

ORDER FOR SUPPLIES OR SERVICES

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

1. DATE OF ORDER 02/04/2010	2. CONTRACT NO. (If any) GS-06F-0081Z	6. SHIP TO: Kathy Thomas		
3. ORDER NO. DTMA1F10030	4. REQUISITION/REFERENCE NO. PR300100031	a. NAME OF CONSIGNEE DOT/Maritime Administration, MAR-340		
5. ISSUING OFFICE (Address correspondence to) DOT/Maritime Administration, MAR-380 1200 New Jersey Ave SE, MAR380 W26-429		b. STREET ADDRESS 1200 New Jersey Ave., SE MAR340, W26-320		
Washington DC 20590		c. CITY Washington	d. STATE DC	e. ZIP CODE 20590-0001
7. TO:		f. SHIP VIA		
a. NAME OF CONTRACTOR Ola Sage/Pres/CEO/301-565-2988		8. TYPE OF ORDER		
b. COMPANY NAME e-Management Consultants, Inc.		<input type="checkbox"/> a. PURCHASE <input checked="" type="checkbox"/> b. DELIVERY - Except for billing instructions on the reverse, this delivery order is subject to instructions contained on this side only of this form and is issued subject to the terms and conditions of the above-numbered contract.		
c. STREET ADDRESS 1010 Wayne Ave Ste 1150		REFERENCE YOUR: Please furnish the following on the terms and conditions specified on both sides of this order and on the attached sheet, if any, including delivery as indicated.		
d. CITY Silver Spring	e. STATE MD	f. ZIP CODE 20910-5615		
9. ACCOUNTING AND APPROPRIATION DATA See Line Item Detail		10. REQUISITIONING OFFICE		

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

17. SCHEDULE (See reverse for Rejections)

ITEM NO. (a)	SUPPLIES OR SERVICES (b)	QUANTITY ORDERED (c)	UNIT (d)	UNIT PRICE (e)	AMOUNT (f)	QUANTITY ACCEPTED (g)
	SEE LINE ITEM DETAIL					

SEE BILLING INSTRUCTIONS ON REVERSE	18. SHIPPING POINT	19. GROSS SHIPPING WEIGHT	20. INVOICE NO.		17(h) TOT. (Cont. pages)
	21. MAIL INVOICE TO: Tammy Curnett				
	a. NAME DOT/ Enterprise Services Center (ESC) OFO/FAA, Oklahoma City				
	b. STREET ADDRESS (or P.O. Box) MARAD A/P Branch, AMZ-150 PO Box 25710				
	c. CITY Oklahoma City	d. STATE OK	e. ZIP CODE 73125		17(i) GRAND TOTAL \$343,678.16

22. UNITED STATES OF AMERICA BY (Signature)		23. NAME (Typed) M. E. Simmons TITLE: CONTRACTING/ORDERING OFFICER
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**ORDER FOR SUPPLIES OR SERVICES
SCHEDULE - CONTINUATION**

PAGE NO.
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IMPORTANT: Mark all packages and papers with contract and/or order numbers.

DATE OF ORDER 02/04/2010	CONTRACT NO. GS-06F-0081Z	ORDER NO. DTMA1F10030
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ITEM NO. (a)	SUPPLIES OR SERVICES (b)	QUANTITY ORDERED (c)	UNIT (d)	UNIT PRICE (e)	AMOUNT (f)	QUANTITY ACCEPTED (g)
0001	<p>Base Year - Technology Enterprise</p> <p>This is a Firm-Fixed price contract issued under the General Services Administration Service (GSA), Federal Acquisition Service (FAS), Small Business Governmentwide Acquisition Contracts Center (SBGWACC) 8(a) Stars GWAC Contract Vehicle of which the TERMS AND CONDITIONS are incorporated.</p> <p>The contractor shall perform Enterprise Architecture and Business Transformation services for the US Department of Transportation/Maritime Administration located at 1200 New Jersey Avenue, SE Washington, DC 20590 in accordance with the attached Performance Based Statement of Work.</p> <p>The period of performance shall be from February 5, 2010 through February 4, 2011 with one (1) Option Year.</p> <p>The contractor shall coordinate working hours with the designated Contracting Officer's Technical Representative (COTR) for this contract.</p> <p align="center"><i>Start Date</i> <i>End Date</i> 02/05/2010 02/03/2011</p> <p>Reference Requisition: PR300100031</p> <p>Funding Information: 2010 - - 70x430 - 3RRF930 - 40 - ADPO - 07 - 010613040 - ADPO - - - - - 25305 - 6100 - 6600 - \$335,387.20</p>	1.00	LOT	335,387.200	335,387.20	
0001AA	<p>PR300100041 TO ADD FUNDS</p> <p>PR300100041 to add funds to CLIN 0001.</p> <p>Funding Information: 2010 - - 701017 - 50HQ11T - E0 - 0030 - 00 - 000134008 - 0000000 - 00 - 25305 - 00 - - 25305 - 6100 - 6600 - \$8,290.96</p>	1.00	LOT	8,290.960	8,290.96	

