to gaining system access and recurring training as required.
- 3.2.12.11 Contractor shall perform Security Audits, and review ERA system level audit logs of all contractor managed ERA systems at a minimum of once weekly. Any potentially suspicious activity identified through audit log reviews should be investigated by the contractor. If the suspicious activity is determined to be a security incident, then see Incident Reporting and follow that requirement. If the suspicious activity is determined to be an operations incident, then see Problem Management and follow that requirement. For those systems where security baseline deviations are discovered, the contractor shall report findings to NARA and take necessary actions to correct the discrepancies. The Contractor shall perform audits on all systems on a defined schedule approved by NARA. Audits include security posture and adherence to security configuration settings. For systems where configurations deviate from standards, the contractor shall report findings to NARA and take actions to correct the discrepancies.
- 3.2.12.12 NARA shall have access to all ERA security toolsets, databases and research/analysis used by the contractor in order to conduct independent audits and analysis.

### 3.2.13 BACKUP & RECOVERY SERVICES

- 3.2.13.1 The Contractor shall perform Backup of ERA systems and devices with the intent of having recoverable systems, data and services. Coverage shall include user-level and system-level information (including system state information) contained in each ERA system or device. Server backups shall include daily server file system backups and shall be performed in accordance with approved backup and recovery processes and procedures. The Contractor shall verify successful completion of all backups. All backup processes and procedures shall be documented.
- 3.2.13.2 The Contractor shall perform Recovery of ERA systems and devices. The Contractor shall have tested and documented processes and procedures for the recovery and reconstitution of ERA systems and services to the state prior to the disruption or failure.
- 3.2.13.3 The Contractor shall maintain a master Backup and Recovery (B&R) schedule to illustrate the protection afforded by the B&R strategy. Schedule content shall be driven by industry best practices and, at a minimum, shall include (1) what is (or is not) covered by the B&R Strategy at the device level, (2) its methods of protection (i.e. RAID, Replication, Cluster, Tape, etc), (3) when backup occurs, and (4) retention period. The schedule shall be maintained to support ERA risk assessment and operational planning.
- 3.2.13.4 The Contractor shall perform tape validation in accordance with approved backup and recovery processes and procedures.
- 3.2.13.5 The Contractor shall perform ERA contingency and disaster recovery management, and in the event of a disaster, be able to reconstitute ERA services as necessary for full operability. The Contractor shall implement a systematic method for calculating recovery time in support of ERA contingency plan activation.
- 3.2.13.6 The Contractor shall ship and/or maintain Backup and Recovery materials offsite from ABL in support of ERA Contingency Planning and Disaster Recovery to a site specified by NARA.
- 3.2.13.7 The Contractor shall implement management and maintenance policies, processes and procedures to ensure that ERA systems and services can be recovered in the event of a failure.

### 3.2.14 INGEST OPERATIONS

The Contractor shall be responsible for ingesting electronic records into the ERA. Electronic records will be provided by the government on media including backup tapes, SAN storage, network attached storage, and USB drives.



- 3.2.14.1 The Contractor shall load electronic records transferred to ERA into working storage on the appropriate ERA instance. The Contractor shall maintain a library and inventory of all transferred electronic records, including their disposition. The Contractor shall follow procedures for disposing of transferred physical media as applicable.
- 3.2.14.2 The Contractor shall load physical media used for creating offsite preservation copies of electronic records preserved in ERA. The Contractor shall maintain such preservation copies until they are removed for transfer offsite. The government shall be responsible for the physical transfer.
- 3.2.14.3 The Contractor shall develop and maintain an inventory of all preservation copies, including information about each file written and each media volume used, and an audit log of the release of each volume to the Government. When it is necessary to retrieve a preservation copy, the contractor shall be responsible for loading the copy into the ERA instance.
- 3.2.14.4 The Contractor shall produce and deliver to the Government replacement preservation copies prior to the expiration of the expected life of the media on which they were written.
- 3.2.14.5 The Contractor shall remove viruses, malware or other malicious content from ingested records, as needed and approved by NARA using GFI processes. When needed, the Contractor shall write infected files to removable media.
- 3.2.14.6 The Contractor shall verify the complete adaptation of ingested electronic records, where appropriate. The Contractor shall maintain a record of all activities associated with the disinfection, adaptation, and ingestion of electronic records in accordance with approved policies, processes and procedures.

