CONTRACT NUMBER: TM-HQ-5077

UNITED STATES MINT
CONTRACT

Section A - Award

CONTRACT NUMBER:	TM-HQ-5077

ISSUED BY: Department of the Treasury
United States Mint
801 Ninth Street, N. W.
Washington, DC 20220-0001

CONTRACTOR NAME:
ADDRESS: Soza & Company, Ltd.
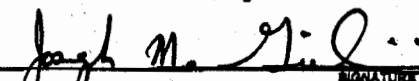8550 Arlington Boulevard
Fairfax, Virginia 22031
(703) 560-9477

PERIOD OF PERFORMANCE: Date of Award through September 30, 2003
CONTRACT TYPE: Labor Hour Contract
ESTIMATED TOTAL VALUE: $23,351,125.00 Not-To-Exceed
DESCRIPTION: Contractor will provide Information Technical Support Services to the Department of Treasury, U.S. Mint as prescribed herein.

The Contractor agrees to furnish and deliver all items and perform all services as set forth herein. The rights and obligations of the parties to this contract shall be subject to and governed by the contract and all attachments thereto. By executing this document, the Contractor agrees to all terms and conditions included herein and has read the Notice Regarding the General Waiver of Procurement Laws and Regulations (GP-1).

Offer	Acceptance
SIGNATURE ▓▓▓▓ 10/16/02	SIGNATURE
Typed Name: ▓▓▓▓	Typed Name: Joseph M. Giuliani
Title: Director, Contracts and Legal	Title: Contracting Officer
Date: October 16, 2002	Award Date: October 16, 2002
FOR: SOZA & COMPANY, LTD	FOR: THE UNITED STATES MINT

SECTION B
PRICES

B.1 REPORT COSTS

Included in the firm fixed-price hourly labor rates herein are all costs associated with the generation and submission of written and/or oral reports. These reports are not separately priced in this contract, nor shall they be invoiced separately.

B.2 PRICE PROTECTION (Clause #B-001, Nov 2001)

Contractor warrants and guarantees that the prices contained in this contract are the lowest available prices for the specific personnel, goods and/or services specified. If, during the six-month period before or after the issuance of this contract or purchase/delivery order, the Contractor sells or offers to sell comparable quantities of goods and/or services substantially similar to those purchased under this contract at lower prices or more favorable terms than those stated in this contract, the prices and/or terms of this contract shall be automatically revised to equal the lowest prices and most favorable terms. If the Mint becomes entitled to lower prices for any goods and/or services under this clause, the Contractor shall promptly notify the Mint and refund the difference. If the Contractor does not promptly refund the difference, the Mint shall have the right to deduct or withhold payment under this contract or any other contract with the Contractor in effect at the time

B.3 MAXIMUM VALUE OF CONTRACT (Clause #B-007, Nov 2001)

The maximum potential value (not-to-exceed) of the contract for the base year and the four option years shall not exceed $23,351,125.

B.4 LABOR HOUR CONTRACT

Pricing. This is a contract with firm fixed-price hourly labor rates. All firm fixed-price, hourly labor rates shall include all: direct labor costs; indirect and/or overhead costs; local travel and commuting costs; and, fees or profit. The Mint shall be invoiced monthly for only actual hours expended on Mint work. The Contractor shall never exceed any of the not-to-exceed dollar amounts established under this contract (in either Section B or Section J, Attachment B-1). *Further, the Contractor shall notify the Contracting Officer in writing when the costs the Contractor expects to incur under this contract, when added to all costs previously incurred, will exceed 75% of the estimated cost specified in the contract or any task order issued hereunder.*

Billable Hours. All work shall be performed in accordance with the Statement of Work. The Contractor shall only bill or invoice the Mint for employee hours actually spent performing contract work required by the Statement of Work. As such, the Mint shall not be billed for any holidays, sick leave, vacation leave, training, lunch periods or other breaks, or any other hours not spent specifically performing Mint required work. All Contractor invoices shall include the appropriate employee time sheets that must support the hours being billed for that month. Unless authorized in writing by the Contracting Officer, for on-site contractor personnel the contractor shall invoice for only those hours worked at the Mint premises. Additionally, no hours shall be billed to the Mint for labor categories or labor rates not included as part of the contract. The replacement of key Contractor personnel shall be made by formal contract modification signed by the Mint Contracting Officer. The Mint shall have the right to examine and audit the Contractor's records to verify costs claimed in accordance with Mint clause "Audit and Records".

B.5   <u>SCHEDULE OF CONTRACT LINE ITEMS (CLINS)</u>:

The Contractor shall perform all of the work described within Section C – "Statement of Work". Each CLIN includes a not-to-exceed (NTE) amount as described in B.4 above. The contract approved labor categories and hourly rates are included within Section J, Attachment B-1 (there are also **NTE** amounts in this attachment by labor category).

CLIN 0001 – BASE YEAR: LABOR-HOUR BASED WORK - NTE $4,438,210.00 (Funded)

CLIN 0001A – Base Year Non-Local Travel – Not-To-Exceed $5,000.00 (Funded)

Note: Period of Performance for the Base Year is the date of contract award through 9/30/2003.

<u>OPTION YEARS (Not Funded)</u>:

Note: Option years may be exercised at the sole discretion of the U.S. Mint, and, when exercised in writing by the Contracting Officer, option years shall be funded at that time.

CLIN 0002 – OPTION YEAR ONE – LABOR HOUR BASED WORK – NTE $4,548,916.62 (Not Funded)

CLIN 0002A – Option Year One Non-Local Travel – Not-To-Exceed $5,000.00 (Not Funded)

Note: Period of Performance is 10/01/2003 through 9/30/2004.

CLIN 0003 – OPTION YEAR TWO – LABOR HOUR BASED WORK – NTE $4,662,563.56 (Not Funded)

CLIN 0003A – Option Year Two Non-Local Travel – Not-To-Exceed $5,000.00 (Not Funded)

Note: Period of Performance is 10/01/2004 through 9/30/2005.

CLIN 0004 – OPTION YEAR THREE – LABOR HOUR BASED WORK – NTE $4,778,948.72 (Not Funded)

CLIN 0004A – Option Year Three Non-Local Travel – Not-To-Exceed $5,000.00 (Not Funded)

Note: Period of Performance is 10/01/2005 through 9/30/2006.

CLIN 0005 – OPTION YEAR FOUR – LABOR HOUR BASED WORK – NTE $4,897,486.48 (Not Funded)

CLIN 0005A – Option Year Four Non-Local Travel – Not-To-Exceed $5,000.00 (Not Funded)

Note: Period of Performance is 10/01/2006 through 9/30/2007.

SECTION C
STATEMENT OF WORK

See Section J, Attachment C- 1, entitled "Statement of Work." The statement of work and its attachments are included therein.

SECTION D
PACKAGING AND MARKING
(Section D Not Applicable – Intentionally Blank)

SECTION E
INSPECTION AND ACCEPTANCE

E.1 INSPECTION AND ACCEPTANCE - GENERAL (Clause #E-013, Dec 2001)

(a) The U.S. Mint shall have the right to inspect the work being performed under this contract at any time. Such inspections are for the sole benefit of the U.S. Mint and do not relieve the Contractor of any requirement under this contract.

(b) Any work found not to be in compliance with the contract shall be corrected by the Contractor at no additional cost to the U.S. Mint or an appropriate price reduction may be taken.

(c) Inspection of the work shall be made as soon as practicable after completion of the work and subsequent acceptance shall be final except for latent defects, fraud, gross mistakes amounting to fraud or the U.S. Mint's rights under warranty.

(d) Failure to agree with any decision by the Contracting Officer under this clause shall not excuse the Contractor from continuing work under this contract pending resolution of the issue. Failure to proceed in this manner will constitute a breach of the contract.

SECTION F
DELIVERIES OR PERFORMANCE

F.1 CONTRACT TERM (Clause #F-017, Jan 1996)

This contract shall remain in effect from date of award through September 30, 2003. This contract also includes four option years that may be exercised at the sole discretion of the U.S. Mint.

F.2 PLACE OF PERFORMANCE (Clause #F-019, Jan 1996)

Unless otherwise specified, all work shall be performed at U.S. Mint headquarters as required by the statement of work and directed by the COTR.

F.3 REQUIRED SUBMITTALS

The following submittals are required:

a. Security Forms (See Section H, clause H.3): Due no later than 7 calendar days after date of award for all key personnel.

[Note: Other submittals are required within Section G and by the statement of work and shall be delivered as specified therein.]

F.4 **WORKING HOURS AND HOLIDAYS** (Clause #F-029, Feb 2000)

(a) The normal working hours are between 7:00 a.m. and 5:30 p.m., Monday through Friday. Working hours outside normal hours must have the written advance approval of the COTR.

(b) Except as approved by the COTR in writing, in advance, work shall not be performed on Federal holidays: New Year's Day, Martin Luther King's Birthday, Presidents' Day, Memorial Day, Independence Day, Labor Day, Columbus Day, Veterans Day, Thanksgiving, and Christmas Day.

F.5 **FORMAT FOR SPECIFICATIONS AND STATEMENTS OF WORK** (Clause #F-089, July 1998)

Specifications and/or statements of work required to be developed under this contract shall be streamlined and simplified to the maximum extent possible. While the Contractor may use packaged software programs such as the AIA Masterspec, the specifications/statement of work shall be tailored to the Mint's specific requirements. Contract terms and conditions, such as security requirements and payment provisions, shall not be inserted into the specifications/statement of work.

F.6 **PHOTOGRAPHY AND WEB REQUIREMENTS/DELIVERABLES** (Clause #F-090, Oct 1999)

(a) General. Copies of all artwork, photography, posters, brochures, catalogs, radio spots, text, video, page layout and design, multimedia, and camera-ready output deliverables etc. (see required web deliverables in para. c. below) shall be provided to the Mint in either IBM PC-compatible electronic format or MAC-compatible format. Acceptable media are Iomega 100 MB Zip disks, SyQuest 1.5 GB disks, SparQ 1 GB disks, or Ja3 disks.

All files, objects and disks shall be clearly labeled and marked with descriptive names per the Mint's instructions (if not known, contact the Mint's Office of Electronic Information and Products (EIP) for instructions). Hardcopy of originals shall also be provided where applicable.

All deliverables shall be delivered in duplicate to: the Contracting Officer's Technical Representative (COTR), who is responsible for submitting a copy to EIP for the Mint's Electronic Library.

(b) Acceptable File Formats.

1. Graphics (general):
   - Encapsulated PostScript (*.eps; vector graphics), and
   - Tagged Image File Format (*.tiff; raster graphics).
   - Photos taken and/or scanned into a system for purposes of posters/blow-ups must meet the following:
     ➢ Target scan size shall meet the physical dimensions of the final blow-up print at a 1:1 scale at 200dpi.
     ➢ All scans shall be RGB color mode, any Grayscale and Bitmap modes shall also be converted.
     ➢ Scans shall be saved in a Tiff format.
     ➢ Deliver on a separate Syquest or Zip disk from the four-color separations since they will only be used for blow-up prints.

2. Graphics (developed specifically for Internet use (EPS and TIFF are also acceptable)):
   - For line drawings or logos: interlaced Graphics Interchange Format (*.gif; GIF-89a), or Portable Network Graphics (*.png) formats.
   - For photos or photorealistic images: Joint Photographic Experts Group (*.jpg, *.jpeg)

3. Video and Multimedia files:
   - *.avi, *.mov, or *.mpg formats, on CD-ROM or DVD.
   - Library copies in other formats (e.g., video cassettes) shall also be provided.

4. Sound files:
   - Shall be delivered on cassette or Digital Audio Tape (DAT).

5. Text files:
   - Shall be provided in MS-Word (preferred) or RTF (Rich Text Format) on diskette or via e-mail.

(c) Deliverables. *(Note: This section to be revised, as appropriate for each contract).*

1. Images of Coins or Medals:
   Contractor must provide, when requested, all images in the best resolution appropriate for the usage (EPS preferred), to include:

   - One each full, straight-on image of the coin's obverse and reverse on a white background.
   - An individual (not as set with other packaging options), full, straight-on image of each packaging option (e.g., a 2-coin set image, a 4-coin set image, a coin and stamp set, etc.)
   - Any additional photographs of the coins in composite/artistic arrangements of coins and settings must also be provided in electronic format.
   Note: Duplicate photographs should not be taken for obverse or reverse images which are identical except for size.

2. Copy:
   Text copy (together with additional images) tailored to web or multimedia use which may be developed by the Contractor to support the campaign shall be provided in electronic format to EIP through the COTR.

3. Other marketing materials:
   The final, approved, original text used in other collateral materials (brochures, posters, press kits, order cards, etc.) shall be provided in electronic format to EIP through the COTR.

4. Other supporting materials:
   Other supporting materials commissioned under this contract may be requested in electronic format, to include original artwork, non-coin images, etc. If requested, electronic deliverables other than those specified above will be negotiated by separate modification to this contract.

(d) Copyright and Licensing.