TOTAL CARRIED FORWARD TO 1ST PAGE (ITEM 17i) ➡ \$343,678.16

**ORDER FOR SUPPLIES OR SERVICES
SCHEDULE - CONTINUATION**

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

DATE OF ORDER 02/04/2010	CONTRACT NO. GS-06F-0081Z	ORDER NO. DTMA1F10030
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ITEM NO. (a)	SUPPLIES OR SERVICES (b)	QUANTITY ORDERED (c)	UNIT (d)	UNIT PRICE (e)	AMOUNT (f)	QUANTITY ACCEPTED (g)
0002 OPTION YEAR	<p>1st Option Year</p> <p>This is a Firm-Fixed price contract issued under the General Services Administration Service (GSA), Federal Acquisition Service (FAS), Small Business Governmentwide Acquisition Contracts Center (SBGWACC) 8(a) Stars GWAC Contract Vehicle of which the TERMS AND CONDITIONS are incorporated.</p> <p>The contractor shall perform Enterprise Architecture and Business Transformation services for the US Department of Transportation/Maritime Administration located at 1200 New Jersey Avenue, SE Washington, DC 20590 in accordance with the attached Performance Based Statement of Work.</p> <p>If this Option is exercised the period of performance shall be from February 5, 2011 through February 4, 2012 with one (1) Option Year.</p> <p>The contractor shall coordinate working hours with the designated Contracting Officer's Technical Representative (COTR) for this contract.</p> <p align="center"><i>Start Date</i> <i>End Date</i> 02/05/2011 02/04/2012</p>	1.00	LOT	298,830.040	298,830.04	

TOTAL CARRIED FORWARD TO 1ST PAGE (ITEM 17i) ➡ \$298,830.04

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COMMERCIAL CLAUSES

1 CONTRACTING OFFICER TECHNICAL REPRESENTATIVE (COTR)

Kathy Thomas of the Office of Information Technology is designated as the COTR and can be reached at 202-366-4176. A letter of designation shall be included with this award. She shall provide you with Security information in order to access the building while performing the work on this contract.

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SECTION C -- DESCRIPTIONS AND SPECIFICATIONS

C.1 STATEMENT OF WORK

Maritime Administration (MARAD)
Statement of Work for
Enterprise Architecture (EA) and Business Transformation
Support Services for the Maritime Administration

Section 1. MARAD Enterprise Architecture Overall Background and Purpose

The Maritime Administration (MARAD) located at 1200 New Jersey Avenue, SE Washington, DC 20590 has a requirement to further develop/mature its enterprise Architecture (EA) and associated management processes (e.g. EA governance and toolset management). The contractor shall provide support for all layers of the architecture to include performance, business, data, application, service, and technology architectures for all MARAD business areas and program management activities in a prioritized manner as described herein or directed by the contracting officer's representative (COTR).

MARAD's EA capability will be used to enhance mission performance within the MARAD business areas, aligning strategic objectives with business needs and information technology (IT) resources to improve IT investment decision making. MARAD's EA capability will also be used to identify process, data and technology redundancies that prove inefficient and/or ineffective. MARAD's EA will provide service to address business area needs and the needs of MARAD stakeholders while leveraging existing agency capabilities and optimizing opportunities for sharing. In developing the EA capability and furthering MARAD EA goals, the contractor shall partner with MARAD in:

- a. Leveraging best practices from within the Department of Transportation and from other Federal agencies with mature enterprise architectures;
- b. Leveraging a standard methodology for engaging business areas in planning of business transformational and segment architecture;
- c. Engaging and extending the use of governance throughout business transformation to gain active participation from MARAD stockholders resulting in review and acceptance of the segment architecture and other EA processes;
- d. Leveraging state of the art communication practices and training to ensure that business and technology leaders understand tangible benefits and expected outcomes from EA practices to the agency and their programs and in ongoing business transformation efforts;
- e. Deploying, populating, updating, relating and providing secure access to the MARAD EA repository.

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SECTION F -- DELIVERIES OR PERFORMANCE

F.1 DELIVERY SCHEDULE

The Delivery Schedule is incorporated as an attachment.

F.2 SECTION 2 OF EA- SUB-TASKS AND DELIVERABLES

Section 2. MARAD Sub-Tasks, Activities, Deliverables

The contractor shall provide work products and deliverables located in Section F of this Contract.

Sub-Task 1. The contractor shall evaluate existing EA program

Purpose: The contractor shall evaluate MARADs EA program to assess MARADs EA maturity level. This effort shall include a comprehensive review of all existing documentation and policies.

Sub-Task 1 Deliverable:

1.1 The contractor shall supply a written report within 30 days detailing the results of the EA program review.

Sub-Task 2. The EA Program Management will provide support in Performance Management, Administrative Management, and Performance Reporting.

Purpose: The contractor shall develop EA program/project plans, including resource and schedule estimates, that incorporates all EA related activities, performance and administrative management responsibilities. In addition, the contractor shall provide performance reporting for internal and external deliverables for MARADs EA to maintain a "green" rating in accordance with the Office of Management and Budget's (OMB) criteria under the President's Management Agenda (PMA), the Government Accountability Office's (GAO) maturity rating level of four (4), and the MARAD/DOT's mission and the EA Program Management Office's (PMO) needs. The government and contractor approved project plan will be the governing document for deliverable and task schedules, unless specific schedule references are noted in the task statement.

Sub-Task 2 Deliverables:

2.1 The contractor shall supply a MARAD EA Master Program Plan incorporating:

All EA-related activities including significant activities based on internal and external drivers.

2.2 The contractor shall supply a MARAD EA Project Plan focused on contract deliverables according to a critical path methodology approved by the Contracting Officer Technical Representative (COTR) using the current version of Microsoft Project or other agreed upon format.

All plans shall include detailed tasks, dependencies, resource and schedule estimates, including estimated activity cost information based upon the MARAD EA Master Program Plan. Project Plan must be updated monthly based upon impacts and activities identified in previous monthly status reports.

2.3 The contractor shall supply a Risk Management Plan for the work proposed under this contract including identification of EA and related tasks not directly funded under this contract but having significant impact to the EA Program, MARAD Office of Chief Information Officer (OCIO) and the MARAD mission.