**3.2.15 AAD DATA ADAPTATION SUPPORT**

In addition to the ERA operational requirements described elsewhere in Section 3, the AAD instance requires additional support for the adaption of data to make it suitable for ingest into the system. The Contractor shall provide support personnel to interact directly with NARA staff in College Park, MD for these activities.

- 3.2.15.1 The Contractor shall be responsible for assisting NARA staff in data cleansing, reformatting, and other techniques as necessary for the preparation, testing, and troubleshooting of data for inclusion in AAD.
- 3.2.15.2 The Contractor shall be responsible for assisting the NARA Reference Services staff in modification of the AAD application and system software, and data preparation that enables content to be properly loaded into AAD and made accessible through the user interface and search front-end.

- 3.2.15.3 The Contractor shall be responsible for architecting, modifying, and configuring AAD hardware and operating system software to ensure a consistent level of access to AAD over the Internet.

### **3.2.16 TECHNOLOGY REFRESH**

- 3.2.16.1 The Contractor shall track hardware and software lifecycles and shall provide technology refresh analysis and recommendations for Government approval. Refresh recommendations shall include a justification with cost estimates, schedule, and any impacts to existing operations. All system hardware, software and components shall be refreshed in a four year cycle; however the Government reserves the right to change the refresh timeframe as needed. The Contractor shall present a Refresh Plan to the Government within 180 days of contract award that details the scheduled refreshes for the upcoming four years. The Refresh Plan activities shall be scheduled so that approximately 25% of the total cost of refresh will occur in each of the four years of the proposed plan.
- 3.2.16.2 The Contractor shall implement the refresh activities described in the Refresh Plan. The Contractor will propose to the COR a Bill of Materials 120 days prior to each year of the refresh. Upon COR approval, the contractor will purchase the materials under the appropriate Contract Line Items for materials purchasing.

#### **3.2.16.3 TRANSITIONING PROCESS**

The Contractor shall be responsible for transitioning the ERA System from the incumbent Contractor(s) provided infrastructure and services to the newly awarded Contractor. The transition related requirements are presented below.

- 3.2.16.4 The Contractor shall, in accordance with Section 6, submit a Transition Implementation Plan to outline the Contractor's approach to transition the current ERA environment from the incumbent Contractor to the newly awarded Contractor.
- 3.2.16.5 The Contractor shall perform a discovery analysis in preparation for the transition. The analysis shall consist of two parts: 1) Identification, and 2) Reconciliation. During Identification, the Contractor shall perform an analysis of the existing ERA system and its components, infrastructure, and operations. During Reconciliation, the Contractor shall revise the approach it submitted with its proposal, and present the reconciliation to the Government.
- 3.2.16.6 The Contractor shall develop a Transition Implementation Plan (TIP) that details how the Contractor shall transition all of the existing ERA environments to the new environments. See Section 6 for details.



### 3.3 CORRECTIVE AND ADAPTIVE MAINTENANCE

The ERA system is an integration of numerous technologies comprised of COTS products and custom code. NARA requires the contractor to be able to provide expertise in these technologies to enable the operations and maintenance of the ERA system.

Some of the skills required for performing Corrective and Adaptive maintenance include: data modeling, digital preservation, software development, database design and administration, web and search technologies, COTS support, system testing and integration, and performance assessment and tuning. Some of the technologies used in ERA are XML, XForms, SOA, BPEL, BPMN, Web Services, ORACLE DBMS, Java, and a variety of data storage technologies.