In accordance with the "Rights in Data" general provision of this contract, all work product created, generated or commissioned under this contract shall become the property of the US. Mint, without restriction to its subsequent use or reproduction in any form. The Contractor certifies and warrants that any work product created or produced under this contract will be an original work and not a reproduction of any copyrighted or trademarked work, except for those elements that consist of pre-existing works which shall be licensed by the contractor for use in the deliverable and on the Mint's web site unless determined otherwise by the COTR.

Contractor shall be responsible for any applicable licensing fees prior to submission of any deliverable or stock images, in any form, to the Mint, consulting as necessary with the COTR to determine the applicability, scope and length of the license. All licensing restrictions shall be clearly marked on all deliverables and each deliverable shall include a copy of the licensing agreement for any licensed works, as well as names, addresses and telephone numbers of each item's source (author/originator/ creator).

(e) Due Date.

Electronic deliverables will be provided to the Mint as soon as completed, but no later than the due date for print versions.

SECTION G
CONTRACT ADMINISTRATION DATA

G.1   INVOICING

The contractor shall invoice by the 15th day monthly for work performed under this contract during the prior calendar month. Payment will be made at prices stipulated in this contract less any deductions provided for. No partial payments are authorized.

G.2   PROGRESS MEETINGS AND REPORTS (Clause #G-038, Jan 1999)

(a) The Mint COTR will conduct monthly, and otherwise as needed, progress meetings with the Contractor to ensure that the work is progressing satisfactorily and according to schedule.

(b) Progress reports shall be prepared bi-weekly and submitted to the Mint COTR at the progress meeting.

G.3   CONTRACTING OFFICER'S TECHNICAL REPRESENTATIVE (COTR) (Clause #G-103, Mar 1999)

The Contracting Officer's Technical Representative (COTR) for this contract is: James E. Proctor, III.

(a) COTR Limitations: Performance of the work under this contract shall be subject to the technical direction of the COTR. Technical direction shall be issued in writing by the COTR with a copy to the Contracting Officer and must be within the specifications/scope of work as described in Section C. The COTR does not have the authority to, and may not issue any technical direction which: (1) constitutes an assignment of additional work outside the existing specifications/scope of work; (2) constitutes a change; (3) in any manner causes an increase or decrease in the total contract cost, the fixed fee (if any), or the time required for contract performance; (4) changes any of the expressed terms, conditions, or specifications of the contract; or (5) interferes with the Contractor's right to perform the terms and conditions of the contract.

(b) Technical Direction. The term "technical direction" is defined to include the following:

- Directions to the Contractor which direct the contract effort, shift work emphasis between work areas or tasks, require pursuit of certain lines of inquiry, fill in details or otherwise serve to accomplish the contractual Statement of Work;

- Provision of written information to the Contractor which assists in the interpretation of drawings, specifications, or technical portions of the work description; and,

- Review and, where required by the contract, approval of technical reports, drawings, specifications, products and technical information to be delivered by the Contractor to the Government under the contract.

G.4   NON-LOCAL TRAVEL

All NON-LOCAL travel shall be pre-approved by the COTR. Travel invoices shall be submitted separately with back-up documentation provided, to include a completed form, "U.S. Mint Contractor Travel Voucher" (**Attachment G-1**) for each traveler, receipts as indicated below, and the original Mint Travel Authorization (if applicable). The Voucher shall indicate the purpose of the trip and reference the associated contract deliverable. Except for meals and incidental expenses, all travel will be reimbursed at the actual expense rate. Indirect costs associated with travel expenses will not be reimbursed. Contractors shall obtain government rates whenever available and should obtain an agency letter of identification from the Contracting Officer to assist them in that regard. When government rates are not available, the contractor shall so indicate on their travel invoice.

Contractors are expected to incur expenses prudently. Excessive or lavish travel expenses will not be reimbursed. Below are some guidelines to prevent the incurrence of unacceptable travel expenses:

1. Coach class transportation tickets should be purchased. Receipts are required. The lowest discounted tickets available should be purchased that will allow accomplishment of the Mint's mission.
2. Local transportation is encouraged, where applicable, i.e., metro rail, hotel shuttle, etc.
3. Receipts are required for all lodging costs, regardless of amount. Actual hotel costs will be reimbursed up to the government maximum lodging amount for city as indicated in the Federal Travel Regulation. Standard hotel rooms should be purchased. Lodging cost will not be allowed for stays with friends and/or relatives.
4. Receipts are not required for meals. Meals and incidental expenses (M&IE) will be reimbursed at the government M&IE rate as indicated in the Federal Travel Regulation, limited to 3/4 rate for first and last day of travel.
5. Receipts are required for any miscellaneous expense over $75, i.e., taxi, phone calls, fax services, copier costs, rental of meeting room space, etc.
6. Non business-related activities will not be reimbursed, i.e., movies in hotel rooms, personal phone calls, sight seeing ventures, transportation to night time activities or events, etc.
7. Tips should not exceed 15% of the cost for taxis, etc.

Note: As government per diem rates are revised in the Federal Travel Regulation, the new rates will automatically be effective on the date of the revision. If additional expenses are needed, they must be justified, supported by receipts where applicable, and approved by the COTR. If you cannot obtain a hard copy or access a Website for the Federal Travel Regulation (FTR), contact the Contracting Officer for assistance.

G.5   CORRESPONDENCE PROCEDURES (Clause #G-109, Jan 1996)

a) Technical correspondence shall be sent to the COTR, with an information copy furnished to the Contracting Officer.

b) All other correspondence shall be sent to the Contracting Officer, with an information copy to the COTR. The Mint contract number, task or delivery order number and/or modification number shall be included on all correspondence, information, forms, reports, invoices, etc., relating to this contract.

G.6   CONTRACT CLOSEOUT (Clause #G-110, Feb 1997)

It is the Mint's intention to close out contracts as soon as possible after completion of all deliverables and expiration of any warranty period. Accordingly, upon completion of the contract, the contractor shall sign a release (Mint Form 7510/7511) discharging the Government, its officers, agents, and employees of and from all liabilities, obligations, and claims arising out of or under this contract. Failure to provide, or take

exception to, the release within 30 calendar days of final payment shall constitute contractor's release of and from all liabilities, obligations, and claims arising out of or under this contract.

G.7 SUBCONTRACTOR GOODS AND SERVICES (Clause #G-114, Jan 2000)

The Contractor shall identify all goods and services provided by subcontractors, vendors, suppliers or any other third parties (herein after referred to as subcontracts) that comprises a substantial amount of the goods and services provided under this contract. For the purposes of this clause, substantial amount shall be defined as a critical component where either nonperformance of the services or no delivery of the supplies and materials would compromise contract performance or delivery schedules. The Contractor shall notify the Contracting Officer in writing of any changes to the subcontracted goods and services identified by the Contractor during the performance of this contract.

The Contractor shall ensure the prices paid to subcontractors and charged to the Mint are fair and reasonable. For subcontracted goods and services in excess of $5,000, upon request from the Mint, the Contractor shall provide to the Mint documentation to support and substantiate the prices as fair and reasonable.

G.8 CONTRACTOR POINT(S)-OF-CONTACT

The personnel listed below have been designated by the Contractor as the point(s)-of-contact that the Mint may use during the period of the contract for prompt action on matters pertaining to administration of the contract. These individuals shall also be responsible for distributing Smoking and other site-specific policies to all contractor employees working at a Mint facility and shall serve as the point of contact regarding non-compliance with Mint policies.

Name:
Title: Director, Contracts and Legal
Address:
          Soza & Company, Ltd.
          8550 Arlington Boulevard
          Fairfax, Va. 22031
Telephone No.   - E-mail Address: @Soza.com
Fax No.

Backup Point of Contact for contract issues:

Name:
Title: Contract Administrator
Address:
          Soza & Company, Ltd.
          8550 Arlington Boulevard
          Fairfax, Va. 22031
Telephone No.
Fax No.
E-mail Address: @Soza.com

Technical Point of Contact:

Name:
Title: Vice President, Enterprise Engineering Group
Address:
          Soza & Company, Ltd.
          8550 Arlington Boulevard
          Fairfax, Va. 22031
Telephone No.
Fax No.
E-mail Address: @Soza.com

Backup Technical Point of Contact:

Name: ██████████
Title: Director, Integrated Information Services
Address:
      Soza & Company, Ltd.
      8550 Arlington Boulevard
      Fairfax, Va. 22031
Telephone No. ████████████
Alternate No. ████████████
Fax No. ████████████
E-mail Address: ████████@Soza.com

G.9   PAYMENT (Clause #G-108, Apr 2000)

a)   Payment Due Date. The due date for making payments shall be 30 calendar days after the later of: 1) Date designated paying office has received a proper invoice (see para. c. Invoice Content) or 2) Date Mint has accepted goods or services. If delivered goods or completed services are found defective, the provisions of this paragraph will be reapplied upon receipt of corrected goods or services. Payment shall be considered as being made on the date of an electronic funds transfer.

b)   Billing Instructions. The contractor shall submit an original invoice and one copy to the following paying office: U.S. Mint, 801 9th Street, N.W., Attn: Accounts Payable, 7th floor, Washington, DC 20220. Additionally, the contractor shall send one copy of the invoice directly to both the Contracting Officer and the COTR.

c)   Invoice Content. A proper invoice shall include the following: Name and address of the contractor; taxpayer identification number (TIN); invoice date; contract number or other authorization (including delivery/task order number and contract line item number); description, quantity, unit of measure, unit price, and extended price of supplies delivered or services performed; **employee timesheets**; name of payee, telephone number and address where payment is to be sent; name, telephone number and address of person to be notified in the event of a defective invoice; and any other documentation required by the contract. An invoice that does not include the minimum elements set forth herein or contains incorrect information is considered defective and will be returned to the Contractor.

d)   Payment Method. All payments will be made by electronic funds transfer. The ACH Vendor/Miscellaneous Payment Enrollment Form, SF 3881, included as an attachment, shall be completed and returned to the Contracting Officer prior to any payments being made by the Mint.

e)   Interest. Any and all amounts that become payable to either of the parties to this contract shall be subject to interest at the rate determined by the U.S. Treasury under the procedures of the Prompt Payment Act (31 U.S.C. 3901-6 et. seq.) or the Debt Collection Act (31 U.S.C. 3701 et. seq.). Interest penalties are not required on payment delays due to defective invoices.

SECTION H
SECURITY REQUIREMENTS

H.1   NON-DISCLOSURE AGREEMENT (Clause #H-047, Mar 1999)

The Contractor shall complete, and require their employees and subcontractors to complete, applicable Mint Non-Disclosure Agreements prior to obtaining access to any sensitive Mint information or systems, including the Mint Mailing List, contract documents, accounting records, personnel records, automated systems, plans/drawings, etc.

H.2   SECURITY OVER MINT ASSETS (Clause #H-048, Aug 2000)

(a) Adequate security accountability and internal control procedures shall be employed to protect U.S. Mint information and assets against loss or improper use. Mint assets shall be segregated and secured separately from other non-Mint materials and shall be clearly identified as Mint assets, unless otherwise authorized by the Mint in writing. These procedures and the Contractor's security systems and procedures shall be subject to the approval of the Mint Police and subject to review throughout the life of the contract to assure compliance. The Mint Police shall be entitled to inspect the Contractor's facilities during the life of the contract to determine adequate protection of Government assets.

(b) Officers, key personnel, and/or other Contractor personnel shall, as determined necessary by Mint Police to be in the best interest of the Government, be subject to the same background investigation as is required for U.S. Mint employees. In that event, Contractor officers and key personnel and/or other personnel must receive a favorable determination by the Mint Police of suitability based on a discretionary evaluation of trustworthiness relevant to the level of exposure to sensitive or restricted information.

(c) In the event the Mint Police determines that Mint background investigations are required of Contractor employees, the forms and conditions shall be communicated to the Contractor by the Contracting Officer.

H.3   SECURITY PROCEDURES FOR CONTRACTOR EMPLOYEES (Clause #H-044, Sept 2000)

Contractor employees, representatives and /or subcontractors may not gain access to U.S. Mint premises until each such person has successfully undergone a security investigation as set forth herein. For the purposes of security procedures and regulations, the same requirements apply to subcontractors as to the prime contractors except that all documents will flow from and to the prime contractors.

(a) General. Contractor employees and/or subcontractor personnel, while on Mint premises, shall be subject to and abide by all safety and security regulations of the Mint and shall be required to meet the same personnel security background requirements as Mint employees as defined in Mint Directive 10B-2, Personnel Security Clearance for Mint Employees. A copy of the Mint Directive is available from the Contracting Officer upon request. All Contractor employees must be U.S. citizens or have lawful permanent resident alien status. Proof of citizenship is required for those citizens born outside of the U.S., to include either a Permanent Resident Status Card, Certificate of Naturalization, or Certificate of Birth Abroad. Waivers to this requirement may be approved only on a case-by-case basis and only by the Treasury Director of Security.

(b) Pre-Work Clearance. Before any contractor employee may perform work in a Mint facility, the Mint Police must approve a pre-work clearance based on: (1) a favorable response from a person's current and former employers as investigated by the Contractor and certified by the Mint; and, (2) A clear security check to be conducted by the Mint Police.

