

**National Technical Information Service  
Project Plan  
for  
Financial Disclosure Online,  
Technical and Professional Services  
to the  
Consumer Product Safety Commission**

**Submitted by:**

**Clifton Brown  
Program Manager**



**UNITED STATES DEPARTMENT OF COMMERCE  
National Technical Information Service  
5301 Shawnee Road  
Alexandria, Virginia 22312**

## 1.0 INTRODUCTION

### 1.1 Background

#### **Consumer Product Safety Commission**

The U.S. Consumer Product Safety Commission (CPSC) is an independent federal regulatory agency. Congress enacted the Consumer Product Safety Act (CPSA) (15 U.S.C. §§ 2051-2089), establishing the CPSC, to: (1) protect the public against the unreasonable risks of injury associated with consumer products; (2) assist consumer in evaluating the comparative safety of consumer products; (3) develop uniform safety standards for consumer products and to minimize conflicting State and local regulations; and (4) promote research and investigation into causes and prevention or product-related deaths, illnesses, and injuries.

#### **National Technical Information Service**

Under the provisions of the National Technical Information Act of 1988 (15 U.S.C. 3704b), NTIS is authorized to establish and maintain a permanent repository of non-classified scientific, technical, and engineering information; cooperate and coordinate its operations with other Government scientific, technical, and engineering information programs; and implement new methods or media for the dissemination of scientific, technical, and engineering information, including producing and disseminating information products in electronic format and to enter into arrangements necessary for the conduct of its business. Therefore, NTIS is a good fit to provide these technology-driven knowledge management and learning project services. NTIS maintains sophisticated inventory control, ordering, and production printing and distribution systems to fulfill orders from the general public for copies of documents or other items that exist in the repository. NTIS also functions as an Internet Service Provider (ISP) to other federal agencies. NTIS hosts their own Web sites as well as a number of Web sites for government entities that have outsourced their Web hosting operations and support functions to NTIS.

NTIS currently hosts other government websites at their federally secure data center located in the NTIS headquarters building in Alexandria, VA. This environment is operated by NTIS. The NTIS facility currently has systems meeting Certification and Accreditation (C&A) requirements and has been granted Authority to Operate (ATO) to function with Personally Identifiable Information (PII) data.

#### **HRWorX, LLC**

HRWorX LLC is a privately held Veteran Owned small business established in 2003. HRWorX's applications and services, combined with the products and services of their teaming partners, provide an integrated suite of Human Capital Management and Talent Management Solutions including but not limited to hiring modules, electronic Entry on Duty (EODonline), Performance Management, post-hire requirements such as Financial Disclosure online (FDonline) reporting and review, and data collection processes. HRWorX is the application developer and integrator and will provide the EODonline application and professional services in support of the CPSC.

### **1.2 Legal Authority**

NTIS is authorized to enter into this Project Plan and receive funds under 15 U.S.C. §§ 1153 and 3704b note. Further, NTIS possesses programmatic authority to perform the services detailed in this Project Plan pursuant to 15 USC 3704b (National Technical Information Act of 1988), 15 USC 1151-1157, and specifically 15 USC 3704b(e)(5).

Titles II and IV of the Ethics in Government Act of 1978, as amended, direct Executive branch departments and Federal agencies to administer an effective ethics program that must include training, counseling, financial disclosure reporting, and other related responsibilities. The program requirements for the ethics programs of executive departments or executive agencies are set out in 5 C.F.R. Part 2638. The Standards of Ethical Conduct for Employees of the Executive Branch are set out in 5 C.F.R. Part 2635.

### **1.3 Project Scope**

The NTIS Team consists of three primary members. NTIS will provide the project management, servers, systems development and secure hosting services. HRWorX is a NTIS Joint Venture Partner (JVP) and with its contractor, PrimeForce Solutions, is the application developer and integrator that develops the Financial Disclosure application (FDonline) and provides professional services in support of the FDonline application to CPSC.