2.4 The contractor shall support the submission of the annual self assessment, quarterly milestone submission and associated evidence in accordance with MARAD, DOT and OMB guidance required by OMB's EA Assessment Framework. Support for GAO reporting as well as other ad-hoc requests shall be provided.

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2.5 The contractor shall provide status report updates to the COTR of the overall project plan and provide status every month or as requested. After the baseline plan is defined, status reports are due by the 5th day of each month. If the 5th falls on a weekend or Federal Holiday, the monthly updated plan is due the next business day.

The contractor shall supply concise and accurate reports that, at a minimum, identify:

- a. progress over last month,
- b. cost over the last month and cumulative by task,
- c. planned progress for the next month,
- d. impacts associated with cost, schedule and performance issues,
- e. recommended corrective actions to address cost, schedule and performance impacts, and

The contractor shall provide status results that are reflected in DOT EA Program Plan (see Subtask 1, 1.2).

The contractor shall e-mail Monthly status reports to the COTR using either Microsoft Word or Microsoft Project formats.

Sub-Task 3. The Contractor shall develop, update, and maintain MARAD EA governance and guidance

Purpose: The primary purpose of this task is to ensure that internal and external drivers are incorporated into MARAD EA methods and guidance, including process, policies and procedures. Upon discovering or initiating changes to any of the above, the contractor shall identify the appropriate MARAD personnel and outline proposed recommendations and appropriate governance bodies to obtain approval for implementation. In addition, contractor is responsible for supporting the MARAD CIO in preparing for and responding to MARAD governance bodies on EA-related issues, including charter preparation, minutes and other administrative tasks.

Sub-Task 3 Deliverables:

3.1 The contractor shall supply draft and final revisions of MARAD EA methods, policies and guidance, reflecting applicable changes to the DOT EA repository (Metis). Final versions shall incorporate all approved comments.

3.2 The contractor shall supply recommendations for approval from MARAD governance bodies to update the MARAD EA artifacts, assessing and identifying impacts of drivers.

3.3 The contractor shall establish DOT EA Artifact Version Control Process to maintain version control of all MARAD artifacts, including updated MARAD EA policy, guidance, and the ERA Tool/Repository maintenance.

3.4 The contractor shall develop and maintain the MARAD Methodology for Business Transformation (MBT). The contractor shall develop associated guidance, templates, and tools for applying the MARAD MBT to modernization blueprints.

3.5 The contractor shall develop MARAD Transition Strategy guidance for use by the MARAD EA Office of Information Technology (OIT) to assist Line of Businesses (LOBs) with implementing their approved modernization blueprint recommendations. The implementation guidance shall include specific steps that each LOB must undertake to implement their blueprint.

3.6 The contractor shall provide plans, corrective actions, additional activities and architectures required to ensure a level 3.0 or above of maturity in MARADs EA program based on the current version of the OMB EA Assessment Framework.

Sub-Task 4. The contractor shall provide Implementation, development and maintenance support for MARAD EA Repository (Mega)

Purpose: The purpose of this task is to provide development, implementation and maintenance for MARADs EA tool/repository. MARAD requires this EA tool to be managed, maintained and used for business transformational purposes. Additionally, the support will include maturing the MARAD Enterprise Framework to provide for a fully functional and secure MARAD EA tool/repository that is accessible to specified users via role-based access control. To successfully implement this task, at a minimum, demonstrated, expert knowledge is required in the use of both the DOT and MARAD EA tool/repositories.

The contractor shall also provide support to achieve and maintain certification and accreditation for the MARAD EA repository consistent with MARAD and DOT security policies and guidance. These support services include but are not limited to, providing updates into both the MARAD and DOT EA repositories, providing controlled access through role-based user accounts; providing approved user access; controlling and tracking versions of data; and track and resolve technical issues.

Sub Task 4 Deliverables:

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4.1 The contractor shall develop EA Tool processes, procedures and policies and address usability and information integrity. The contractor shall ensure back-ups of all data prior to performing any changes, merges, or extractions.

4.2 The contractor shall provide and maintain a MARAD EA Tool/Repository Control performance Checklist representing activities required to achieve certification and accreditation of the MARAD EA tool/repository.

4.3 Capability to produce ad-hoc reports from the MARAD EA tool/repository as needed by the OIT.

Sub-Task 5. The contractor shall provide communications, outreach and training.

Purpose: Effective communications, outreach and training for EA essential to the success of this effort. It is imperative that the EA communications plan is matured and implemented in a manner that is relative and tailored to the audience at hand. MARAD has a requirement to implement a communications plan that describes at various organizational and user-sensitive levels and articulates the value proposition based on benefits to stakeholders (e.g., executive, line of business owners, CIO, data managers, project managers, program analysts and architects).

Sub-Task 5 Deliverables:

The contractor shall conduct EA related training based on a specified user group and supply accompanying training material. The contractor shall provide support in the development of an EA training curriculum and then provide support in developing and presenting courses to MARAD users.

5.1 The contractor shall update and maintain the MARAD EA Communications Plan to include key audiences, communications mediums, content, and schedule.

5.2 The contractor shall develop an annual MARAD EA Training Curriculum that includes MARAD EA courses proposed for various audiences and MARAD stakeholders.

5.3 The contractor shall provide required training and reference materials, newsletters, e-mail campaigns and other electronic and print distribution mediums in accordance with the MARAD EA Communications Plan.

5.4 The contractor shall design, develop, implement and maintain the MARAD EA websites.

5.5 The contractor shall perform communications, outreach and training activities as designated in the MARAD EA Communications Plan.