(c) Investigative Requirements.

   1. Contractor personnel and/or subcontractor personnel performing tasks at the Mint which are NOT expected to exceed 60 days shall complete:

   • **"Request for Pre-Appointment Investigation Waiver", MF 5009**

   All information on the form must be complete, current and correct. If the security check discloses unfavorable information, the applicant must independently complete a "Questionnaire for Public Trust Positions" form, and be favorably adjudicated prior to assuming a contracted position at the Mint.

2. Contractor personnel and/or subcontractor personnel <u>expected to exceed 60 days</u> shall complete MF 5009 above as well as:

- **"Declaration for Federal Employment", OF 306** (The OF 306 is required for security reasons and completion thereof in no way implies an employee/employer relationship between the Government, and the contractor or the contractor's employees and/or subcontractors.)

- **Two original Fingerprint Cards, FD 258,** as required by Mint Protection staff in accordance with NACI investigation procedures. The Contracting Officer will provide a sufficient supply of cards.

- **Resume, Curriculum Vitae, or "Optional Application for Federal Employment", OF 612**

- **Notarized copy of U.S. Naturalization Forms** (Only current, naturalized U.S. citizens born outside the U.S. must provide this.)

- **Fair Credit Report form**

- **Reference Check form** (to be completed by employer)

In addition, if work to be performed is sensitive (e.g. with access to internal or confidential data or systems, such as computer programmers, ad agencies, consultants, etc.) personnel shall be subject to a post-work National Agency Check and Inquiry (NACI) investigation. Within thirty days prior to the date of scheduled admittance of a Contractor employee and/or subcontractor employee to the Mint for the purpose of performing under the contract, the Contractor shall provide the Contracting Officer the following for each employee:

- **"Questionnaire for Public Trust Positions", SF-85P**

3. A Contractor or subcontractor employee who has previously undergone the Mint Police NACI investigation within the preceding twelve months may perform under a contract at the Mint for up to one year without being subject to further investigative requirements provided no record is found as a result of a police check and the Contractor certifies a pre-work vouching of the incumbent's current and former employers. The Contracting Officer will notify the Contractor of those employees whose security clearances require no further action.

(d) *Protection of Security Records* - The information resulting from security investigations conducted on contractor/subcontractor employees will be adequately safeguarded to protect the interest of the Contractor, the individual employee and the U.S. Mint. This information will not be released to anyone without the approval of the Mint Police. Requests relative to approval shall be directed to the Contracting Officer.

(e) *Non-Disclosure of Information* - The Contractor shall ensure that contractor/subcontractor employees do not disclose any information obtained during performance of the contract without prior written request and Contracting Officer approval, as this information is considered proprietary to the Mint.

(f) *Mint-Issued Identification*

(1) During the course of performing the work required under the contract, security measures may include the issuance of a picture identification badge to a contractor employee for the purpose of gaining daily access to Mint premises. Badges shall be visible at all times.

Upon the date of termination of Mint services by a contractor employee possessing a Mint-issued identification badge, the Contractor shall ensure that the Mint badge is surrendered to the Mint COTR. The Mint will retain 10% of monies due under the contract for each individual contractor employee badge that is not surrendered to the Mint COTR.

(2) The Mint Police may, as deemed appropriate, authorize, deny and/or terminate temporary clearances to employees of the Contractor. However, the granting of a temporary clearance to any such employee shall not be considered as assurance that full clearance will follow as a result or condition thereof, and the granting of either temporary or full clearance shall in no way prevent, preclude, or bar the withdrawal or termination of any such clearance by the Mint.

(3) Furthermore, a security clearance granted by the Mint to a contractor employee is intended to be effective for the duration of the employee's performance at the Mint and is not necessarily transferable to other Government agencies or to private corporations.

SECTION I
CONTRACT CLAUSES AND GENERAL PROVISIONS

I.1   INSURANCE (Clause #I-051, Mar 1996)

The Contractor shall, at no additional cost to the Mint, provide and maintain insurance in the types and amounts as may be required by the District of Columbia or the State in which the work will be performed.

I.2   KEY PERSONNEL (Clause #I-057, Sept 1998)

The personnel listed below are considered to be essential to the work being performed on this contract. Continuity is also critical to successful completion of this contract. No diversion shall be made by the Contractor without the written consent of the CO. In the event substitution becomes necessary (due to employee's departure from the company or extended illness of more than 10 days), the Mint may require that replacement personnel be provided. The Contractor must demonstrate that the qualifications of prospective substitute personnel are at least equal to those of the personnel being replaced. The Mint reserves the right to disapprove the proposed substitutes and to renegotiate the contract price/rates downward. **The key personnel for this contract are listed within Section J, attachment I-1, entitled "Key Personnel."**

I.3   SMOKING AND OTHER MINT-SPECIFIC POLICIES (Clause #I-086, Feb 1998)

Contractor employees shall abide by the same rules of behavior as Mint employees while on Mint premises. This includes, but is not limited to, compliance with: smoking policies; general housekeeping requirements (keeping worksite areas clean); safety requirements (use of barricades, warning tape, etc. to warn employees of potential overhead dangers and use of welding screens to prevent employees from looking at welding arcs); and waste disposal requirements. Prior to any work being performed on-site, a post-award meeting or conference call as determined by the Contracting Officer, shall be held with the contractor to discuss these and other policies.

I.4   TERMINATION OF CONTRACTOR EMPLOYEES (Clause #I-091, Aug 1998)

The Mint reserves the right to reject and request the removal of a contractor employee at any time, and without advance notice, when it determines the contractor employee does not meet the requirements of the Mint or possess the necessary skills to perform the required tasks. This may include, but not be limited to instances where the contractor employee becomes ill, exhibits insubordinate or other types of inappropriate behavior, abandons the job or otherwise fails to work in a timely and professional manner as determined by the Mint. At the Mint's option, the Contractor may either be required to provide a timely replacement contractor employee acceptable to the Mint or a portion or all of the contract may be terminated. In no

event will the Mint incur any financial obligation as a result of such termination in excess of the contract price for services rendered up to the date of termination.

I.5   COMPENSATED OVERTIME (Clause #I-096, Aug 1998)

This contract may include either combined standard and overtime rates or separate rates. The Contractor shall ensure that the hourly labor rates included within this contract represent complete compensation rates as required by all applicable labor laws. All contract labor rates shall be in full compliance with 27 U.S.C. § 201 et. seq. (the Fair Labor Standards Act).

I.6   NON-COMPETITION AGREEMENTS (Clause #I-097, Dec 2000)

The Contractor shall not include in its subcontracts any clause or other language which would restrict such subcontractor from doing business directly or indirectly with the Mint, nor shall the Contractor assign personnel to work on this contract that are subject to non-compete agreements relating to work performed on this contract.

I.7   AUDIT AND RECORDS (Clause #I-106, June 1999)

The Contracting Officer or authorized representatives of the Contracting Officer shall have the right to examine and audit all of the Contractor's books, records, documents, and other data, including computations and projections related to proposing, negotiating, pricing or performing the contract or any modification, in order to evaluate the cost or pricing data submitted. In addition, the above persons shall have the right to examine and audit books, records documents and other evidence and accounting procedures and practices sufficient to reflect properly all costs claimed to have been incurred or anticipated to be incurred in performing this contract. The Contractor shall make available at its office at all reasonable times these records and other evidence for examination, audit or reproduction until 3 years after final payment under this contract. This right of audit shall also apply to any subcontracts at the discretion of the Contracting Officer.

I.8   DISPUTES (GP-3, May 1999)

Failure to agree on any issue under the contract shall constitute a Dispute to be resolved under this clause. If the parties cannot reach an agreement   after diligently pursuing a solution through negotiations, the Contractor shall submit a written claim to the Contracting Officer stating the relief sought and requesting a written decision. The Contracting Officer shall make a decision in writing within 90 days of the filing of the claim or notify the Contractor of the date by which the decision will be made. The decision of the Contracting Officer shall be binding unless the Contractor submits an appeal to the Mint CFO within thirty days of receipt of the Contracting Officer's decision. The decision of the CFO shall be final and binding on the parties. The Contractor shall proceed diligently with performance of this contract pending final resolution of any request for relief, claim, appeal or action arising under the contract, and comply with any decision of the Contracting Officer.

I.9   ENTIRE AGREEMENT (GP-4, Apr 1996)

This represents the entire agreement between the parties. Any previous understandings, proposals, representations, etc., whether oral or written, are superseded in their entirety by this contract.

I.10   GOVERNING LAW (GP-5, Nov 1996)

This Agreement shall be governed by and construed in accordance with applicable federal law.

I.11   INDEMNITY (GP-6, Sept 1997)

Contractor shall indemnify the U.S. Government, the U.S. Mint and its officers, employees and contractors from and against any and all liabilities, injuries, damages, settlements, royalties, penalties and fines and other losses of every kind incurred in connection with any claims, assertions, threatened or filed actions, suits, investigations or proceedings concerning or resulting from any alleged or actual violation(s) of: a) any breach or alleged breach of any warranty, representation or obligation in this contract or any delivery order; b) any alleged or actual infringement of any copyright, trademark, patent or any other established intellectual property right; c) any alleged or actual violation of any federal, or state law, rule, or regulation or order; and d) any alleged or actual death of or injury to any person, damage to any property or any other damage or loss claimed to be caused in whole or part from the contractor's negligence or any actual or alleged defect in the goods and/or services provided under this contract.

I.12   MINT APPROVAL (GP-7, Nov 1996)

For the purposes of this Agreement, any requirement for approval of the Mint shall be read to require written approval by the authorized Contracting Officer.

I.13   PERMITS (GP-8, Aug 1998)

The Contractor shall, without additional cost to the Mint, be responsible for obtaining any necessary licenses and permits, and for complying with any Federal, State, and municipal laws, codes and regulations applicable to the performance of work by the Contractor or any subcontractor under the contract including all applicable safety and health regulations.

I.14   PUBLICITY (GP-9, Mar 1996)

Publicity and news releases in connection with this contract shall not be made by the Contractor unless prior written approval has been obtained from the Contracting Officer.

I.15   REMEDIES NOT EXCLUSIVE (GP-10, Feb 1997)

The rights and remedies of the parties provided in the Agreement are cumulative and not exclusive and are in addition to any other rights and remedies provided by law.

I.16   RIGHTS IN DATA (GP-11, Jul 1999)

a) All materials, data, software and creative work ("Work Product") created, generated or commissioned directly under this contract shall become the property of the United States Mint. Contractor hereby assigns all rights, title and interest to the U.S. Mint in any and all Work Product produced or created under this contract and all drafts thereof, including all worldwide copyright ownership rights in such Work Product. Contractor certifies and warrants that any Work Product created or produced under this contract will be an original work and not a reproduction of any copyrighted or trademarked work.

b) Contractor agrees to insert this clause in any contract with any sub-Contractor performing work under this contract. If the sub-Contractor refuses to accept this clause, the Contractor shall promptly notify the Contracting Officer and shall not proceed with sub-contract award. Failure to comply with the requirements of this clause shall be a material breach of the contract.

c) Notwithstanding any provisions to the contrary contained in any standard commercial license or lease agreement pertaining to any copyrighted commercially available computer software delivered under this contract, the parties agree that the provisions of this contract shall control.

I.17   SEVERABILITY (GP-12, Nov 1996)

If any provision of this Agreement shall be determined to be invalid or unenforceable, the remaining provisions of this Agreement shall not be affected thereby, and every provision of this Agreement shall remain in full force and effect and enforceable to the fullest extent permitted by law.

I.18   STANDARD OF PERFORMANCE (GP-13, Nov 1996)

Contractor agrees to at all times act in good faith and in the best interests of the U.S. Mint and agrees to use its best efforts in performing its duties under this Contract.

I.19   SURVIVAL (GP-14, Nov 1996)

The covenants contained in this Agreement which, by their terms, require their performance after the Expiration or Termination of this Agreement shall be enforceable notwithstanding the Expiration or other Termination of this Agreement.

I.20   TIME IS OF THE ESSENCE (GP-16, Nov 1996)

Time is of the essence in Contractor's performance of its duties under this contract. A Contractor's failure to meet applicable deadlines, unless it has obtained a written extension of time from the Mint, shall constitute a material breach of this contract.

I.21   TRADEMARK USE (GP-17, Apr 1999)

The Contractor shall obtain the Mint's written permission prior to any use of the Mint's trademarks and/or logos in any contractor product, publication, sales or marketing materials. The Mint's trademarks include, but are not limited to, the name of the United States Mint, the Mint seal, and the Mint's 50 State Quarter trademarks and graphic logo. If permission is granted, Contractor agrees to submit all materials utilizing any Mint trademark to the Mint for prior written approval before publication or use. Contractor agrees to follow any applicable Mint style guidelines for such use. The Contractor recognizes the great value of the Mint's trademarks, service marks and other intellectual property, and acknowledges that such marks have secondary meaning and associated good will, that breach of any of the provisions of this paragraph risks irreparable harm to the Mint for which there may be no adequate remedy at law, and that in such event the Mint will be entitled to equitable relief in the form of an injunction and such other relief as may be available at law or in equity.