#### 3.3.1 CORRECTIVE MAINTENANCE

- 3.3.1.1 The Contractor shall be responsible for corrective maintenance on the ERA system. Corrective maintenance will be performed to remove errors or bugs from the software, the procedures, the hardware, the network, the data structures, and the documentation. Corrective maintenance activities include both emergency repairs and preventive repairs.
- 3.3.1.2 The Contractor shall be responsible for obtaining and maintaining the required system knowledge and technical skills in order to effectively provide corrective maintenance services for the ERA system.
- 3.3.1.3 The Contractor shall be responsible for resolving and correcting residual software bugs, streamlining and tightening data validation routines, and correcting invalid processing and reporting.
- 3.3.1.4 The Contractor shall be responsible for proactively improving the integrity and reliability of the ERA system and taking effective action to minimize downtime.
- 3.3.1.5 The Contractor shall provide adjustments to existing functionality. Adjustments are defined as changes to ERA necessary to maintain ERA's current functionalities (including but not limited to the following: ingest, accession, preserve, and provide access to additional electronic record types, allow enhanced access to records, accession the records of successive United States Presidential Administrations). The adjustments encompass integration of new COTS products and assimilation of updated technologies, work processes and standards, to enable NARA to fulfill its agency mission.
- 3.3.1.6 The Contractor shall implement configuration adjustments. Configuration adjustments are defined as changes to the deployed ERA configuration that facilitate aspects of ERA operation necessary to continue to meet existing business needs, but do not require the development of new functional features and capabilities.
- 3.3.1.7 The Contractor shall propose a Technology Refresh Plan (TRP) to the Government

as part of their response to this SOW. The TRP shall provide a plan for refreshing all of the system hardware, software and components over a ten year period.

- 3.3.1.8 The contractor shall provide a detailed Technology Refresh Plan within 180 days of contract award that details the scheduled refreshes for the upcoming ten years. The Contractor shall track hardware and software lifecycles and shall provide technology refresh analysis and recommendations for Government approval. Refresh recommendations shall include a justification with cost estimates, schedule, and any impacts to existing operations. All system hardware, software and components shall be refreshed during the ten year cycle. The Government reserves the right to change the refresh timeframe as needed. The Refresh Plan activities shall be scheduled so that approximately 10% of the total cost of refresh will occur in each of the ten years of the proposed plan.

### **3.3.2 ADAPTIVE MAINTENANCE**

- 3.3.2.1 The Contractor shall be responsible for Adaptive Maintenance of ERA. Adaptive maintenance is the modification or establishment of functions, capabilities, and features of the system necessary to respond to changes in regulations, policies, growth, and technology changes. Work under adaptive maintenance will be performed under CLINS specific to this purpose.

### **3.3.3 TESTING AND INTEGRATION**

- 3.3.3.1 The Contractor shall perform full testing of all Corrective and Adaptive tasks to include unit testing, integration testing, system testing, regression testing, and end-to-end testing.
- 3.3.3.2 The Contractor shall develop test scripts, test procedures and the appropriate data sets used by those tests for review and approval by the Government.
- 3.3.3.3 The Contractor shall provide test tools/software and develop a Test Evaluation Master Plan for review and approval by the government.
- 3.3.3.4 The Contractor shall maintain all test environments in a manner that accurately simulates the production environment. All testing hardware and software will be furnished by NARA. There are three testing environments that comprise approximately 20 racks and 900 sq. ft. The Contractor is responsible for providing a secure climate controlled space and utility power to accommodate this equipment. External networking (WAN) connectivity will be furnished by NARA.
- 3.3.3.5 The Contractor shall develop at every test phase. Test reports that confirm the Contractors results shall be generated and provided to the Government for review and approval. (See Section 6 - Deliverables)

- 3.3.3.6 The Government reserves the right to witness Contractor testing.
- 3.3.3.7 The Contractor shall provide support during User testing and Government acceptance testing to ensure the test environment is accessible and to answer questions the Government test team may have.
- 3.3.3.8 The Contractor shall deploy software releases, hardware, and components into the operational environment following completion of successful acceptance testing and acceptance by the Government.

## **4.0 DESCRIPTION OF WORK – POTENTIAL FUTURE TASKS**

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NARA currently envisions the work described under Section 4 may be performed in the future utilizing a task order against the ERA contract. NARA is not currently projecting the timeframe in which this work could potentially be ordered, nor is it committing to the contractor that the work shall in fact be ordered in the future. The work in Section 4 is provided for informational purposes only and should not be considered all-inclusive of potential future tasks.