5.6 The contractor shall develop briefings, meeting minutes, and other required documents to support the MARAD OIT in EA related outreach.

5.7 Create an At-A-Glance dashboard for use to improve understanding of the value of the MARAD EA to stakeholders.

Sub Task 6. The contractor shall support facilitation of MARAD Business Transformation including development and maintenance of the DOT EA current, target and transition planning using the segment approach.

Purpose: MARAD seeks to leverage the government best practices prescribed by the Methodology for Business Transformation (MBT) and segment architecture by customizing to the specific process and governance needs of MARAD. MARADs goal is to facilitate Agency realization of transformation goals and results through the creation, implementation and maintenance of institutionalized, repeatable EA processes that promote the maintenance of the MARAD EA.

Sub Task 6 Deliverables:

The contractor shall provide organizationally independent analysis and aim to provide cross-cutting recommendations that improve efficiency and effectiveness within the business area being modernized. The contractor shall facilitate the development, institutionalization and maintenance of modernization blueprints for MARAD. Following the MARAD MBT, the contractor shall facilitate with appropriate MARAD SMEs the validation of all MARAD architecture information referenced for MARADs sub-functions for the target Line of Business (LOB) creating a Blueprint. Using this validated information, in accordance with the MARAD MBT approach and supporting criteria, the contractor shall facilitate the analyses and any additional data collection necessary to produce defensible and publishable modernization blueprints.

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6.1 The contractor shall develop the MARAD Transition Strategy and support additional plans (e.g., transition and integration plans) and architectures (e.g., target architecture) at the enterprise-level to assure the continuing acceptance, use, and maturity of the MARAD EA.

6.2 The contractor shall facilitate development of modernization blueprints and associated briefing packages based on the MARAD MBT for the business areas that are selected by MARAD for modernization. These blueprints include detailed cost-benefit analysis based on government provide financial information. Blueprints shall incorporate both tactical and strategic actionable recommendations that identify business and systems improvements over a 3 to 5 year period.

6.3 The contractor shall supply modernization blueprints of MARAD's line of business developed using the MBT modernization and supporting criteria.

6.4 The contractor shall facilitate implementation for the DOT Transition Strategy guidance.

6.5 The contractor shall identify and capture EA Program Management Office business processes and services.

PROPOSED DELIVERY SCHEDULE

Item	Timeline	Action
1	30 days after award	<ul style="list-style-type: none"> • Conduct EA program review • Provide a written report that details the results of the EA assessment in addition to a high level strategy to enhance and maintain MARAD’s EA program • Submit monthly status report
2	90 days after award deliver Master Program Plan	<ul style="list-style-type: none"> • Develop EA Project Plan • Develop Risk Management Plan • Develop EA website • Develop EA Communications Plan • Develop EA training curriculum
3	120 days after award	<ul style="list-style-type: none"> • Develop MARAD EA guidance • Deliver final revision of MARAD EA guidance document • Develop EA methodology for business transformation • Develop EA Transition Plan • Develop EA Training Plan
4	6 months after award	<ul style="list-style-type: none"> • Develop EA Tool guidance
5	8 months after award	<ul style="list-style-type: none"> • Develop EA Service Oriented Architecture

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SECTION G -- CONTRACT ADMINISTRATION DATA

G.1 PROJECT PLAN

The Critical Path Methodology will be incorporated as a attachment.

Enterprise Architecture (EA) Critical Path Methodology

Performance Standard	Required Service	Allowable Deviation	Method of Surveillance
30 days after date of award	<ul style="list-style-type: none"> • Conduct EA program review • Submit monthly status report 	10%	Weekly Meetings
10 days after date of completing the program review	<ul style="list-style-type: none"> • Provide a written report that details the results of the EA assessment in addition to a high level strategy to enhance and maintain MARAD's EA program 	10%	Weekly Meetings
90 days after date of award deliver Master Program Plan	<ul style="list-style-type: none"> • Develop EA Project Plan • Develop Risk Management Plan • Develop EA website • Develop EA Communications Plan • Develop EA training curriculum 	10%	Weekly Meetings
120 days after date of award	<ul style="list-style-type: none"> • Develop MARAD EA guidance • Deliver final revision of MARAD EA guidance document • Develop EA methodology for business transformation • Develop EA Transition Plan • Develop EA Training Plan 	10%	Weekly Meetings
Six months after date of award	<ul style="list-style-type: none"> • Develop EA Tool guidance 	10%	Weekly Meetings
Eight months after date of award	<ul style="list-style-type: none"> • Develop EA Service Oriented Architecture 	10%	Weekly Meetings

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SECTION H -- SPECIAL CONTRACT REQUIREMENTS

H.1 FILE TAM 1252.239-70 AND 71.DOC

As prescribed in [\(TAR\) 48 CFR 1239.70](#), insert the following clause:

**SECURITY REQUIREMENTS FOR UNCLASSIFIED
INFORMATION TECHNOLOGY RESOURCES
(APR 2005)**

(a) The Contractor shall be responsible for Information Technology security for all systems connected to a Department of Transportation (DOT) network or operated by the Contractor for DOT, regardless of location. This clause is applicable to all or any part of the contract that includes information technology resources or services in which the Contractor has physical or electronic access to DOT's sensitive information that directly supports the mission of DOT. The term information technology', as used in this clause, means any equipment or interconnected system or subsystem of equipment, including telecommunications equipment, that is used in the automatic acquisition, storage, manipulation, management, movement, control, display, switching, interchange, transmission, or reception of data or information. This includes both major applications and general support systems as defined by OMB Circular A-130. Examples of tasks that require security provisions include:

- (1) Hosting of DOT e-Government sites or other IT operations;
- (2) Acquisition, transmission or analysis of data owned by DOT with significant replacement cost should the contractor's copy be corrupted; and
- (3) Access to DOT general support systems/major applications at a level beyond that granted the general public, e.g. bypassing a firewall.