I.22   WAIVER (GP-18, Nov 1996)

Neither party's waiver of the other's breach of any term, covenant or condition contained in this Agreement shall be deemed to be a waiver of any subsequent breach of the same or any other term, covenant or condition in this Agreement.

I.23   PROPRIETARY INFORMATION (Clause #I-083, Dec 1997)

The parties agree the software, documentation and/or databases specified herein and any other information designated in writing as Proprietary Information by either party will be deemed to be Proprietary Information unless such information is or becomes publicly available through no act or failure of the other party; or was rightfully acquired by the other party from a source other than the disclosing party; or becomes independently available to the other party as a matter of right. Each party agrees to take reasonable steps to protect the Proprietary Information of the other party.

I.24   ADDITIONAL COMPENSATION (Clause #I-111, May 2000)

The Contractor's compensation of its staff is set by the Contractor, but the Contractor agrees to permit its staff to accept non-monetary Mint-related products, which may on occasion be awarded by the Mint in

recognition of quality work, as additional compensation. Items will be funded under the Mint's promotional expense authority. Such recognition is at the sole discretion of the Mint and, in no way, grants the Contractor or its staff the right to any other compensation or benefits that are only available to Mint employees. The Contractor agrees to require its staff to annually sign a waiver of claim to Federal Mint employee benefits, including but not limited to Federal workmen's compensation, health benefits and retirement benefits. The Mint reserves the right to reject contractor staff who do not sign the waiver and require replacement staff acceptable to the Mint.

I.25   NOTICE REGARDING GENERAL WAIVER OF PROCUREMENT LAWS AND REGULATIONS (GP-1, Jul 1999)

This procurement action is being undertaken by the authority of the United States Mint Reauthorization Act, Section 522 of Public Law 104-52, which provides, in part, that no provision of law governing procurement or public contracts applies to the procurement of goods or services necessary for carrying out Mint programs and operations.

I.26   TERMINATION - LABOR HOUR CONTRACT (Clause #I-049, Jul 2000)

The Mint may terminate the contract, in whole or in part, when 1) it is in the best interest of the Mint, 2) the contractor fails to perform, 3) the contractor fails to make timely delivery of any deliverable, 4) the contractor fails to meet inspection standards, or 5) the contractor fails to make adequate progress so as to endanger performance of the contract. If this contract is terminated, the Mint shall be liable only for the contract price for completed supplies/services delivered and accepted. If termination is due to Contractor failure, the Mint may assess damages including reasonable re-procurement costs against the Contractor.

I.27   CHANGES (GP-2, Oct 1998)

The Contracting Officer may at any time, by written order, make unilateral changes to the contract including orders to stop work. The Contractor may request an equitable adjustment if such change impacts on the cost or period of performance and if such request is made within 30 days from date of receipt of the written order.

I.28   WARRANTIES AND REPRESENTATIONS (GP-19, Aug 2000)

a) In addition to any standard commercial warranty provided by the Contractor, Contractor warrants that the goods and/or services comply with all requirements of this contract and are free from defects in workmanship for a period of three years after acceptance. Latent defects shall be corrected by the Contractor, notwithstanding the period of the warranty. Failure of the Contractor to correct latent defects shall entitle the Mint to correct the latent defect or replace the equipment or supplies and charge the Contractor accordingly.

b) Contractor warrants and represents that all information provided by the Contractor to the Mint is and will be true and correct. Contractor further warrants and represents the goods and/or services delivered do not infringe upon any copyright, trademark or patent right found in Federal or state law and that all goods and/or services delivered or provided under this contract were manufactured or provided in compliance with United States law and regulations and any applicable local law. Contractor acknowledges that in entering into this agreement, the Mint has specifically relied upon the warranties and representations contained herein. All warranties and representations of Contractor, both express and implied, shall constitute conditions of sale and shall survive inspection, testing, acceptance, payment and use.

c) For goods delivered under this contract, Contractor warrants clear title to all goods and, upon delivery, acceptance and payment by the Mint, title shall pass to the Mint free and clear of all liens, claims, debts and rights of any third party. Contractor warrants and represents the goods are new, genuine and are not falsely labeled. This paragraph c) does not apply to the delivery of products or parts of products made from Mint-furnished material for which the Mint retains title.

d) The Mint shall give the Contractor notice of any defects or breach of any warranty or representation. At the Mint's option the Mint may 1) have the Contractor correct any defects in the goods and/or services at no cost 2) correct or replace the defective goods or services with similar goods and/or services and charge the Contractor the cost of repair or replacement or 3) make an equitable adjustment to the contract price. Any goods or services corrected by the Contractor shall be subject to this clause to the same extent as goods/services initially provided or performed. In addition, the contractor will be liable for any and all other foreseeable consequential damages, including but not limited to, damages for injuries caused by defective goods or services.

I.29   MINT-FURNISHED PROPERTY (Clause #I-050, Dec 2000)

Definition: "Mint-Furnished Property (MFP)" as referred to below shall be defined as any Mint-Furnished Information, Mint-Furnished Material and/or Mint-Furnished Property provided to a contractor for the performance of a contract, or acquired by a contractor under a Mint cost-reimbursable or time and materials type contract.

The Mint <u>may</u> furnish the Contractor the following Mint-furnished property (MFP) for use under this contract:

> <u>Monitors, laptop personal computers, desktop personal computers, scanners, printers, routers, LAN switches, audio equipment, digital cameras (still), video cameras, light tables, PDA's, Kiosks, wireless phones and pagers.</u>

<u>Title.</u> The relationship between the Mint and the Contractor, with respect to MFP, is one of bailment and not consignment and, notwithstanding any other term of this contract, <u>title to MFP shall at all times remain with the Mint</u>. Where legally available and appropriate the contractor shall create or cooperate with the creation of a Uniform Commercial Code security interest in order to place the Mint in a most advantageous creditor position above the bailee's lenders. If the contractor itself provides the interest, the contractor shall provide evidence to the Mint that it has recorded the security interest in the respective state or other government titling agency. The Mint shall have access at all reasonable times to the premises in which Mint property is located for the purpose of inspecting the Mint property. The contractor acknowledges and agrees that the Mint may repossess its property without advance notice. Title to all property purchased by the Contractor for which the contractor is entitled to be reimbursed as a direct item of cost under this contract shall pass to and vest in the Mint upon the supplier's delivery of such property to the contractor and shall be considered MFP subject to the requirements of this clause.

<u>Records.</u> The contractor shall furnish written receipts to the Contracting Officer, including a report of any discrepancies or damages discovered, for all MFP immediately upon receipt of the property. The contractor shall maintain adequate property control records in accordance with sound industry practice and will make such records available for Mint inspection at all times. If the Mint finds any part of the contractor's property control system to be inadequate, the contractor must take corrective action as determined by the Mint. In addition, the Mint may require the contractor to act as an agent for the Mint and receive, accept, barcode, inventory and annually certify the MFP in accordance with Mint property control procedures. These procedures, including necessary tags and forms will be provided to the contractor upon contract award.

<u>Risk of Loss.</u> The contractor shall be responsible and accountable for all MFP. The contractor shall establish and maintain a program for the use, maintenance, repair, protection and preservation in accordance with sound industry practice. The contractor assumes the risk for loss or damage to the MFP upon its delivery to the contractor. The contractor shall investigate and report to the Mint all cases of loss or damage of MFP.

<u>Use and Disposition.</u> The Contractor shall use MFP only to perform this contract and for products produced hereunder and shall return the MFP to the Mint in the same condition as received, excluding normal wear and tear and excluding MFP consumed in the performance of the contract. Upon completion of the contract, the Contractor shall request instruction for disposition of MFP.

I.30   INTERRELATIONSHIPS OF CONTRACTORS (Clause #I-098, Aug 2001)

The Mint may enter into other related contracts separate from the work to be performed under this contract, yet having links and interfaces to this contract. The Contractor may be required to coordinate with other such contractor(s) through the cognizant CO and/or designated representative in providing suitable, non-conflicting technical and/or management interfaces and in avoidance of duplication of effort. Information on deliverables provided under related contracts may, at the discretion of the Mint, be provided to various contractor(s) for coordination purposes, provided appropriate Non-Disclosure Agreements are in place.

I.31   REQUIRED CENTRAL CONTRACTOR REGISTRATION (Clause #I-122, Feb., 2002)

The United States Department of the Treasury has adopted the Department of Defense's Central Contractor Registration database as its database for contractor information. Accordingly, the following requirements apply to this contract.

(a)   (1)   Offerors must be registered in the CCR database prior to contract award, during performance, and through final payment of any contract resulting from this solicitation, except for awards to foreign vendors for work to be performed outside the United States.

        (2)   The offeror shall provide its DUNS or, if applicable, its DUNS+4 number with its offer, which will be used by the Contracting Officer to verify that the offeror is registered in the CCR database.

        (3)   Failure to register in the CCR database will render an offeror ineligible for award of a Treasury contract.

(b)   The Vendor is responsible for the accuracy and completeness of the data within the CCR, and for any liability resulting from the Government's reliance on inaccurate or incomplete data. To remain registered in the CCR database after the initial registration, the Vendor is required to confirm on an annual basis that its information in the CCR database is accurate and complete.

(b)   Following the Vendor's initial registration in CCR and receipt of any US Mint award of a contract, purchase order, delivery order, task order, basic ordering agreement, or blanket purchase agreement, the Vendor must directly notify the Contracting Officer of any of its changed mandatory business data in CCR within three (3) business days of the change. (See the CCR Handbook at www.ccr.gov for the current mandatory registration data fields, or contact the CCR Assistance Center at 888-227-2423 or 616-961-4725.)

(c)   Vendors such as some consultants and sole proprietorships that are small firms that would otherwise have no use for a Dun & Bradstreet (D&B) number, may use an alternative D&B registration method. A Vendor in need of a D&B number principally for CCR registration should call D&B toll-free at 800/333-0505, and request a DUNS number for the purpose of CCR registration.

I.32   ACCESSIBILITY OF ELECTRONIC AND INFORMATION TECHNOLOGY WARRANTY (Clause #I-124, August 2002)

Each Electronic and Information Technology (EIT) product or service furnished under this contract shall conform to the Electronic and Information Technology Accessibility Standards (36 CFR 1194), as specified in the contract, as a minimum. If the Contracting Officer determines any furnished product or service is not in compliance with the contract relative to 36 CFR 1194, the Contracting Officer will promptly inform the Contractor in writing. The Contractor shall, without charge to the Mint, repair or replace the non-compliant products or services within the period of time to be specified by the Mint in writing. If such repair or replacement is not completed within the time specified, the Mint shall have the following recourses:

(a)   Termination of the contract, delivery or task order, purchase, or line item without termination liabilities;

(b)   Negative equitable adjustment; or,

(c)   In the case of custom Electronic and Information Technology (EIT) being developed for the Mint, the Mint shall have the right to have any necessary changes made or repairs performed by itself or by another firm and the contractor shall reimburse the Mint for any expenses incurred thereby.

I.33   TECHNOLOGY REFRESHMENT RELATIVE TO 36 CFR 1194 (Clause I-127, Aug. 2002)

For every EIT product or service accepted under this contract by the Mint that does not conform to 36 CFR 1194, the contractor shall, at the discretion of the Mint, make every effort to replace or upgrade it with a conforming equivalent product or service, if commercially available and cost neutral, on either the planned refresh cycle of the product or service, or on the contract option exercise date, whichever shall occur first.