CPSC has a requirement for an automated system to support the Agency's ethics officials and employee filers with a secure method to complete, review and approve the required annual filing of OGE forms. NTIS is a Federal agency within the Department of Commerce authorized to provide these services. NTIS provides these services through FDonline, a web based system that can manage and operate CPSC's financial disclosure process.

## **2.0 TECHNICAL APPROACH**

The following provides background details and requirements for each of the projects to be accomplished.

**See Attachment A: Statement of Work**

### **3.0 PROJECT RESPONSIBILITIES**

#### **3.1 Summary of CPSC Responsibilities.**

- (a) Provide a Project Manager to act as a liaison with NTIS;
- (b) Provide NTIS with information on CPSC's financial disclosure processes, procedures and structure;
- (c) Identify specific CPSC financial disclosure reviewers;
- (d) Encourage full attendance of required CPSC personnel at meetings and trainings;
- (e) Provide NTIS with appropriate information, updates, and content for CPSC's FDonline account, as needed;
- (f) Administer CPSC's content on FDonline;
- (g) Provide NTIS with information, updates, and content that complies with the Privacy Act of 1974, Federal law, and CPSC regulations and policy; and
- (h) Address issues raised by NTIS within one work day, when practicable.

#### **3.2 Summary of NTIS Team Responsibilities**

- (a) Provide the servers, operating systems and software required;
- (b) Install and host a reliable, secure, high performance, scalable hardware platform for FDonline;
- (c) Provide T-1 equivalent (burstable) or greater Internet connection with sufficient bandwidth to support the FDonline application for CPSC users;
- (d) Make appropriate software upgrades;
- (e) Provide system administration for the servers hosting the FDonline application;
- (f) Provide Oracle database administration for the FDonline application;
- (g) Provide normal maintenance to the CPSC FDonline site, including updates and problem solving during normal business hours;
- (h) Coordinate with CPSC for maintenance downtime;
- (i) Provide 24 hour, seven-day monitoring of the FDonline including hosts and services;
- (j) Address all issues within 24 hours;
- (k) Provide data gathering, data loading, and configuration support to CPSC to implement FDonline for use by all CPSC financial disclosure filers, administrators and reviewers;
- (l) Provide training on how to use FDonline for financial disclosure filers, administrators and reviewers;
- (m) Provide communications support including establishing a communications plan with the CPSC project team and supporting execution of the plan within CPSC; and
- (n) Maintain sensitive information provided by CPSC in accordance with the Privacy Act of 1974 and other applicable law and regulations.

### **4.0 PERSONNEL REQUIREMENTS**

#### **4.1 The NTIS Program Manager**

The NTIS Program Manager is responsible for overseeing all aspects of the Project Plan, including monitoring the budget and activity reports. The Program Manager monitors personnel, functions as a daily point of contact for CPSC, and oversees daily activities. The Program Manager ensures all tasks are coordinated and completed in a cost-effective and efficient manner. The prices proposed for NTIS Federal and contract employees shall be consistent with standard NTIS costing models.

## **5.0 FINANCIAL PROCEDURES/INFORMATION**

### **5.1 Transfer of Funds**

Work on this Project Plan, which serves as an obligating document, will not begin until the Project Plan is signed by both parties. Funding transfer(s) will be handled by the Financial Contacts.

### **5.2 Financial Reporting**

NTIS will provide CPSC with documentation for each billing cycle to facilitate verification of performance and resolution of any discrepancies. Any discrepancies noted and verified will be adjusted on subsequent billing cycles and accounted for in subsequent reports.

### **5.3 Pricing**

Pricing will be based on the terms and conditions outlined in this approved Project Plan. If at any time during the period of performance, the parties determine that substantive change to the approved terms and conditions are necessary, those changes will be preserved in an amendment/modification to the Project Plan. The NTIS Project Representative will contact CPSC to request an amendment/modification to the Project Plan to adjust the pricing accordingly.

Substantial decrease in the scope of work which requires Project Plan revision may be subject to the cancellation policy outlined in Section 5.5.