Task orders under this section may be structure as Firm Fixed Price, Time and Materials, or by other arrangements subject to agreement between NARA and the contractor.

### **4.1 SUSTAINING ENGINEERING**

The Contractor shall provide sustaining engineering for all systems and system elements identified under this contract. Specific projects and tasks shall be identified through Technical Direction Letters (TDLs). TDLs are issued by the Contracting Officer and detail projects or tasks to be completed under this contract. TDLs are not to be considered as additional work and, therefore, do not increase the contract ceiling. Included in each TDL shall be the deliverables and delivery dates for that particular project or tasks. TDLs shall vary from short duration activities that shall take several days to others that may require several months to complete. Other TDLs may extend through the entire performance period, with regular updates.

Work for TDLs shall be ordered by the Contracting Officer via Task Orders. Two sample TDLs are provided under Section 2 as reference documents only.

The Contractor must perform TDL work without compromising concurrent, daily work on other tasks. The Contractor may need to temporarily increase manpower for the duration of the TDL.

The Contractor's response to a TDL shall include all efforts to complete the requested project from start to finish. Examples of the content of the Contractor's response include explanation of how project request shall be satisfied, S/W and H/W purchases and customization, if necessary, any software or script development that may be required, manpower needed, any special skill sets needed, a schedule that includes deliverable dates and implementation dates, as well as a cost estimate. The required skills may include, but would not be limited to: requirements and architecture definition, business process and data modeling, digital preservation, software development, database design, development and administration, web and search technologies, COTS evaluation and selection, system integration and system performance assessment and tuning. Some of the technologies in use in ERA are XML, XForms, SOA, BPEL, BPMN, Web Services, ORACLE DBMS, Java, and a variety of data storage technologies.

#### **4.1.1 FUNCTIONAL IMPROVEMENTS AND INCREASED CAPACITY**

- 4.1.1.1 The Contractor shall provide system engineering and technical/advisory IT support to NARA senior executives and IT managers. The recommended system improvements must be designed and developed using industry-accepted structured techniques to minimize data redundancy, enable interoperability with other systems, and maximize system performance and usability.
- 4.1.1.2 The Contractor must ensure any improvements or additional capacities are capable of integrating with existing systems.
- 4.1.1.3 The Contractor shall capture customer requirements for the implementation of the requested functional improvements or increased capacity. These requirements shall be added to the existing system requirements (to be provided by the Government) and shall be maintained by the Contractor. Requirements shall be managed using Rational RequisitePro or any NARA approved requirements management tool where the data is easily exported and/or imported into RequisitePro while maintaining all requirement text, numbering schemes, traces between requirements, and all NARA identified aspects of the NARA RequisitePro schema. Enhancements, bug fixes, and new systems must not adversely affect current systems' performance, availability, and scalability.
- 4.1.1.4 As stated above, TDLs shall vary according to the project. Each TDL shall specify the deliverables associated with that specific TDL. Deliverables can include the developed code, architecture designs, updated requirements specifications, and interface control documents. While most deliverables are listed in Section 6, the Government may order additional items that are not listed under Task Orders. Deliverables must be delivered to the Government for review, inspection, and approval, as specified in the specific TDL.

## 5.0 SERVICE LEVEL AGREEMENT

As a part of their proposal, the Contractor shall propose the Service Levels it intends to provide for each of the categories listed in this section. The proposed SLAs provided by the contractors shall include the proposed metric for measuring the category, a minimum service level that shall be provided, the target service level, and frequency of reporting the following items:

Service Level	Explanation	Service Level		
Category		Metric	Minimum	Target
Helpdesk Average Speed of Answer	The average speed of answer is the average speed of time it takes for the call center to answer the telephone for all incoming calls.			
Helpdesk Call Abandonment Rate	The call abandonment rate is the proportion of calls that come into the Call Center which either hang up or are disconnected before the CSR answers the phone. There is a wrong immediate hang up exclusion.			
First Call Resolution Rate – Technical	The desired percentage of total contacts planned for resolution at this level. First contact completion applies when the first person the customer reaches either answer the question, resolves the problem, or dispatches service where appropriate. Warm transfers and call backs should be considered second or greater contact.			
Failure Forwarding Rate	The acceptable percentage of Trouble Tickets that are forwarded for resolution per reporting period.			
Ticket Closure	Time between the opening of an incident and its final closure. Final closure of the ticket often requires a waiting period or confirmation with the end user after the issue has been resolved. Include the total time here from inception through post resolution closure.			