SECTION J
LIST OF ATTACHMENTS

Note: **The attachments listed below are an integral part of this contract and are hereby incorporated into this contract by reference.**

Attachment B-1   Base Year and Option Year Labor Categories, Rates, and Not-To-Exceed Amounts
Attachment C-1   Statement of Work (SOW) and all SOW attachments (1, 2, 3A, 3B, 4A, 4B, 5, 6)
Attachment G-1   Contractor Travel Voucher Form (for non-local travel)
Attachment I-1   List of "Key Personnel" per Contract Clause I.2 entitled Key Personnel

Labor Category	Estimated Hours	Firm Fixed-Price Hourly Rate	Not-To-Exceed Totals for BaseYear
Program Manager			NTE
Sr. System Engineer - Task Leader			NTE
Oracle/SQL Sr Data Base Administrator			NTE
Principal Systems Engineer			NTE
Sr. Network Engineer			NTE
Sr. Network Engineer			NTE
Network Engineer			NTE
System Engineer			NTE
Sr/Programmer Analyst			NTE
Sr/Programmer Analyst			NTE
Sr Application Programmer			NTE
Sr Application Programmer			NTE
Sr Application Programmer			NTE
Proj. Manager - Task Leader- Appl.Development			NTE
Proj. Manager - Task Leader- QA			NTE
Principal QA Analyst			NTE
Senior QA Analyst			NTE
Senior Test Engineer			NTE
Test Engineer			NTE
System Architect			NTE
Web Designer/Digital Media Designer			NTE
Principal Information Architecture Specialist			NTE
Principal Information Systems Engineer			NTE
Senior Software Engineer			NTE
System Administrator			NTE
		$4,438,210.00	NTE

Labor Category	Estimated Hours	Firm Fixed-Price Hourly Rate	Not-To-Exceed Totals for BaseYear
Program Manager			ITE
Sr. System Engineer - Task Leader			ITE
Oracle/SQL Sr Data Base Administrator			ITE
Principal Systems Engineer			NTE
Sr. Network Engineer			NTE
Sr. Network Engineer			NTE
Network Engineer			NTE
System Engineer			NTE
Sr/Programmer Analyst			NTE
Sr/Programmer Analyst			NTE
Sr Application Programmer			NTE
Sr Application Programmer			NTE
Sr Application Programmer			NTE
Proj. Manager - Task Leader- Appl.Development			NTE
Proj. Manager - Task Leader- QA			NTE
Principal QA Analyst			NTE
Senior QA Analyst			NTE
Senior Test Engineer			NTE
Test Engineer			NTE
System Architect			NTE
Web Designer/Digital Media Designer			NTE
Principal Information Architecture Specialist			NTE
Principal Information Systems Engineer			NTE
Senior Software Engineer			NTE
System Administrator			NTE
		$4,548,916.62	NTE

Labor Category	Estimated Hours	Firm Fixed-Price Hourly Rate	Not-To-Exceed Totals for BaseYear
Program Manager			NTE
Sr. System Engineer - Task Leader			NTE
Oracle/SQL Sr Data Base Administrator			NTE
Principal Systems Engineer			NTE
Sr. Network Engineer			NTE
Sr. Network Engineer			NTE
Network Engineer			NTE
System Engineer			NTE
Sr/Programmer Analyst			NTE
Sr/Programmer Analyst			NTE
Sr Application Programmer			NTE
Sr Application Programmer			NTE
Sr Application Programmer			NTE
Proj. Manager - Task Leader- Appl.Development			NTE
Proj. Manager - Task Leader- QA			NTE
Principal QA Analyst			NTE
Senior QA Analyst			NTE
Senior Test Engineer			NTE
Test Engineer			NTE
System Architect			NTE
Web Designer/Digital Media Designer			NTE
Principal Information Architecture Specialist			NTE
Principal Information Systems Engineer			NTE
Senior Software Engineer			NTE
System Administrator			NTE
		$4,662,563.56	NTE

Labor Category	Estimated Hours	Firm Fixed-Price Hourly Rate	Not-To-Exceed Totals for BaseYear	
				NTE
Program Manager				NTE
Sr. System Engineer - Task Leader				NTE
Oracle/SQL Sr Data Base Administrator				NTE
Principal Systems Engineer				NTE
Sr. Network Engineer				NTE
Sr. Network Engineer				NTE
Network Engineer				NTE
System Engineer				NTE
Sr/Programmer Analyst				NTE
Sr/Programmer Analyst				NTE
Sr Application Programmer				NTE
Sr Application Programmer				NTE
Sr Application Programmer				NTE
Proj. Manager - Task Leader- Appl.Development				NTE
Proj. Manager - Task Leader- QA				NTE
Principal QA Analyst				NTE
Senior QA Analyst				NTE
Senior Test Engineer				NTE
Test Engineer				NTE
System Architect				NTE
Web Designer/Digital Media Designer				NTE
Principal Information Architecture Specialist				NTE
Principal Information Systems Engineer				NTE
Senior Software Engineer				NTE
System Administrator			$4,778,948.72	NTE

Labor Category	Estimated Hours	Firm Fixed-Price Hourly Rate	Not-To-Exceed Totals for BaseYear
Program Manager			NTE
Sr. System Engineer - Task Leader			NTE
Oracle/SQL Sr Data Base Administrator			NTE
Principal Systems Engineer			NTE
Sr. Network Engineer			NTE
Sr. Network Engineer			NTE
Network Engineer			NTE
System Engineer			NTE
Sr/Programmer Analyst			NTE
Sr/Programmer Analyst			NTE
Sr Application Programmer			NTE
Sr Application Programmer			NTE
Sr Application Programmer			NTE
Proj. Manager - Task Leader- Appl.Development			NTE
Proj. Manager - Task Leader- QA			NTE
Principal QA Analyst			NTE
Senior QA Analyst			NTE
Senior Test Engineer			NTE
Test Engineer			NTE
System Architect			NTE
Web Designer/Digital Media Designer			NTE
Principal Information Architecture Specialist			NTE
Principal Information Systems Engineer			NTE
Senior Software Engineer			NTE
System Administrator			$4,897,486.48 NTE

U.S. MINT CONTRACTOR TRAVEL VOUCHER

TRAVELER'S NAME_____CONTRACT#_____

DATE OF DEPARTURE_____DEPART FROM_____

DESTINATION_____DATE TRAVEL COMPLETED_____

LODGING COST PER NIGHT_____M&IE RATE*_____
*The M&IE Rate is limited to 3/4 of the amount for the first and last days of travel.

TRANSPORTATION COSTS (Mode: airfare, train, automobile, taxi, subway, limousine, etc.)

DATE	FROM	TO	MODE	COST
_____	_____	_____	_____	$_____
_____	_____	_____	_____	$_____
_____	_____	_____	_____	$_____
_____	_____	_____	_____	$_____
_____	_____	_____	_____	$_____
_____	_____	_____	_____	$_____
_____	_____	_____	_____	$_____
_____	_____	_____	_____	$_____
_____	_____	_____	_____	$_____
_____	_____	_____	_____	$_____

A. TOTAL TRANSPORTATION COST: $_____

MISCELLANEOUS COSTS (car rental, parking, business communications, ie., phone, fax, etc)

DATE	DESCRIPTION	COST
_____	_____	$_____
_____	_____	$_____
_____	_____	$_____
_____	_____	$_____
_____	_____	$_____

B. TOTAL MISCELLANEOUS COST: $_____

C. TOTAL LODGING COST $_____
D. TOTAL M&IE COST $_____

TOTAL COST OF TRAVEL (A,B,C&D) $_____

TRAVELER'S SIGNATURE_____DATE_____
(Receipts required for hotel, transportation (air & rail) & miscellaneous costs over $75. If additional space is needed, mark an "X" on this line___and write on the back of this sheet).

UNITED STATES MINT

Statement of Work (SOW)

Office of Application Development (OAD)

Table of Contents

OFFICE OF APPLICATION DEVELOPMENT
STATEMENT OF WORK

1.0 BACKGROUND

The United States Mint's (Mint) Office of Application Development (OAD) is part of the Office of the Chief Information Officer (OCIO). OAD has the requirement to support and enable the objectives of the U.S. Mint and its Strategic Business Units by maintaining, enhancing, and upgrading the information technology (IT) systems under its management. This statement of work addresses the external support services needed by OAD for its Mint's Web Operation team, and Systems Development and Maintenance team.

- The mission of the Web Operations team is to manage, oversee Web maintenance, and to provide technical support for the Mint's Internet, Intranet and Extranet.

- The mission of the Systems Development and Maintenance (SDM) Division is to:

  - Provide the core financial, distribution, and manufacturing system framework to support the Mint's business activities

  - Enhance, promote, and utilize the strength of the Consolidated Information System (COINS). COINS is composed of PeopleSoft Enterprise Resource Planning Manufacturing, Finance and Distribution modules, Project Software Development System's Maximo plant maintenance management software, e-Solutions Project Catalog System (eSP), an Automated Data Collection System (ADCS), and a custom designed database marketing analysis system (MARCUS), and its peripheral systems.

  - Provide timely and accurate responses to information requests to support the Mint's business needs.

OAD SDM and Web Operations have several permanent staff members but are in-need-of contractor services to fulfill certain requirements needed to accomplish its mission. Tasks performed include but are not limited to the following: requirements development, code development, graphics development, documentation, quality assurance testing, network management (as it specifically relates to the Web environment), project management, client interfacing, operations support, application development, and application maintenance.

All of the work shall be performed on Mint premises located in the Washington, D.C. metropolitan area, using Mint equipment. The workload is constant albeit not predictable in its substance or volume, and prioritization of requirements generally is adjusted in accordance with Mint determined needs. Therefore, the amount of additional support required may vary dependant on the volume and priority of the workload.

The Contractor shall perform a variety of support services, as described in the scope of work illustrated in Section 2.

2.0 SCOPE OF WORK

The Contractor shall provide the personnel necessary to perform the following requirements:

2.1 SYSTEMS REQUIRING SUPPORT:

The Contractor shall support the following systems (Note: This list is not intended to include all of the systems, nor is the list intended to include changes that may occur in the future.):

- IBM eSP Catalog DB2 V6 (EE) database

- IBM eSP Siebel Call Center DB2 V6 (EE) database

- IBM eSP Customer Value Assessment (CVA) DB2 V6 (EEE) WarehouseDatabase eSP System – legacy database

- USMINT Non-Commerce Microsoft SQL 7 Database

- US MINT Extranet Pallet Tracking System (PTS) (attachment 3A)

- Microsoft SQL Server v.7 Database

- US MINT Intranet SQL 2000 Database

- Mercury Interactive Topaz/Prism 3.5 Site Monitoring/Analyzing System

- Oracle8i database administration

- PeopleSoft ERP system, including Financial, Distribution and Manufacturing, running on Oracle8i

- Maximo application, running on Oracle8i Die Information System application, running on Oracle 8i

- Internet, Intranet and Extranet applications created in Macromedia's ColdFusion and JRUN and Microsoft's .NET.

- Documentum system uses SQL and is currently running on Oracle 8i

2.1.1 Systems Administration

The Contractor shall provide services to support electronic document management systems and maintenance.

The Systems Administration functions include:
- Maintenance of the Mint's Electronic Document Management System (EDMS)

- Provide support for all areas related to the operation of the Mint's EDMS (i.e., eContent servers, RightSite servers, DocBroker servers and AutoRender servers located at the Mint's Headquarters facility in Washington, DC and other sites as they become part of the enterprise implementation effort for Documentum).

- Provide EDMS end user, technical, and system administrative guidance and support

- Review and address server utilization reporting requirements for the EDMS servers

- Monitor and review existing EDMS scheduled and ad hoc maintenance job logs

- Install, configure, and establish scheduled Documentum eContent backup jobs

- Assist in planning, scheduling, implementing, and supporting the Mint's EDMS development server/pre-operations test environment

- Plan, schedule and implement upgrades and patches for all Documentum software currently used to support the Mint's EDMS and perform the same functions for future installations of new or beta Documentum software versions as required

- Maintain the current Mint's EDMS system configuration (federation)

- Document information including the communications processes and firewalls that affect the operation of the Mint's EDMS operation

- Provide Help Desk support on a second tier basis for the Mint's EDMS using the HEAT tracking system

- Respond to user questions regarding the Mint's EDMS (both client and server operations), installing Documentum client software, controlling user access to the Mint's EDMS and functionality

- Set up Mint file plans for Mint headquarters' offices

- Support the Mint's records management application

- Provide system support to the implementation team to facilitate implementation efforts.

- Facilitate meetings regarding operation of the Mint's EDMS

Maintain an on-demand hands-on demo to show and allow users access to the system to use on an as needed basis (demos need to include but is not limited to basic Documentum functionality, workflow, and integration with the Mint's email application – Outlook)

2.2 PROGRAM MANAGEMENT:

The Contractor's Program Management shall manage its support staff in the most effective and efficient manner to achieve the objectives of the OAD Web Operations and SDM Divisions, adjusting workloads and schedules as required to respond to fluctuating requirements.

2.3 PROJECT MANAGEMENT:

The Contractor shall provide project management services in support of its Program Manager and OAD Projects. These projects vary in length from short (e.g., a few days) to long-term (e.g., a year or more).

The Project Management function performs the following:

a. Manages project and change control through regular meetings with internal Mint clients/representatives

b. Monitors project costs (e.g., analyzes and tracks return on investments (ROI), notify the Division Chief if costs are running too high)

c. Coordinates integration processes with other groups and resources

d. Assesses, mitigates, and manages risks

e. Provides assistance to identify risks; establishes, maintains, and implements a risk management plan via Mint guidance

f. Monitors the risk management plan(s) to identify any new or possible risks

g. Develops, compiles, and presents business cases and best practices papers

h. Prepares functional requirements and design documents for non-technical users (attachments #1 & #2)

i. Provides project presentations for Mint management.

j. Provides project management related to design work

k. Prepares status reports on behalf of the Web Operation Division Chief (see Deliverables, Status Reports)

l. Supports the Pallet Tracking System and respond to new requirements (See attachments #3A-3B)

m. Work with Office of Information Security (OIS), Office of Chief Counsel (OCC), et al entities within the Mint (e.g., to monitor security and legality of Internet, Intranet, and Extranet systems)

n. Tracks project progress using the software Microsoft Project

2.4 DATABASE ADMINISTRATION:

The Contractor shall provide services to support database management systems development and maintenance.