### **5.4 Procurement Sensitivity**

Information shared pursuant to this Project Plan will be protected from disclosure consistent with all applicable Federal Law.

### **5.5 Cancellation Charges**

Either party may terminate this Project Plan at any time but must give the other party at least ninety days' notice in writing of its intent to do so. Should it be necessary for CPSC to cancel this Project Plan, either in its entirety or in part, or should CPSC request that work already scheduled by NTIS under this Project Plan be deferred, NTIS will be reimbursed for:

- a. Any direct costs already incurred or obligated by NTIS in support of this Project Plan, which cannot be canceled or deferred (i.e., fixed term leases for software or hardware, partnerships for services, contracts for vendor services, etc.);
- b. Any administrative cost incurred by NTIS in implementing the termination(s) of any partnership, contract awarded or delivery order issued by NTIS because of this Project Plan.

If the requesting agency cancels the order, the providing agency is authorized to collect costs incurred prior to cancellation of the order plus any termination costs, up to the total payment amount provided for under this agreement.

### 5.6 Dispute Resolution

Should disagreements arise on the interpretation of the provisions of this agreement or amendments/modifications and/or revisions thereto, that cannot be resolved at the operating level, the area(s) of disagreement shall be stated in writing by each party and presented to the other party for consideration. If agreement or interpretation is not reached within 30 days, the parties shall forward the written presentation of the disagreement to respective higher officials for appropriate resolution.

If a dispute related to funding remains unresolved for more than 30 calendar days after the parties have engaged in an escalation of the dispute, disputes will be resolved in accordance with instructions provided in the Treasury Financial Manual (TFM) Volume I, Part 2, Chapter 4700, Appendix 10, available at : <http://tfm.fiscal.treasury.gov>.

### 5.7 Amending the Project Plan

Changes to this Project Plan, including but not limited to, the technical approach, the term, or the funding, will become effective only upon a written amendment/modification signed by the duly authorized representatives.

## 6.0 CONTACTS

### 6.1 Project Representatives

#### CPSC

Project Representative  
Melissa Buford  
AGC – General Law  
U.S. CPSC  
4330 East West Highway  
Bethesda, MD 20814  
Telephone: 301-504-7636  
Email address: [mbuford@cpsc.gov](mailto:mbuford@cpsc.gov)

#### NTIS

Project Representative  
Clifton Brown  
Program Manager  
5301 Shawnee Road, Room 118  
Alexandria, VA 22312  
Telephone: 703-605-6274  
Fax Number: 703-605-6677  
Email address: [cbrown@ntis.gov](mailto:cbrown@ntis.gov)

### 6.2 Financial Contact/Billing Address

#### CPSC

CPSC Accounts Payable Branch  
AMZ-160, PO Box 25710  
Oklahoma City, OK 73125  
FedEx:  
CPSC Accounts Payable Branch  
AMZ-160  
6500 MacArthur Blvd.  
Oklahoma City, OK 73169  
E-Mail:  
[9-AMC-AMZ-CPSC-Accounts-Payable@faa.gov](mailto:9-AMC-AMZ-CPSC-Accounts-Payable@faa.gov)  
Debbie Young, Agency Payment Officer  
(405) 954-7467

#### NTIS

NTIS Financial Contact:  
Caren Scott, Manager  
NTIS Accounting, General Ledger Division  
5301 Shawnee Road, Room 204  
Alexandria, VA 22312

Business Office: 405-954-7467

Business Office: (703) 605-6646

Fax Number: N/A  
Email address: see above  
Agency Location Code: 61-00-0001  
TAS Number: 61160100  
DUNS Number: 069287522  
TIN Number: 520978750  
BPN Number:  
B528 – STUDY/REGULATORY  
  
BETC Number: DISB  
CPSC ACCOUNTING DATA:  
0100A16DSE 2016 5257700000  
GC00001300 251A0

Fax Number: (703) 605-6743  
Email address: [cscott@ntis.gov](mailto:cscott@ntis.gov)  
Agency Location Code: 13-07-0001  
TAS Number: 13X4295  
DUNS Number: 092024798  
  