(b) The Contractor shall develop, provide, implement, and maintain an IT Security Plan. This plan shall describe the processes and procedures that will be followed to ensure appropriate security of IT resources that are developed, processed, or used under this contract. The plan shall describe those parts of the contract to which this clause applies. The Contractor's IT Security Plan shall comply with applicable Federal Laws that include, but are not limited to, 40 U.S.C. 11331, the Federal Information Security Management Act (FISMA) of 2002 and the E-Government Act of 2002. The plan shall meet IT security requirements in accordance with Federal and DOT policies and procedures, as they may be amended from time to time during the term of this contract that include, but are not limited to:

- (1) OMB Circular A-130, Management of Federal Information Resources, Appendix III, Security of Federal Automated Information Resources;
- (2) National Institute of Standards and Technology (NIST) Guidelines;
- (3) Departmental Information Resource Management Manual (DIRMM) and associated guidelines; and
- (4) DOT Order 1630.2B, Personnel Security Management.

(c) Within 30 days after contract award, the contractor shall submit the IT Security Plan to the DOT Contracting Officer for acceptance. This plan shall be consistent with and further detail the approach contained in the offeror's proposal or sealed bid that resulted in the award of this contract and in compliance with the

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requirements stated in this clause. The plan, as accepted by the Contracting Officer, shall be incorporated into the contract as a compliance document. The Contractor shall comply with the accepted plan.

(d) Within 6 months after contract award, the contractor shall submit written proof of IT Security accreditation to the DOT for acceptance by the DOT Contracting Officer. Such written proof may be furnished either by the Contractor or by a third party. Accreditation must be in accordance with DOT Order 1350.2, which is available from the Contracting Officer upon request. This accreditation will include a final security plan, risk assessment, security test and evaluation, and disaster recovery plan/continuity of operations plan. This accreditation, when accepted by the Contracting Officer, shall be incorporated into the contract as a compliance document, and shall include a final security plan, a risk assessment, security test and evaluation, and disaster recovery/continuity of operations plan. The contractor shall comply with the accepted accreditation documentation.

(e) On an annual basis, the contractor shall submit verification to the Contracting Officer that the IT Security Plan remains valid.

(f) The contractor will ensure that the following banners are displayed on all DOT systems (both public and private) operated by the contractor prior to allowing anyone access to the system:

Government Warning

****WARNING**WARNING**WARNING****

Unauthorized access is a violation of U.S. Law and Department of Transportation policy, and may result in criminal or administrative penalties. Users shall not access other user's or system files without proper authority. Absence of access controls IS NOT authorization for access! DOT information systems and related equipment are intended for communication, transmission, processing and storage of U.S. Government information. These systems and equipment are subject to monitoring by law enforcement and authorized Department officials. Monitoring may result in the acquisition, recording, and analysis of all data being communicated, transmitted, processed or stored in this system by law enforcement and authorized Department officials. Use of this system constitutes consent to such monitoring.

****WARNING**WARNING**WARNING****

(g) The contractor will ensure that the following banner is displayed on all DOT systems that contain Privacy Act information operated by the contractor prior to allowing anyone access to the system:

This system contains information protected under the provisions of the Privacy Act of 1974 (Public Law 93-579). Any privacy information displayed on the screen or printed shall be protected from unauthorized disclosure. Employees who violate privacy safeguards may be subject to disciplinary actions, a fine of up to \$5,000, or both.

(h) Contractor personnel requiring privileged access or limited privileged access to systems operated by the Contractor for DOT or interconnected to a DOT network shall be screened at an appropriate level in accordance with DOT Order 1630.2B, Personnel Security Management, as it may be amended from time to time during the term of this contract.

(i) The Contractor shall ensure that its employees, in performance of the contract performing under this contract, receive annual IT security training in accordance with OMB Circular A-130, FISMA, and NIST requirements, as they may be amended from time to time during the term of this contract, with a specific emphasis on rules of behavior.

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(j) The Contractor shall afford the Government access to the Contractors and subcontractor's facilities, installations, operations, documentation, databases and personnel used in performance of the contract. Access shall be provided to the extent required to carry out a program of IT inspection (to include vulnerability testing), investigation and audit to safeguard against threats and hazards to the integrity, availability and confidentiality of DOT data or to the function of information technology systems operated on behalf of DOT, and to preserve evidence of computer crime.

(k) The Contractor shall incorporate the substance of this clause in all subcontracts that meet the conditions in paragraph (a) of this clause.

(l) The contractor shall immediately notify the contracting officer when an employee terminates employment that has access to DOT information systems or data.

(End of clause)

1252.239-71 Information technology security plan and accreditation.

As prescribed in [\(TAR\) 48 CFR 1239.70](#), insert the following provision:

**INFORMATION TECHNOLOGY SECURITY
PLAN AND ACCREDITATION
(APR 2005)**

All offers submitted in response to this solicitation must address the approach for completing the security plan and accreditation requirements in TAR clause [1252.239-70](#).

(End of provision)

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SECTION I -- CONTRACT CLAUSES

I.1 52.207-03 RIGHT OF FIRST REFUSAL OF EMPLOYMENT MAY 2006

(a) The Contractor shall give Government personnel who have been or will be adversely affected or separated as a result of award of this contract the right of first refusal for employment openings under the contract in positions for which they are qualified, if that employment is consistent with post-Government employment conflict of interest standards.