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Service Level	Explanation	Service Level		
Category		Metric	Minimum	Target
User ID Maintenance	Time between the opening of an account maintenance request (rename, permissions, etc) and its final closure. Final closure of the ticket often requires a waiting period as the customer is contacted with the access information. This should be a subset of the Ticket Closure metric.			
Password Resets	Time between the opening of a password reset request and its final closure. Requests of this type shall often be phone-based and handled quickly. If request is received via email, however, final closure of the ticket often requires a waiting period as the customer is contacted with the access information. This should be a subset of the Ticket Closure metric.			
New Access Requests	Time between the opening of an account request and its final closure. Final closure of the ticket often requires a waiting period as the customer is contacted with the access information. This should be a subset of the Ticket Closure metric.			
Installation	Acceptable time required to install a new desktop system upon appropriate request assuming equipment is on hand.			
Move	Acceptable time required to move a desktop system upon appropriate request assuming equipment is on hand.			
Add	Acceptable time required to add software or hardware to a desktop system upon appropriate request assuming equipment is on hand.			
Change	Acceptable time required to change software or hardware to a desktop system upon appropriate request assuming equipment is on hand. More than 20 is considered a project and is based on project plan.			

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Service Level	Explanation	Service Level		
Category		Metric	Minimum	Target
Deployment Rate	Acceptable time required to install new system components upon appropriate request. Assumes equipment is on hand.			

Service Level	Explanation	Service Level		
Category		Metric	Minimum	Target
Severity 1 – Mission Critical Impact - Multiple Users Down	Acceptable time to resolve problems for hardware, software and system components within the ERA environment that are mission critical or effect significant number of end users.			
Severity 1 Incident Rate	Acceptable number of severity 1 incidents per reporting period.			
Severity 1 - Time to respond	Acceptable time to respond to a severity 1 incident.			
Severity 1 - Time to notify	Acceptable time to notify NARA to a severity 1 incident.			
Severity 2 - Major Impact Single User Down ,Other Users Affected	Acceptable time to resolve problems for hardware, software and system components within the ERA environment that are major impact or effect number of end users.			
Severity 2 Incident Rate	Acceptable number of severity 2 incidents per reporting period.			
Severity 2 - Time to respond	Acceptable time to respond to a severity 2 incident.			
Severity 2 - Time to notify	Acceptable time to notify NARA to a severity 2 incident.			
Severity 3 – Moderate Impact Single User Down with a few others capable of performing required tasks	Acceptable time to resolve problems for hardware, software and system components within the environment that are moderate impact or affect few end users.			
Severity 3 Incident Rate	Acceptable number of severity 3 incidents per reporting period.			
Severity 3 - Time to respond	Acceptable time to respond to a severity 3 incident.			

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Service Level	Explanation	Service Level		
Category		Metric	Minimum	Target
Severity 3 - Time to notify	Acceptable time to notify NARA to a severity 3 incident.			
Severity 4 - Minor Impact User down with many others capable of performing required tasks	Acceptable time to resolve problems for hardware, software and system components within the environment that are minor impact.			
Severity 4 - Time to respond	Acceptable time to respond to a severity 4 incident.			
Severity 4 - Time to notify	Acceptable time to notify NARA to a severity 4 incident.			