BPN Numbers:  
51811 – Internet Service Providers  
7375 – Information Retrieval Services  
BETC Number: COLL

## 7.0 COST OF PROJECT AND DURATION

The Project Plan will become effective on the last date of signature by the parties and will terminate on September 30, 2016. In exchange for the services detailed in the Project Plan, CPSC agrees to provide funding to NTIS in the amount of \$11,800 per the terms outlined in the Project Plan. These funds are 1-year funds from Fiscal Year 2016. The parties agree that the established funding amount for this Project Plan will remain unchanged. No refund or credit will be made for any unused licenses.

**License fees (\$29.50 X 400) (estimated) for FY 16 \$11,800**

CPSC agrees to pay for additional licenses during FY2016 as needed, at the same price per license, without further amendment to this Agreement, up to a maximum of \$ 1,180 (10% of this purchase) subject to availability of funds as notified by CPSC. NTIS will not incur additional charges beyond this maximum amount, and CPSC does not agree to pay for costs above this maximum, except as provided by further written amendment to this Agreement.

	Price
<b>Project Plan Total Price</b>	<b>\$11,800</b>
<b>Partner(s) Services</b>	
Partner Labor Price	\$0
Partner License Price	\$8,200
Partner Other Direct Costs Price (other than travel)	\$0
Partner Travel Price	\$0
Partner Subtotal Price (Partner Revenue Share)	\$0
*NTIS Revenue Share	\$3,600
<b>Partner(s) Services Total Price</b>	<b>\$11,800</b>
<b>NTIS Services</b>	
NTIS Technical and Professional Services Price	\$0
NTIS Other Direct Costs Price (other than travel)	\$0
NTIS Travel Price	\$0
*NTIS Management Fee	\$0
<b>NTIS Services Total Price</b>	<b>\$0</b>

\* After being applied to any project-specific costs, any funds remaining from these pricing elements are placed in the NTIS Revolving Fund to cover general NTIS technical, business, and administrative costs that are not funded by specific agreements. NTIS receives no direct Federal appropriations to fund these general costs. NTIS Revenue Share is the amount of revenue retained by NTIS, in addition to its services price, based on the pre-negotiated percentage agreed upon in the joint venture partner agreement.

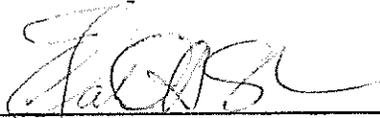
NTIS will work with CPSC to incorporate additional specialized tasks into the pool of existing services as is necessary and funding amounts will be adjusted and the Project Plan amended/modified to reflect these additional tasks as agreed upon.

The price is based on the assumptions and volumes stated in this Project Plan.

CPSC has a bona fide need for these services in FY2016.

8.0 SIGNATURES

This Project Plan is executed through the mutual agreement of both agencies and by the duly authorized parties whose signatures are affixed below.



\_\_\_\_\_  
Elizabeth Shaw, Associate Director  
National Technical Information Service

\_\_\_\_\_  
10/23/15  
Date



\_\_\_\_\_  
Linda Delaney  
Contracting Officer  
U.S. Consumer Product Safety Commission

\_\_\_\_\_  
10/27/15  
Date

**Attachment A (for Section 2.0) Statement of Work**

2.1 FDonline is an NTIS hosted service providing an automated solution for the completion and review of the OGE 278 and OGE 450 financial disclosure forms. The OGE 278 report must be filed on entry into federal service, annually, and on termination of federal service. The OGE 450 report must only be filed on entry into federal service and annually.

2.2 FDonline is developed and tested by HRWorX in their Sterling, VA facility. Once a build is tested, a final build is sent to the NTIS staging environment where a final test and security review is conducted prior to implementing the application into the production environment.

2.3 All issues and enhancement requests are tracked in the HRWorX issue tracking system and new builds are scheduled for release on a quarterly or as needed basis.