(b) Within 10 days after contract award, the Contracting Officer will provide to the Contractor a list of all Government personnel who have been or will be adversely affected or separated as a result of award of this contract.

(c) The Contractor shall report to the Contracting Officer the names of individuals identified on the list who are hired within 90 days after contract performance begins. This report shall be forwarded within 120 days after contract performance begins.

(End of clause)

I.2 52.217-08 OPTION TO EXTEND SERVICES NOVEMBER 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)

I.3 52.217-09 OPTION TO EXTEND THE TERM OF THE CONTRACT MARCH 2000

(a) The Government may extend the term of this contract by written notice to the Contractor within 30 days; provided that the Government gives the Contractor a preliminary written notice of its intent to extend at least _____ days [60 days unless a different number of days is inserted] 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 two (2) years.

(End of clause)

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SECTION J -- LIST OF DOCUMENTS, EXHIBITS AND OTHER ATTACHMENTS

J.1 QUALITY CONTROL PLAN

The contractor's Quality Control Plan is included as an attachment.

e-Management

Quality Control Plan

For the Department of Transportation's
Maritime Administration (MARAD)

e-Management's Quality Control Plan

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1. Quality Control Plan

1.1. Introduction

e-Management, an award-winning IT solutions firm, leverages IT capital to help our government clients plan, engineer, develop, and secure mission IT systems.

e-Management's Quality Control Plan guides our company in delivering quality results within committed resources, schedule and budget. This plan provides discipline to all aspects of the way we support our clients, yet is flexible enough to accommodate changes and new challenges that may arise. We are guided by principles of quality management defined by the Project Management Institute's *Guide to the Project Management Body of Knowledge* (PMI PMBOK Guide).

This Quality Control Plan sets forth our quality control procedures for ensuring that e-Management meets the quality assurance (QA) requirements outlined in MARAD's Quality Assurance Surveillance Plan (QASP).

2. Quality Policy

2.1. Policy Statement

e-Management's corporate quality objective is to deliver accurate quality information, advice, service and work products (e.g. reports, papers etc.) on schedule and within budget, 100 percent of the time, regardless of size or scope of task. This corporate quality objective reduces the risk of loss to our clients. This benefits our clients by increasing the level of accountability of e-Management's project execution and ensures that quality exceeds client expectations.

2.2. Policy Scope

e-Management's Quality Control Plan applies to all e-Management employees and all advice, service and work products we deliver to MARAD. e-Management's Executive Vice President (EVP) is vested with the responsibility for implementing, overseeing and evaluating the effectiveness of our quality program. The EVP shall make recommendations to improve the quality program, as required, to the President and CEO.

3. Quality Management

In order to successfully manage the activities required to deliver the highest level of service a sound quality control approach is required. e-Management's Quality Control Plan ensures that the project scope, cost and time functions are fully integrated. Consequently, MARAD can have the confidence that the quality activities will be properly performed and all relevant legal and regulatory requirements

will be met. To capitalize on Federal and Industry best practices and to stay current with the latest technologies and processes, e-Management utilizes best practices defined the International Organization for Standardization (ISO) standards, the Software Engineering Institute's Capability Maturity Model Integration for Development (CMMI-DEV), the IT Infrastructure Library (ITIL), and the PMI PMBOK Guide.

3.1. Roles and Responsibilities

All employees and subcontractors of e-Management have direct quality control responsibilities, as outlined below.

3.1.1. Senior Leadership Team (SLT)

The e-Management Senior Leadership Team (SLT) consists of the e-Management President and CEO, Executive Vice President (EVP), and other appointed Vice Presidents of the company.

The SLT supports e-Management's projects by:

- Ensuring adequately trained and qualified project managers are assigned to each project.
- Ensuring adequate funding and resources are available for the success of the projects.
- Providing timely decision-making and support as necessary to remove barriers to the success of the projects.

3.1.2. Program Manager

The Program Manager is responsible for managing and monitoring project costs and being the point-of-contact to the MARAD COTR and task monitors regarding contract, task, and deliverable status, issue resolutions, project recommendations, and quality controls for e-Management work products.

The Program Manager shall:

- Ensure that the QA activities described in this plan are implemented for each task and IT project in the Program Manager's organization
- Serve as the primary reviewer of cost control QA criteria, as defined in the company's Project Planning process description
- Notify MARAD task monitors and other stakeholders (as directed by the affected task monitor) of any issues posing cost, schedule, or technical performance risk to MARAD.

3.1.3. Project Manager

The Project Manager is the primary individual responsible for implementing the activities and the outputs specified by this Quality Control Plan. The project manager works directly with the MARAD task monitor and other MARAD clients to define requirements and develop solutions.

The Project Manager shall:

- Develop project plans that meet client approval
- Secure the resources identified in the project plan
- Formally identify a technical lead and project peer review coordinator for each project, and ensure that these two roles are held by separate individuals
- Ensure milestones and deliverables are completed on schedule
- Provide all project team members with a copy of this QA plan
- Ensure familiarity with the contents of this QA plan by project team members, and arrange initial training or refresher training for project team members as needed
- Ensure that peer reviews are conducted on the project
- Ensure the quality assurance process requirements identified in Section 5 are observed on all projects
- Maintain communication with the client
- Submit administrative deliverables, e.g. weekly and monthly reports
- Identify project management risks and issues affecting project performance
- Ensure that risk mitigation strategies are developed for both technical risks and project management risks
- Serve as the primary reviewer of project deliverables, using the quality criteria elements defined in Section 4.1
- Perform the duties of the Program Manager as requested by the SLT

3.1.4. Technical Lead

e-Management projects have a technical lead (analyst, developer, or engineer) who coordinates technical decision making and implementation activities in the execution phase of a project. The functional quality of deliverables of a project are often largely due to the skills and efforts of a talented technical lead.