**Security**

Service Level	Explanation	Service Level			
Category		Metric	Low	Common	High
Security Incident Response Time	Acceptable time to resolve problems for security alerts related to hardware, software and system components				

**Availability Management**

Service Level	Explanation	Service Level			
Category		Metric	Low	Common	High
ERA Ingest Services	Acceptable percentage of uptime per reporting period.				
Virus Scan Services	Acceptable percentage of uptime per reporting period.				
ERA Management Services	Acceptable percentage of uptime per reporting period.				



## 6.0 DELIVERABLES

The Contractor shall develop, and regularly update, a prescribed set of documentation. The documentation requirements are presented below:

ID	Description	Delivery Schedule	Notes
1	<p>The Contractor shall develop a <i>Concept of Operations (CONOPS)</i> document that conforms to contract requirements and that documents the Contractor's approach for operating and maintaining the ERA system, and for providing for adequate program management processes and procedures required to meet ERA goals and requirements.</p> <p>At a minimum, the CONOPS shall address the following areas:</p> <ol style="list-style-type: none"> <li>1) ERA specifications including infrastructure diagrams, configurations and capacity by location, or type of location,</li> <li>2) Baseline services provided,</li> <li>3) User support and Help Desk procedures,</li> <li>4) Staffing coverage,</li> <li>5) Technology refresh methodology,</li> <li>6) Service assurance,</li> <li>7) ERA management team and approach,</li> <li>8) Contractor Roles and responsibility,</li> </ol>	<p>The Contractor shall submit a draft of the initial CONOPS with their proposals for Government review.</p> <p>The Contractor shall update the initial CONOPS within 90 days of contract award based on any findings discovered during the transition to commencing work on the contract.</p> <p>The Contractor shall submit the final CONOPS for Government acceptance and maintain the document under configuration control.</p> <p>During the life of the contract, the Contractor shall deliver an updated CONOPS after each major revision of ERA as directed in the Task Order for that revision, and at least annually at the beginning of each contract year.</p>	

## SECTION C - DESCRIPTION /STATEMENT OF WORK

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ID	Description	Delivery Schedule	Notes
2	<p>The Contractor shall develop a <b><i>Transition Implementation Plan (TIP)</i></b> that details how the Contractor shall transition the existing environments to the new environments.</p> <p>The TIP shall include the following sections:</p> <ol style="list-style-type: none"> <li>1) Transition approach for all ERA environments,</li> <li>2) Transition and deployment schedule listing all pertinent activities,</li> <li>3) Interim service solution approach,</li> <li>4) Transition staffing,</li> <li>5) Transition risks and mitigations,</li> <li>6) Organization awareness and communications,</li> <li>7) Results of the contractor's discovery effort of current ERA and associated impacts to the transition, and</li> <li>8) Operations readiness checklist which clearly documents steps that must be accomplished for the contractor to successfully assume operations of the ERA system and environments.</li> </ol>	Within 60 days of award	

ID	Description	Delivery Schedule	Notes
3	<p>The Contractor shall prepare weekly performance reports for NARA indicating key ERA metrics:</p> <ul style="list-style-type: none"> <li>• Average of simultaneous users – represents the average amount of total users on the system during each individual day of the seven day reporting period.</li> <li>• Average Records Returned – represents the average records returned by user queries on the system during each individual day of the seven day reporting period.</li> <li>• Average Query Time – represents the average time each user query took to resolve on the system during each individual day of the seven day reporting period.</li> <li>• Average Time to First Byte – represents the average time it took for the first byte of a query to be returned by a user queries on the system during each individual day of the seven day reporting period.</li> <li>• Average Time to Last Byte – represents the average time it took for the last byte of a query to be returned by user queries on the system during each individual day of the seven day reporting period.</li> <li>• Maximum simultaneous users – represents the maximum or largest number of users simultaneously accessing the system at any one moment in time during each individual day of the seven day reporting period.</li> <li>• Maximum Records Returned – represents the maximum or largest number of records returned to users on the system at any one moment in time during each individual day of the seven day reporting period.</li> <li>• Maximum Query Time – represents the maximum query time of an individual query experienced by users on the system at any one moment in time during each individual day of the seven day reporting period.</li> <li>• Maximum Time to First Byte – represents the maximum time it took to return the first byte of an individual query experienced by users on <b>the AAD system at any one moment in time during each individual day of the seven day reporting period.</b></li> <li>• <b>Maximum Time to Last Byte – represents the maximum time it took to return the last byte of an individual query experienced by users on the AAD system at</b></li> </ul>	Weekly	