2.4 A standard web browser and Adobe Acrobat reader are the only requirements to access and administer the system, complete and submit a filing, and manage filers and filings in the FDonline system. Data is managed, maintained, and archived in the NTIS secure environment for a period of 6 years. CPSC can export data at any time and for any reason.

2.5 NTIS and the CPSC project manager have established a timeline and will execute tasks described in the timeline.

- Administrator training sessions
- Reviewer training sessions
- Filer training sessions

**2.6 HOSTING**

**2.6.1 Operations and Maintenance**

The NTIS PSD staff will provide routine maintenance and administration for the site. PSD staff members will be available during regular business hours to make updates to the site and resolve issues. CPSC and HRWorX personnel can use the staging environment to view proposed updates. NTIS personnel will move the updates to the FDonline application production environment from the staging environment when requested.

Web logs will be archived to CDs as required to recover server disk space. The archived logs will be available to CPSC in the event CPSC wishes to conduct site statistics analysis. All CPSC filer data maintained in the NTIS e-filing system remains the property of CPSC. It will be transferred to CPSC on its request and deleted from NTIS servers and backups, when requested.

The servers hosting the CPSC FDonline applications will be NTIS owned. NTIS will configure and maintain the servers and network systems to host CPSC. Remote and on-site access to the site will be provided to personnel authorized by CPSC in accordance with NTIS security procedures. Additionally, NTIS system and database administrators will provide support to the CPSC site as required.

### **2.6.2 Internet Connectivity**

NTIS will provide fractional T3 Internet connectivity FDonline site. NTIS maintains two T-3 connections to two separate Tier One Internet Service Providers (ISPs). The Internet traffic of NTIS-hosted sites is routed through both ISPs. In the event one ISP has a serious failure, NTIS can maintain Internet connectivity for all of its sites via the second ISP. As the FDonline site expands, NTIS will increase allocated bandwidth to accommodate the growth. Bandwidth utilization above the current allocation equivalent of one T-1, about 1.5 Megabits with higher bandwidth usage for short periods, may require special pricing beyond the scope of this Agreement.

### **2.6.3 Hardware Configuration and Maintenance**

The NTIS Production Support Division (PSD) will be responsible for monitoring the operation and performance of the systems and the network infrastructure. The application server will be Linux-based. The PSD staff will install and upgrade hardware, operating systems, software, service packs, patches and updates as necessary. PSD will also manage files and volumes on the servers, monitor, and track system resources such as memory, CPU utilization, and server load levels. If new hardware is added to the CPSC site during the year, the PSD staff will be responsible for installing, configuring, and securing the new equipment.

All servers will be electronically monitored 24 hours a day, 7 days a week. While NTIS normally maintains onsite support staff at its facility from 7am to 6pm ET on weekdays, off-hours emergency response is available 24 hours a day, 7 days a week.

### **2.6.4 FDonline site**

As a production hosting facility, NTIS protects both physical and network access to its servers with stringent controls. These controls ensure the stability and integrity of NTIS' network and provide the maximum availability and security for hosted sites in the production environment.

#### **2.6.5 Network and Server Security**

NTIS is proactive about network security and tightly monitors all activity on its network through human vigilance and automated tools. The PSD makes necessary modifications to the network based on security notifications from government and non-government security watchdog agencies on a routine basis. These updates include countermeasures against the latest product security holes, hacker attacks, and hacker tools and/or strategies for compromising Internet sites.

To ensure the physical security of the site, the servers will be maintained in NTIS' limited-access computer center. Authorized individuals must submit a valid personal ID number and pass a biometric hand scan to gain entry to the facility. To ensure the security and optimum performance of servers, NTIS routinely updates software and hardware based on the latest manufacture-issued patches.

To ensure a stringent security posture, NTIS retains the right to implement necessary security procedures and upgrades at any time.

The NTIS network is Certified & Accredited (C&A) NIST 800-53R3 certified and Federal Information Security Management Act (FISMA) compliant and will continue to meet or exceed these standards during the term of this Agreement.