The Database Administration functions include:

a. Establishes, standardizes, and implements shared cross- functional data elements

b. Constructs prototypes; develops and implements database designs

c. Administers database management systems in accordance with commercial best practices

d. Plans database capacity, processing capacity, storage capacity and back-up capacity

e. Monitors and maintains the security of the databases and database software

f. Maintains the database software licenses

g. Performs legacy system migration (including strategic data planning, data transition planning, database management and administration planning and execution)

h. When required, upgrades the database environments (including monitoring, recommending, implementing, and maintaining the upgrade)

i. Provides analysis of problems from DB2 UDB and EEE point of view

2.5 NETWORK ENGINEERING FUNCTION:

The Contractor shall provide services to support the development and maintenance of Mint networks as it relates to the web environment.

The Network Engineering function includes the following:

a. Ensures proper operation of network hardware and software

b. Provides quick identification of problems and recommend solutions

c. Provides daily monitoring of web network performance

d. Documents network configurations (see Attachments 4A-4B for more information)

e. Installs system upgrades

f. Prepares backup plans and procedures in case of network failure

g. Creates system user profiles

h. Maintains the security and confidentiality of system files and data in conjunction with the Office of Information Security (OIS), and following established procedures

i. Provides troubleshooting and maintenance services for all communication links connecting the Mint's Internet's non-commerce site and the commerce site (web catalog)

j. Troubleshoots and implements solutions for the non-commerce and commerce environments using Mint-provided analysis tools

k. Delivers inventory updates and maintains network documentation, to include maps and tables of equipment and configuration

l. Configures and maintains Exchange Servers and UnityMail Servers

m. Maintains, and at the direction of the COTR, configures externally connected computer accessories and data communications equipment to network-based systems

n. Analyzes and makes recommendations to optimize system operation and resource use, and provide system performance/capacity management analysis and planning

o. Modifies command language programs and network start-up files; assigns/reassigns network device logicals; analyzes network performance; recommend adjustments to a wide variety of complex network management functions

p. Manages the Dell Servers, Compaq Servers and Microsoft SQL Server (version 7)

q. Configures, maintains and monitors Intrusion Detection Equipment

2.6 WEB CONTENT MANAGEMENT/WEB DOCUMENTATION SPECIALTY:

The Contractor shall provide services to support content management, development/maintenance, and documentation for the Mint's Internet, Intranet, and Extranet.

Web Content Management/Web Documentation includes the following functions:

a. Delivers clear and concise Internet, Intranet, and/or Extranet content in response to internal client requests

b. Monitors content for compliance with Section 508 requirements and guidelines

c. Employs knowledge of Section 508 regulations to assist the United States Mint web services and information citizen-government, business-to-government, and government-to-government environments are accessible

d. Integrates web-based applications into core business functions.

e. Creates new profile definitions for special reports generation in order to uniquely identify products offered

f. Assists network operations technical staff with managing automated daily log file download activities by gathering, analyzing and making recommendations based on delivered information

g. Develops daily reports for monitoring the Topaz and Mercury web applications performance (Excel sheets, Word).

h. Prepares daily web applications performance reports for network management and administration staff based on defined report(s) structure and content criteria

i. In conjunction with the OAD technical writing team, coordinate content development of and publish OAD standard operating procedures for all aspects of the web network operations and web content groups

j. Designs, updates, and maintains production graphics for OAD and Mint-wide administrative procedures and documentation (e.g., network configuration diagrams, organizational charts, new business and staffing plans, and high-level presentations)

k. Prepares high-end (i.e., true color, photo quality art) graphics and documentation (e.g., diagrams, posters, organization charts)

l. Prepares user-specific (e.g., cross-platform and web accessible) file format conversations for electronic distribution of OAD published documentation, diagrams, procedures, and graphics

m. Prepares documents for the Internet, Intranet, Extranet (sample diagrams using Adobe Pdf Attachment #'s 4A-4B)

n. Convert shard copy images into and capture manuscript text into a variety of electronic formats (e.g. PDF files, Word documents).

o. Assists web site developers, program managers, quality assurance teams, and configuration management staff in documenting and developing document site architecture

p. Designs and develops presentation methodologies for web architecture and network equipment utilization analysis

q. Converts text-based newsletters to HTML format prior to sending them

r. Sends product notification, COINS online electronic newsletter, H.I.P. (attachment #7) e-mail notification to subscribed customers

s. Designs and maintains the newsletter HTML template

t. Follows the United States Mint's naming conventions for all graphics.

u. Moves files onto Mint's shared drives at least twice a week (All Graphic Working Files including but not limited to Flash layers, Photoshop layers, Vector file layers, and Animation effects)

2.7 APPLICATION DEVELOPMENT FUNCTION:

The Contractor shall provide services to support the development and maintenance of the Internet, Intranet, Extranet, ERP, COINS and related applications.

The Application Development function includes the following functions:

a. Provides programming services in UNIX, NT, LINUX, Windows 2000, and JAVA environments to produce web pages

b. Designs web-based applications that are defined by core business functions (e.g. Pallet Tracking System)

c. Prepares technical documentation, application evaluation, test reports and design specifications

d. Enhances software that increases efficiency, productivity, and access to vital information based on a set of defined requirements

e. In conjunction with OIS, provide a comprehensive set of Intranet security services to support implementation of IT security functionality and processes

f. Provides technical assistance by promptly responding to inquiries regarding system errors, and problems

g. Provides technical expertise in concert with the DBA, in order to design database and file structures according to internal client requirements

h. Provides on demand hands-on demos of software to support proof of software feasibility concept

i. Provides integration and migration services for "thin-client" systems (i.e. HTML, WML, browsers, interactive web-based user interfaces)

j. Implements cookie management consistent with federal government policies on the use of cookies

k. Codes and troubleshoots problems in a multi-platform environments utilizing WebTV, Macintosh, Netscape, and Internet Explorer (IE)

l. Performs quality assurance unit testing, and documents test criteria and results for web and systems applications

m. Implements Secure Socket Layer functionality in order to provide privacy and reliability between two communicating applications (i.e. machine handshake)

n. Understands and applies Section 508 compliancy coding

o. Provides technical analysis and consulting of IT related issues to internal Mint customers

2.8 QUALITY ASSURANCE FUNCTION:

The Contractor shall provide services to support documenting, monitoring, and testing the Internet, Intranet, Extranet, ERP, COINS, and related applications. The Quality Assurance (QA) functions identified below are intended to ensure peek operational performance of the Mint's software applications and systems; support the Mint's integration, verification, and validation functions. This list of functionality does not relieve the Contractor from performing QA management on its services.

The Quality Assurance Specialty function includes the following (note: there is an overall Quality Assurance Policy and Procedural guide, and a Web Quality Assurance Policy and Procedure that will serve as guides):

a. Examines requirements documents to determine test scripts

b. Creates and tracks test requirements

c. Creates test plans and procedures

d. Prepares test scripts, cases, scenarios, conditions and guide

e. Writes and implements quality assurance processes that include developing standards and metrics for measuring quality

f. Prepares and adheres to a written quality assurance policies and procedures, and standard operating procedures (see attachment #5 QA Policy)

g. Detects, tracks and evaluates defects

h. Installs and administers the testing software suite

i. Assists with acquisition and maintenance of quality assurance software licenses

j. Performs adequate testing to certify that the system behaves in accordance with the requirements documentation

k. Logs problems into PVCS Tracker

l. Monitors and tests to ensure Section 508 compliant

m. Witnesses and signs off on all test procedures, and reports test completion to the COTR

n. Performs Integration Testing for maintenance fixes, and builds

o. Performs Production Testing for maintenance fixes, and builds

p. Monitors server performance load, and stress testing

q. Creates quality assurance project plans and release schedules

r. In conjunction with the Network Engineers, maintains a quality assurance test environment to independently verify and validate test results

s. Modifies local firewall changes (with the approval of the Office of Information Security and in cooperation with Office of Information Technology) as it relates to testing

t. Documents outage reports for eSP related failures (see Deliverables, Loss of Service Reports)

u. Creates Best Practices Plan(s) for Quality Assurance

v. Interfaces with internal Mint customers from a variety of areas (i.e. Sales & Marketing, Manufacturing, etc…)

w. Analyzes COTS or other software applications

x. Cooperates in efforts to provide information for audits

y. Participates in on-site laboratory evaluations to maintain data integrity, validity, and usability via providing recommendations and/or performing tests.

z. In conjunction with configuration management, ensures analytical measurement systems are maintained in an acceptable state of stability and reproducibility

aa. Adheres to established Mint procedures (will be provided) for reviewing changes to data and deliverables and ensuring trace-ability and tracking of updates, requirements, and conditions

2.9 DIGITAL /DESIGN MEDIA SPECIALTY:

The Contractor shall provide services to support the development and design of the Internet, Intranet, Extranet, ERP, COINS and related applications.

The Digital/Design Media Specialty function includes the following:

a. Prepares layouts, displays, presentations, logos, brochures, posters, signs, banners, flyers, invitations and other various informational materials for both web and non-web related projects (i.e. the Die Information System (DIS))

b. Determines the needs, costs and graphic requirements for reproduction or layout techniques

c. Prepares and processes production requests for graphic and media services

d. Maintains proper documentation and tracking of media projects

e. Develops web designs using Photoshop©

f. Develops web products using Macromedia's Flash, Flash Action Scripting

g. Creates dynamic web based charts and graphs

h. Develops HTML Coding

i. Conducts Video editing and develops video design

j. Designs/Builds Virtual Tour applications

k. Develops PowerPoint presentations

l. Develops Web site homepage design

m. Implements graphics optimization techniques

n. Develops games for the HIP Pocket change website (attachment #7)

o. Develops graphics for booths and outside demonstrations

p. Develops PeopleSoft Budget Module and provides support for modification and maintenance

q. Develops Interfaces for HR systems implementation

2.10 SYSTEMS ANALYSIS FUNCTION:

The Contractor shall provide services to support application systems development and maintenance.

The Systems Analysis function includes the following:

a. Provides PeopleSoft Technical Support (version 7.53) (General Ledger, Accounts Payable, Purchasing, Order Management, Billing, Accounts Receivable, Asset Management, Budgets, Inventory, Production Management, Bills & Routing, Cost Management, Engineering, Production/Enterprise Planning Production/Enterprise planning product update and the Demand Planning module)

b. Provides Reports/Analysis for the various enterprise resource systems applications (i.e. Maximo, PeopleSoft, ADCS, etc...)

c. Provides Manufacturing and Finance technical expertise by writing queries and making code changes

d. Analyzes disbursement of Mint funds and tracks assets

e. Performs analysis and Asset Management code changes and fixes (critical support)

f. Performs analysis of new applications/systems (e.g. archiving tool, Projects module)

g. Maintains and provides support services for the ADCS Application (data collection via scanners/readers)

h. Provides ADCS development of application fixes

i. Provides Maximo technical support services (develop Maximo related reports, analyzer developer and technical support)

j. Performs Maximo application fixes

k. Provides primary WEBDB development and maintenance support (definition of WEBDB is attachment #6)

l. Provides technical support and development for MARCUS (custom application marketing and customer database)

m. Provides overall system development and maintenance of MARCUS system

n. Provides critical information relating to Customer Value Assessment (CVA) module regarding MARCUS

o. Provides technical support services for the Die Information System (custom application) (Reference document attachment #6)

3.0 DELIVERABLES

The Contractor and United States Mint Contracting Officer's Technical Representative (COTR) will specify the format for the following deliverables. The Contractor may propose alternative formats, which the COTR may consider and adopt if in the best interests of the Mint. The contractor shall provide (1) one electronic copy of each deliverable, using Microsoft related products, to the COTR.

TECHNICAL SPECS DOCUMENT AND ANALYSIS REPORT – The Contractor shall generate a Technical Specification document, upon receipt of the functional requirements document from the functional team member(s), in addition to an Analysis Report that describes the log file updates, problem areas, and problem resolutions. The Technical Specification document and the Analysis Report shall be provided to the COTR as requirements are identified.

SYSTEM/APPLICATION CHANGE CONTROL CONFIGURATION REPORT – The Contractor shall generate a System/Application Change Control Configuration Report that describes changes to system or application configurations including code change configurations, hardware and software systems. The System/Application Change Control Configuration Report shall be provided to the COTR for signature no later than (1) one business day after a System/Application change has been made. The report shall be submitted to the Configuration Management Specialist for system and application version control no later than (1) one business day after the COTR has signed the report.

BACKUP AND RESTORE REPORT – The Contractor shall generate a weekly Backup and Restore Report that describes the backup process, integrity database checks and availability of space published via WEBDB. The Backup and Restore Report shall be provided to the COTR the second business day after the weekly end of the reporting period.

DATABASE ACCESS RIGHTS REPORT – The Contractor shall generate a bi-weekly Database Access Rights Report for Web Operations that listing who has access rights to the Mint databases. The report is derived using Oracle Enterprise Manager and is web-based. It contains user names of those persons regarding security, general user account information and user roles. The Database Access Right Report shall be provided to the COTR the (2) second business day after the bi-weekly end of the reporting period.