## SECTION C - DESCRIPTION /STATEMENT OF WORK

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ID	Description	Delivery Schedule	Notes
4	The Contractor shall develop, disseminate, and periodically update a <b>Configuration Management Plan</b> that documents the processes and procedures the Contractor shall perform for designing and developing system and infrastructure changes. The Plan shall include details for how the Contractor shall perform configuration identification, configuration control, configuration status accounting, configuration evaluation, audits, and reviews, interface control, and release management and delivery.	As directed by NARA via Task Order.	
5	The Contractor shall develop and maintain the <b>Baseline Configuration Document</b> that contains an inventory of the system's components. The inventory of information system components includes manufacturer, type, serial number, version number, and location (i.e., physical location and logical position within the information system architecture).	As directed by NARA via Task Order.	
6	The Contractor shall develop, disseminate, and periodically update a <b>Contingency Policy and Plan</b> that documents processes and procedures to take when a disaster or a break in ERA service occurs. The plan shall detail what steps the Contractor shall perform to ensure continuity and restoration of services.	The Contractor shall review the contingency plan every twelve (12) months and revise the plan to address system/organizational changes or problems encountered during plan implementation, execution, or testing.	

## SECTION C - DESCRIPTION /STATEMENT OF WORK

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ID	Description	Delivery Schedule	Notes
7	<p>The Contractor shall develop a comprehensive <b>Security Policy and Plan</b> that details the contractor's controls in place to ensure the security, integrity, and confidentiality of the ERA system. The plan will address the contractor's controls in following areas of security and policy:</p> <p>Section 1) Information systems and data security;            Section 2) Personnel security;            Section 3) Facility security; and            Section 4) Security Awareness and Training.</p> <p>The policy shall describe the purpose, scope, roles, responsibilities, and compliance with all security related matters.</p> <p>Section 1 should contain, at a minimum, details on:</p> <ul style="list-style-type: none"> <li>a) user identification and authentication,</li> <li>b) access to systems, including remote access,</li> <li>c) audit trails,</li> <li>d) media protection,</li> <li>e) malware and intrusion tools and techniques, and</li> <li>f) security incident response and reporting, which includes containment, eradication, and recovery.</li> </ul>	<p>The Contractor shall review the plan every six (6) months and revise it to address system/organizational changes or problems identified during plan implementation or security control assessments.</p>	
8	<p>The Contractor shall develop, disseminate, and periodically update a <b>Risk Management Plan</b> that documents the processes and procedures the Contractor shall perform for identifying, analyzing, and responding to ERA risks. The plan shall include details for how the Contractor shall perform risk management planning, risk identification, qualitative and quantitative risk analysis, risk response planning, risk monitoring and controlling.</p>	<p>As directed by NARA via Task Order.</p>	

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ID	Description	Delivery Schedule	Notes
9	<p>The Contractor shall conduct assessments of the risk and magnitude of harm that could result from the unauthorized access, use, disclosure, disruption, modification, or destruction of information and information systems that support the operations and assets of the agency. Risk assessments shall take into account vulnerabilities, threat sources, and security controls planned or in place to determine the resulting level of residual risk posed to ERA assets or individuals, based on the operation of the information system.</p> <p>NIST Special Publication 800-30 provides guidance on conducting risk assessments including threat, vulnerability, and impact assessments.</p>	<p>The Risk Assessment shall be updated every twelve (12) months or whenever there are significant changes to the information system, the facilities where the system resides, or other conditions that may impact the security or accreditation status of the system.</p>	
10	<p>The Contractor shall develop, disseminate, and periodically update a <i>System Maintenance Plan</i> that details how regular and emergency maintenance to ERA components shall be performed.</p>	<p>As directed by NARA via Task Order.</p>	
11	<p>The Contractor shall maintain the following documentation:</p> <ol style="list-style-type: none"> <li>1) Procedural manuals and standard operating procedures,</li> <li>2) Current editions of all documentation pertaining to COTS software applications and hardware in use within the ERA environment, and</li> <li>3) As required, bulletins, newsletters, web-based information, and other documentation to inform users about Help Desk operations and other related IT support functions pertaining to them.</li> </ol>	<p>As directed by NARA via Task Order.</p>	