The technical lead shall:

- Identify standards, client policies, and other requirements sources relevant to the project
- Develop, or participate in developing, technical documentation for the project
- Provide technical documentation to the project manager, project peer review coordinator, and other stakeholders as identified by the project manager
- Identify technical risks and issues affecting project performance
- Develop mitigation approaches for resolving technical risks and issues, and brief the project manager accordingly

3.1.5. QA Peer Review Coordinator

The QA peer review coordinator is an individual identified by the project manager that executes project peer reviews under the project manager's direction. QA peer review coordinator duties for a project shall be performed by an individual OTHER than the technical lead of the project. The project manager or program manager can serve as the QA peer review coordinator, so long as the individual concerned is not acting in the capacity of technical lead.

The key purpose of QA peer reviews is to determine if client requirements (for technical scope, technical accuracy, technical completeness, and editorial correctness) have been met.

The QA peer review coordinator shall:

- Ensure that more than one e-Management employee has examined every client deliverable from a functional point of view before receipt by the client
- Ensure that QA peer review forms, as described by e-Management's CMMI process descriptions, are completed by each peer review participant during a peer review
- Ensure that completed peer review forms are uploaded into the appropriate document repositories
- Escalate non-compliance issues to the project manager or program manager as needed

3.1.6. Team Member

All e-Management project team members, including employees of all grade levels, consultants, and subcontractors, are responsible for maintaining awareness of this QA control plan and observing the requirements specified herein.

Team members shall:

- Be directly aware of the client's existing requirements
- Assist with reviewing existing requirements for accuracy/currency and documenting changes to requirements as needed
- Perform the duties of a technical lead (Section 3.1.4) upon the request of the project manager
- Perform the duties of a QA peer review coordinator (Section 3.1.5) upon the request of the project manager
- Document project technical defects, project risks, and issues using the company's ticketing system

3.1.7. Company Quality Assurance (QA) Manager

The company QA manager is an e-Management headquarters resource designated to support multiple projects by providing objective reviews of project and program-manager adherence to project-level quality criteria (Section 4.1) and company quality process requirements (Section 5).

3.2. Quality Assessment Methods

e-Management will apply four quality assessment methods to assess its performance in meeting the performance standards of this contract: 1) 100 percent inspection; 2) periodic inspection; 2) random sampling; and 3) customer feedback.

The 100 Percent Inspection Method requires complete inspection of contract requirements that could include a review of an entire service area or 100% review of a specific deliverable (i.e., report).

Periodic assessments provide a systematic way of looking at service outputs and forming conclusions about our level of performance in accordance with a planned schedule of surveillance. Periodic inspections are designed to evaluate some part but not all of the products and services being monitored. For example, schedules may be developed to coincide with e-Management’s regular schedule of work.

Random Sampling evaluation is a quality assurance method designed to evaluate some, but not all, of a specific contract requirement. This method, based on statistical principles, estimates overall level of performance for a given contract requirement based on a representative sample drawn from a population. Random sampling is most often used when the number of occurrences of a service is very high (e.g. 5,000 help desk tickets).

Validated customer feedback is a quality assurance method based on interaction between e-Management and customers. Customers continually receive the outputs of e-Management’s performance and are in a position to evaluate us on a recurring basis.

4. Quality Control

Our quality control plan describes our management methodology for meeting MARAD’s performance expectations and our standards for corrective actions.

4.1. Control Criteria and Measurement Methods

e-Management’s quality control plan will, at a minimum, monitor: 1) Accuracy of Information, 2) Quality of Information, 3) Timeliness of Deliverables, 4) Cost Control, 4) Customer Satisfaction. Our management methodology for ensuring quality control standards in each of these areas is presented below.

4.1.1. Accuracy of Information

Quality Control Criteria	Accuracy of Information
Contract Performance Expectation	95% of the time project deliverables, reports and analyses generated do not need technical direction or editing.
e-Management’s Assessment Method	100% Review, Periodic Inspection, Random Sampling Customer Feedback

	<p>Project manager’s review of 100 percent of work products for accuracy of information prior to delivery to client.</p> <p>Senior management’s random review of work products for accuracy of information.</p> <p>Management seeks client feedback.</p>
Internal Schedule of Quality Review	<p>Project managers will review every product prior to delivery to the client.</p> <p>Senior management will conduct random reviews of work products at least monthly.</p>

4.1.2. Quality of Information

Quality Control Criteria	Quality of Information
Contract Performance Expectation	95% of the time the correct legislative or regulatory guidelines were applied appropriately.
e-Management’s Assessment Method	<p>100% Review, Periodic Inspection, Random Sampling, Customer Feedback</p> <p>Project manager is responsible for ensuring that staff are versed in the appropriate environmental and/or regulatory guidelines.</p> <p>Project manager will review of all work products for quality of information prior to delivery to client.</p> <p>Senior management’s random review of work products for accuracy of information.</p> <p>Management seeks client feedback.</p>
Internal Schedule of Quality Review	<p>Project manager will review every product prior to delivery to the client.</p> <p>Senior management will conduct at least one random review of a work product per month.</p>

4.1.3. Timeliness

Quality Control Criteria	Timeliness
Contract Performance Expectation	90% of the time scheduled delivery due dates are met.
e-Management’s Management Method	<p>100% Review, Periodic Inspection, Customer Feedback</p> <p>Clearly delineate deliverable due dates in project plan and disseminate to project manager and staff.</p>

Quality Control Criteria	Timeliness Project manager is responsible for ensuring that work is delivered on-schedule & validated during weekly meetings. Senior management review client and contracting officer's rating of timeliness. Senior management will review deliverable schedule in monthly report. Senior management conducts random review of project manager's adherence to due dates on assignments. Management seeks client feedback.
Internal Schedule of Quality Review	Senior management will use monthly reports to review timeliness. At monthly meetings between senior staff and project managers, actual results are compared to quality standards during review. Random reviews of timeliness conducted quarterly.