DATABASE SOURCE NAMES REPORT – The Contractor shall generate a Database Source Names Report that describes the correctness of database connections from all web and systems applications using the Visio application software. The Database Sources Names Report shall be provided to the COTR by COB Monday of each week.

SPACE MANAGEMENT REPORT – The Contractor shall generate a Space Management Report that describes the capacity planning analysis that occurred, the availability of space, space utilization, and recommendations for de-fragmentation. The content is posted via

WEBDB. The Space Management activity is monitored on a daily basis. The Space Management Report shall be provided to the COTR by COB the first business workday of each week.

QUALITY ASSURANCE STATISTICS REPORT – The Contractor shall provide a Quality Assurance Statistics Report. The report shall provide the pass/fail events log for all quality assurance activities. The Quality Assurance Statistics Report shall be provided to the COTR by COB the first business workday of each week.

STATUS REPORTS – The Contractor shall generate a weekly status report that provides a summary of functional activities performed during the weekly period of performance. The report shall address activities, problem areas, problem resolution, and actions taken or proposed. The Status Report shall be provided to the COTR by COB Friday, weekly.

PROGRAM/PROJECT BUDGET TRACKING REPORT – The Contractor shall generate a weekly tracking report. The report shall address expenditures, baseline budget schedule, current budget schedule, monthly invoice, budget remaining, and balance. The Budget Tracking Report shall be provided to the COTR by COB the first business workday of each weekly.

LOSS OF SERVICE REPORTS – The Contractor will prepare a report outside of PVCS (but may use content extracted from PVCS and other Reports) to describe the conditions that lead to a loss of service and the solutions that were used to restore service. The report shall state whether the solution was short term or a permanent fix. The report shall document any need for procedural changes, preventative measures and long-term solutions. A report shall be generated any time there is a loss of service for more than 30 minutes. All reports shall be maintained in hardcopy and electronic form, and delivered to the Mint COTR within two (2) business days of the loss of service.

APPLICATION DEVELOPMENT DOCUMENTATION – The Contractor shall document the overall methodology used by its developers (e.g., how code is annotated). Any deviations from Standard Commercial Application development shall be documented within this report. Documentation for projects and tasks shall be entered into PVCS and follow reporting procedures listed in the contract. This report shall be submitted to the COTR Quarterly on or before the 15th of November, February, and May. The final report shall be submitted on the 15th of September.

4.0 Other notes

The Network Engineer (NE), Database Administrator (DBA), and Application Developer (AD) shall be on call. To ensure availability, the Contractor shall maintain on his/her person a paging and/or communication device. The Contractor shall provide to the Mint the number required to communicate with the Contractor during the on-call periods (24X7).

The Contractor shall provide Help Desk support on a second tier basis for the United States Mint's COINS, Intranet, Internet, and Extranet systems using the HEAT tracking system and in accordance with the United States Mint's Standard Operating Procedures (available in COINS Library) for the HEAT system. Second tier support shall include but not be limited to: answering user questions; installing client software; controlling user access to the Mint's COINS and its peripheral systems in accordance with United States Mint

policies and procedures; setting up Mint file plans for the headquarters' offices; answering client's questions about COINS, its peripheral systems functionality, and the Intranet; and facilitating the use of and efficient operation of the United States Mint's COINS and peripheral systems.

Attachment 1

Attachment #1

FUNCTIONAL

REQUIREMENTS

DOCUMENT

For

UNITED STATES MINT

ETHICS DATABASE AND WEBSITE

APRIL 25, 2002

Revision Sheet

Release No.	Date	Revision Description
Rev. 01	4/25/02	Functional Requirements Document

TABLE OF CONTENTS

1.0 PURPOSE

To add the current Ethics Database (MS Access) to the existing United States Mint's Ethics Intranet website as an SQL database. This effort includes creating additional reports.

1.1 Background

The purpose of the Ethics Database and Website is to provide easier access to, and more accurate collection of, employee ethics-related information for the Office of the Chief Council. It was created in the spring of 2001 to collect Ethics-related data such as basic employee information and information regarding: employee filing status, training, counseling, and outside activities.

1.2 Project References

The following additional documentation helps define the user requirements and can be found in Appendix A:

- Requirements meeting notes dated 12/19/01
- Requirements meeting notes dated 2/12/02
- Requirements meeting notes dated 4/16/02

In addition, the current Access database can be used as a reference.

1.3 Points of Contact

1.3.1 Information

Client	Greg Weinman	Attorney, Legal Division	202-354-7407	greg.weinman@usmint.treas.gov
Web Ops	Erin Weinman	Project Manager	202-772-7138	erin.weinman@usmint.treas.gov
Web Ops	Eric Carr	Developer	202-772-7149	ecarr@usmint.treas.gov
Web Ops	Lien Shang	Database Administrator	202-772-7124	lshang@usmint.treas.gov
Web Ops	David Leistner	QA Tester	202-772-7291	dleistner@usmint.treas.gov
	Michael Vanslette	Configuration Manager	202-772-7245	mvanslette@usmint.treas.gov

1.3.2 Coordination

External coordination is required between the Office of the Chief Council and Web Ops. Internal coordination is required between QA, CM, Dev, and PM.

2.0 Proposed Methods and Procedures

2.1 Summary of Improvements

2.1.1 Functional Improvements

   a) Web enabling. Access will be provided via the Ethics web page. An administrative link will be added. For those people with access, they will be able to see and click on the link to bring up the application.
   b) Data cleanup. Generate exception reports and in order to identify which duplicate records that need to be removed.
   c) Moving the data from an Access database to SQL database.

2.1.2 Improvements to Existing Capabilities

   a) Cleaning up some of the relationships between the tables.
   b) Making it easier to pull up records by the person's last name.
   c) Adding additional reports.
   d) Increasing the size of the fields (i.e., counseling) to allow for more data.

2.2 Summary of Impacts

2.2.1 User Organizational Impacts

No changes. Same numbers of personnel ~ ... ·wever, other organizations may have an interest in using the code :al Offices showed an interest.

2.2.2 User Operational Impacts

Introductory training will be provided to the Legal staff. No further training is expected. Maintenance on the system will be minimal.

2.2.3 User Developmental Impacts

The user will provide:
   a) A list of names for the administrative access
   b) A copy of the current database
   c) A list of needed reports

2.3 Assumptions and Constraints

None.

3.0 Functional Requirements

3.1 Performance Requirements

3.1.1 Accuracy and Validity

Prior to implementation, an exception report will be run to identify data entry errors. Errors will be corrected prior to migration into the production environment. These reports can be run periodically, upon request.

3.1.2 Capacity Limits

Application access will be limited to a few individuals.

3.2 Functional Areas

3.2.1 Input and Output

Reports can be generated at any time but are primarily run in May and October. The required reports are:

a) Public Filers (with all salient information)
b) Confidential Filers (with all salient information), sorted by organization
c) Yearly People Who ⋯   ⋯anization)
d) People who have NOT ⋯.   ⋯ by organization)
e) Yearly Training Report - by training type, by filing type (confidential filer or public filer) by organization, and by grade
f) Yearly Advice Report
g) Employees With Outside Activities
h) Separated Employees

3.3 Failure Contingencies

In the event that the system is unavailable, the Chief Council's office may submit a request for the web team to run a report with the needed data.

4.0 Functional Design/Layout

The database application will be accessed via the Administration menu item on the Ethics website.

4.1 Page Layouts

Main.aspx
- Navigation Page. Main entry point of site.

EditMain.aspx
- Allows users to select a person via a dropdown list and perform either an edit or delete a person.
- Allows user to add

EditItem.aspx
- Page for adding and editing information about a person. The following information can be entered on this page:
  - General information, like name, grade, etc.
  - Filing information by year
  - Any training the person has taken
  - Any Counseling the person has received
  - Any Outside activities the person has

DeleteItem.aspx
- Confirmation and deletion of a person

ReportMain.aspx
- Main report page. Lists reports the user can run

SeperatedEmployee.aspx
- Report on who in the system is a separated (no longer with the mint) employee

OutsideActivity.aspx
- Report on who has activities occurring outside the mint

Filer.aspx
- Report listing people's filing type. The current filing types are Public and Confidential.

NotFiled.aspx
- Report on who has not filed for the current year.

YearlyFiling.aspx

- Report on who filed for a selected year. User presented with a drop down list of years. Report generated from their selection

YearlyAdvice.aspx

- Report on who received advice (counseling) for a selected year. User presented with a drop down list of years. Report generated from their selection

YearlyTraining.aspx

- Report on who received training for a selected year. User presented with a drop down list of years. Report generated from their selection

PrintItem.aspx

- Displays all of the information about a selected person. The user is presented a drop down list of people. The report is based on their selection.

PrintItemByID.aspx

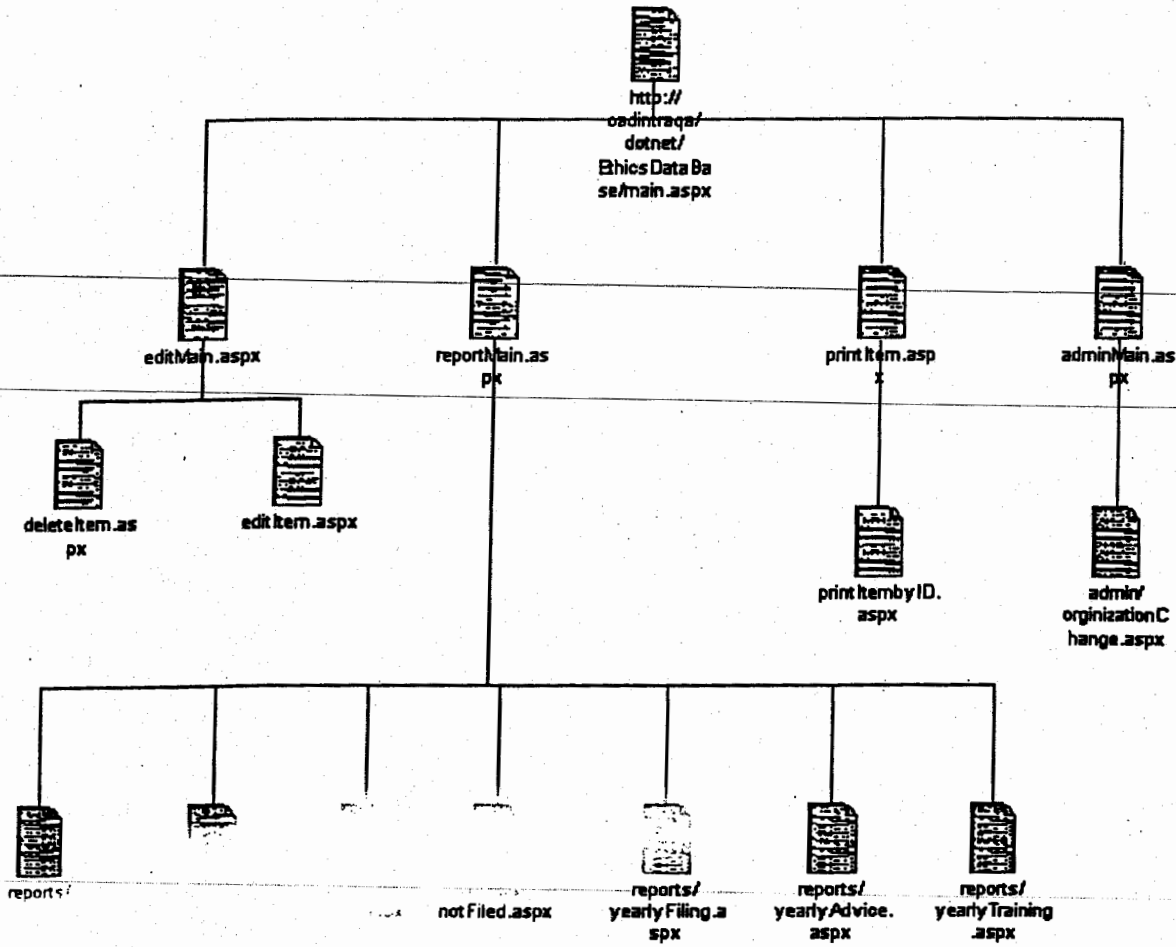- Displays the PrintItem.aspx report without any navigation buttons.
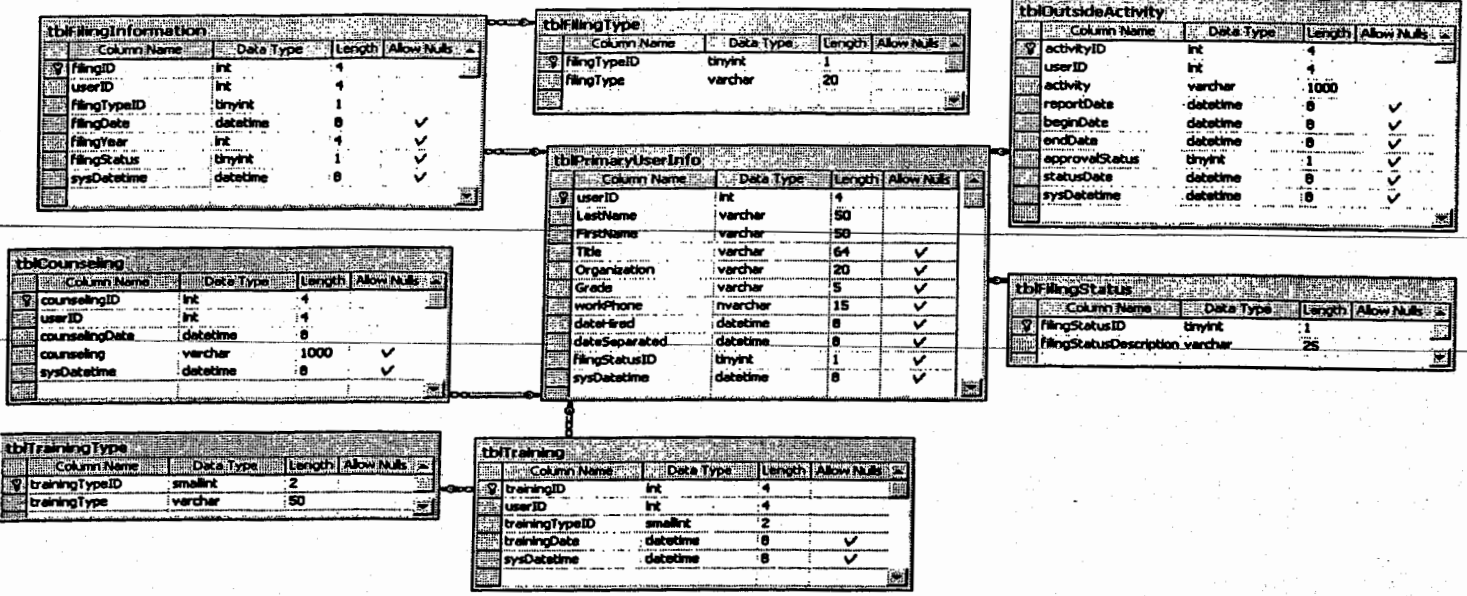
OrganizationChange.aspx