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ID	Description	Delivery Schedule	Notes
12	<p>The Contractor shall collect and report periodically to NARA information on ERA security metrics including:</p> <ul style="list-style-type: none"> <li>▪ Number of host covered by antivirus software</li> <li>▪ Number of viruses detected</li> <li>▪ Antivirus signature update response time</li> <li>▪ Number of firewall rule changes</li> <li>▪ Number of inbound network connections to servers</li> <li>▪ IDS signature update response</li> <li>▪ Number of IDS alerted "attacks"</li> <li>▪ Number of IDS alerted false positive "attacks"</li> <li>▪ Number of IDS alerted actual "attacks"</li> <li>▪ Network services per host</li> <li>▪ Vulnerability scanner coverage</li> <li>▪ Vulnerabilities per host</li> <li>▪ Patches applied per period</li> <li>▪ Patch to time between release and apply</li> <li>▪ Host not to current patch level</li> <li>▪ Patches applied outside maintenance window</li> </ul>	weekly, monthly, quarterly	

## 1. Reporting Deliverables

The Contractor shall provide for the collection and reporting of statistical information on a weekly, monthly, quarterly or as needed basis.

### 1.1. Weekly Reports

The weekly report requirements are presented below:

ID	Description
1	The Contractor shall produce a weekly <b>Change Request Report</b> that contains details on the status of Change Requests (CRs).
2	The Contractor shall develop and submit to the NARA ISSO a weekly <b>Security Activity Report</b> (and cumulative for the year) that includes the following: <ol style="list-style-type: none"> <li>1) Number of incidents;</li> <li>2) Seriousness of the incidents;</li> <li>3) Number of hours to resolve;</li> <li>4) Were any proprietary data compromised;</li> <li>5) Were any law enforcement data compromised;</li> <li>6) Patches that were tested;</li> <li>7) Patches that were implemented;</li> <li>8) Any adverse impact of the patch implementation.</li> </ol>

### 1.2. Monthly and Quarterly Reports

The monthly and quarterly report requirements are presented below:

ID	Description
1	The Contractor shall submit a <b>Monthly Management Report</b> that includes the following information: <ol style="list-style-type: none"> <li>1) Activities performed during the month and scheduled for next month,</li> <li>2) Help-Desk Activity Summary,</li> <li>3) Summary of the weekly Security Activity Reports,</li> <li>4) Summary of the weekly Change Request reports,</li> <li>5) SLA metrics/compliance report and supporting documentation,</li> <li>6) Contract financial data,</li> <li>7) Major program risks and issues and their resolution status.</li> </ol>



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ID	Description
2	<p>The Contractor shall provide a <b><i>Quarterly Management Report</i></b> package that includes the following information:</p> <ol style="list-style-type: none"> <li>1) Activities performed during the quarter, and</li> <li>2) SLA metrics and supporting documentation</li> </ol>
3	<p>The Contractor shall submit a monthly <b><i>Call Analysis Report</i></b> that details and summarizes all measurable performance information for support to include call volume and ticketing statistics.</p>
4	<p>The Contractor shall submit a quarterly <b><i>Asset Inventory Report</i></b> that details the following:</p> <ol style="list-style-type: none"> <li>1) Maintenance agreement renewals</li> <li>2) Maintenance agreements expired</li> <li>3) Hardware replacements</li> <li>4) New Hardware</li> <li>5) Hardware failures</li> <li>6) Software upgrades, with listing of current software versions</li> <li>7) New Software</li> <li>8) Hardware accessions</li> <li>9) Software accessions</li> </ol>
5	<p>The Contractor shall provide a monthly <b><i>Contract Funds Status Report</i></b>.</p>