4.1.4. Cost Control

Quality Control Criteria	Cost Control
Contract Performance Expectation	95% of the time the costs are on or below project estimates
e-Management's Assessment Method	100% Review, Periodic Inspection, Customer Feedback.
Internal Schedule of Quality Review	Monthly internal reviews.

4.1.5. Customer Satisfaction

Quality Control Criteria	Customer Satisfaction
Contract Performance Expectation	95% of the feedback to MARAD is satisfactory or better
e-Management's Assessment Method	Periodic Inspection, Customer Feedback. Project managers and senior executives will maintain close communication with MARAD managers and staff through weekly status meetings, and weekly and monthly performance reports. Project managers will deliver high quality products on-time and on-schedule every time regardless of scope or size of the task. Project managers and senior staff will resolve all problems borne out of e-Management's actions promptly in a manner that results in the least disruption to MARAD.
Internal Schedule of Quality Review	Monthly during meetings between senior staff and project managers. Actual results are compared to quality standards during review.

4.2. Standards for Corrective Action

e-Management's goal is to anticipate and mitigate problems before they realize. However, unforeseen situations may arise that e-Management must address. e-Management's standard for corrective action is simple: The moment a performance standard is not met, corrective action is required. Attaining or exceeding every quality standard on every task is our standard.

We anticipate that the project manager who works closely with the client will resolve most problems swiftly and satisfactorily. When minor problems do occur, even if resolved immediately by the project manager, it is our policy that the project manager informs senior management of the nature and scope of the problem, all discussions with the client pertaining to the problem, and implemented corrective action.

On occasion, our mitigation strategy anticipates that some events cannot be resolved by first line managers and must be escalated up to senior management. In these cases, e-Management's senior staff and the program manager will meet with the client to identify to identify corrective action needed to get projects back on track with the least disruption to quality, cost and schedule.

In every project file, e-Management will maintain documentation of all corrective action taken and the outcomes of such action. The documentation will identify client and e-Management personnel involved in implementing corrective action, summaries of communication and decisions, and activities undertaken by each party.

4.3. Communication and Reporting

Communication is a critical element in our management plan for ensuring quality. At a minimum, project managers will hold scheduled kick-off meetings and weekly status meetings. Other meetings with the client will be scheduled as work requires. Agreements with clients regarding work product, action items, and expectations will be reached at each meeting. Minutes will be prepared following formal meetings such as working group meetings as required by this contract or requested by the client. Monthly reports may be used to report quality performance. Results of quality audits (see Section 4.4) may be provided to the client.

4.4. Quality Audit

Quality audits determine whether established quality procedures and policies are being followed. e-Management has obligated itself to conduct semi-annual audits of our subcontractor's performance. These audits will ensure improved quality and reduce risk of loss to the government. Best practices and lessons learned from quality audits will be integrated into quality policy and management plans.

5. Quality Assurance Process Requirements Summarized

e-Management achieved a capability maturity model integration (CMMI) for development (CMMI-DEV) level 2 maturity rating through the implementation of seven (7) process descriptions posted in the e-Management Project Management Office (e-PMO) repository. This section identifies QA requirements specific to service delivery for our MARAD clients, and correlates our MARAD requirements to the seven process descriptions of the company:

Requirement ID	Requirement	Process Description Reference
QA-1	One hundred percent (100%) of deliverables intended for submission to a federal client shall first be reviewed by a project manager prior to submission to the government.	Quality Assurance (QA)
QA-2	Initiatives involving an estimated level of effort (LOE) of between 40 to 160 labor hours shall have a documented Requirements Traceability Matrix (RTM) summarizing the client's requirements.	Requirements Management (REQM)
QA-3	Initiatives involving an estimated level of effort (LOE) of between 40 to 160 or more labor hours shall have a completed Micro-Project Planning Form describing the action items of the initiative.	
QA-4	Initiatives involving an estimated level of effort (LOE) of 160 or more labor hours shall have a documented QA agreement form and all planning artifacts specified by the company's Project Planning and Requirements Management process descriptions.	Project Planning (PP) REQM QA
QA-5	All planning artifacts and client deliverables shall be stored in the appropriate configuration management repositories identified on the QA agreement form.	Configuration management (CM)
QA-6	The project manager shall identify or appoint a QA Peer Review Coordinator to facilitate peer review activities for the project.	QA
QA-7	The technical lead shall make draft deliverables, design information, and related documentation available to the QA Peer Review Coordinator and the review team.	QA
QA-8	Technical defects, project risks, and issues identified by the QA Peer Review Coordinator	QA

Requirement ID	Requirement	Process Description Reference
	or review team shall be documented in the ticketing system specified on the QA agreement form.	
QA-9	The project management shall identify or request resources to address each technical defect, risk, and issue identified in the peer review process	Project Monitoring and Control (PMC)
QA-10	The project manager shall update all open project tickets at least monthly until the defects, risks, and issues concerned have been addressed or mitigated.	QA PMC