~~ to glob~~ change ~~~~ for people in the database. ~~~~ganizations, and a text ~~~~ types in the new name for that organization.

4.2 Site Map

Functional Requirements Document

4.3 Database Schema

tblFilingInformation

Column Name	Data Type	Length	Allow Nulls
filingID	int	4	
userID	int	4	
filingTypeID	tinyint	1	
filingDate	datetime	8	✓
filingYear	int	4	✓
filingStatus	tinyint	1	✓
sysDatetime	datetime	8	✓

tblFilingType

Column Name	Data Type	Length	Allow Nulls
filingTypeID	tinyint	1	
filingType	varchar	20	

tblOutsideActivity

Column Name	Data Type	Length	Allow Nulls
activityID	int	4	
userID	int	4	
activity	varchar	1000	
reportDate	datetime	8	✓
beginDate	datetime	8	✓
endDate	datetime	8	✓
approvalStatus	tinyint	1	✓
statusDate	datetime	8	✓
sysDatetime	datetime	8	✓

tblPrimaryUserInfo

Column Name	Data Type	Length	Allow Nulls
userID	int	4	
LastName	varchar	50	
FirstName	varchar	50	
Title	varchar	64	✓
Organization	varchar	20	✓
Grade	varchar	5	✓
workPhone	nvarchar	15	✓
dateHired	datetime	8	✓
dateSeparated	datetime	8	✓
filingStatusID	tinyint	1	✓
sysDatetime	datetime	8	✓

tblCounseling

Column Name	Data Type	Length	Allow Nulls
counselingID	int	4	
userID	int	4	
counselingDate	datetime	8	
counseling	varchar	1000	✓
sysDatetime	datetime	8	✓

tblFilingStatus

Column Name	Data Type	Length	Allow Nulls
filingStatusID	tinyint	1	
filingStatusDescription	varchar	25	

tblTrainingType

Column Name	Data Type	Length	Allow Nulls
trainingTypeID	smallint	2	
trainingType	varchar	50	

tblTraining

Column Name	Data Type	Length	Allow Nulls
trainingID	int	4	
userID	int	4	
trainingTypeID	smallint	2	
trainingDate	datetime	8	✓
sysDatetime	datetime	8	✓

A. References

Summary:	12/19/2001 2:30 PM 9th floor 799conf. room

Meeting called by:	Erin Weinman	**Type of meeting:** Requirements.
Summarizer:	Erin Weinman	

Meeting Objective: Discuss the requirements for the next phase of the Ethics website.

Attendees: Erin Weinman

Summary

- Fix broken links. SCR is 279. Work is complete.
- Put a link to the Ethics website on the left nav bar of the home page.
- "Ask an Ethics question" – need to know whom the e-mail is coming from. Remove wording "Ethics questions are submitted anonymously so your identity is protected. Answers will appear on our FAQ page."
- Remove words "Ethics Events" and put in "Hot Topics."
- Need to web enable the existing Ethics Access database. Note: OCC may have a system that we can use.

Key Dates

12/19/01	Fix broken links.
1/11/02	Finish the following work: Add link. Fix Ethics question box. Change wording.
Late Feb/Early Mar.	Start DB development if OCC does not have an application we can use.

Next Steps

-
-

Next Meeting

Date: TBD   **Time:**

Purpose: **Place:**

Additional Information

Special notes:
- Need a better editing tool for adding content. When adding content now, the words all run together.
- Idea: Work with HR and legal to automate the check-out process when an employee leaves the Mint.

<table>
<tr><td>

Summary:

</td><td>

2/12/2002
4:00 PM
799 9th Floor conf.

</td></tr>
</table>

Meeting called by: Lien Shang   **Type of meeting: Requirements**

Summarizer: Erin Weinman

Meeting Objective: Clarify database requirements

Attendees: Erin Weinman, Eric Carr, Greg Weinman, Lien Shang

Summary

(1) Keep new reportingDate, beginningDate, endingDate, approvalStatus, statusDate columns in tblOutsideActivity table.

(2) Training Year column is not needed in tblTraining table.

(3) Public and Confidential filers are required to have trainings each year.

(4) Public filer is required to attend Live Training every year. Confidential Filer is required to attend Live Training once ever 3 years, and Written Training for the other 2 years. New employee is required to attend 'New Employee Orientation' training.

(5) Tracking a filer's then Title/Organization/Grade information per Filing is not needed.

(6) 5 comibination of filingType and filingStatus :
    a. Public Filer
    b. Confidential Filer
    c. Employee with no filing needed.
    d. Ex-Employee
    e. Employee who filed before but no longer a filer

(7) No need to create additional column to store 'Local Facility'. SBU, Organization and Local Facility information will be stored in the same column as it is today.

(8) Canned reports will be prepared - 4 reports already defined by Erin are as below:
Report of who has filed in any given year by SBU/Organization/LocalFacility by grade.
Report of who has not filed in any given year by SBU/Organization/LocalFacility, by grade.
Report of who has attended training in any given year by SBU/Organization/LocalFacility, by grade.
Report of who has not attended training in any given year by SBU/Organization/LocalFacility, by grade

Greg will provide additional reports requirement/Criteria.

Key Dates

Next Steps

- Continue development.
-

Next Meeting

Date: TBD   Time:

Purpos.   Place:

Additional Info .

Notes: •

Summary:	4/16/2002
	11:30 AM
	799 9th Floor QAlab

Meeting called by: Erin Weinman   Type of meeting: Client Walk-through

Summarizer: Erin Weinman

Meeting Objective: Walk through the Ethics site

Attendees: Erin Weinman, Greg Weinman, Eric Carr, Lien Shang, Mary Lhotsky, David Leistner,

Summary

- Need a list from Greg of the people who need access to the system (Greg provided on 4/16)
- David Leistner needs a link to the system to start previewing the site for 508 issues (provided 4/17)
- A field needs to be added to the Employee record. It should be called "Current Filing Status" and have a drop down box with: public, confidential, former employee, and neither.
- When a date separated is entered, the "current filing status" should automatically change to "former employee" and the phone number should be changed to null.
- Make a global change to the database: Numismatics should be Sales and Marketing. Circulating should be Manufacturing.
- Lien needs to provide Greg with an exception report
- These are the needed reports:
  1. All current public filers (with all salient information)
  2. All current confidential filers (with all salient information), sorted by organization
  3. All who have filed for a certain year and those current filers who have not filed for a certain year (sorted by organization)
  4. All those who have had training in a certain year, by training type, by filing type (confidential filer or public filer) by organization, and by grade.
  5. Labels (see example) (Greg provided sample at the meeting)
  6. Summary of advice and who has received advice in a specific year
  7. Summary of all outside activities

Key Dates

April 16 - April 23, 2002 – Make changes

April 23 - May 3, 2002 - QA and fix bugs

May 6 – Meet with Client to go over application

Week of May 6 – Attend Legal staff meeting and provide training demo. If issues, fix them. If not, Go live.

Next Steps

- Development work and QA
-

Next Meeting

Date: May 6, 2002   **Time:**   TBD

Purpose: Follow-up with the client   **Place:**   TBD

Additional Information

Notes: •

B. Terms and Abbreviations

Acronym	Description
PM	Project/Program Manager
Dev	Developer
QA	Quality Assurance
CM	Configuration Management
Web Ops	Web Operations

Attachment 2

Functional Requirements Document Attachment #2
Scheduled Shipments Report

5/15/2002 4:51 PM

Overview

The Manufacturing SBU would like to streamline the process of generating and distributing the Shipping Schedule to FRBs. They expect the new process to increase the efficiency of producing these reports by significantly reducing the level of effort by Mint staff and to provide additional value to the FRB.

This project will add additional functionality to the existing Pallet Tracking extranet. The additional functionality will include:

- For Manufacturing, the ability to specify an Approval date, before which all shipments scheduled are accessible.
- The Federal Reserve is able to retrieve shipment information anytime.
- The Federal Reserve will also be able to filter the report through several variables and export the report to Excel.
- For the Manufacturing group, the ability to enter inter-bank transfers is included.
- For the Administrators, additional functionality will allow them to enable access to the new functionality, by users.
- The Manufacturing group is able to distribute updates to the schedule real-time.
- New security features will provide further security on the data.

Business Case / ROI

Man-hours savings in Philadelphia is the greatest since they are operating under the worst conditions. By moving the database for PTS and the Coin Shipping System off of FoxPro and making it Web based, the staff in Philadelphia will save about 20+ Man-hours per week. This will allow them to stay current with returned pallets, which is the slowest transaction they do. It also allows them to fully use the automated GBL printing function of the Coin Shipping System. Using the Coin Shipping System, they can produce one standard document to be used throughout the facility. This eliminates time spent producing redundant reports and schedules and the elimination of duplicate systems.

For Denver, the greatest gain is the improved performance of a new database. Denver currently experiences minor performance problems with the FoxPro database. The biggest problem occurs when changes are made to the existing shipment schedule. Those changes do not always come across from Peoplesoft and the users then have to manually input the changes in the Coin Shipping System.

For the Federal Reserve, the greatest benefit is the increased accuracy and the real time availability of the reports and data. The ability to download their information is extremely helpful to them when they are tracking changes and verifying pallet returns. The ability to download the PTS report for their armored carriers make auditing pallet holdings at those sites much easier for the banks, especially for those Banks which have numerous sites spread over large areas. They can send each site an electronic copy of the latest information. The carriers can review and make changes/comments and return them to the Bank without having any effect on the master

database and the Banks and carriers can maintain file copies for future use. Plus with the three-tier access system, the CPO and Districts have the capability of reviewing performance/pallet holdings of the Offices under their control.

Adding the Extranet Coin Shipment Schedule will give the Banks real time access to their shipment schedule. Changes are reflected daily as they are made by Mint staff. The Banks are able to download this information and share it electronically. The CPO and the Districts will also be able to review the schedules of the Offices under their control.

Data Flow

A flat file is generated from Peoplesoft with Shipment Schedule report data. The data is pulled into the SQL Server database. Manufacturing personnel through an application interface to include inter-bank transfers modify the schedule. The report data is accessed through the web, via the java report application by the FRB representatives

Import from Peoplesoft

Data is imported from Peoplesoft into SQL Server. The SQL Server database is queried to produce ad-hoc reports with user access (as specified in the Admin tool) and user specified time frames as a filter.

The following information is imported from Peoplesoft Manufacturing and Distribution twice a day, at 6 am and at 3pm EST. The following data is retrieved for all records with a shipment date equal to or later than the current date.
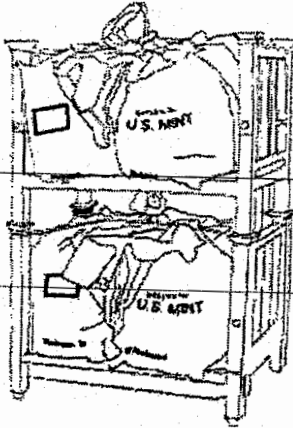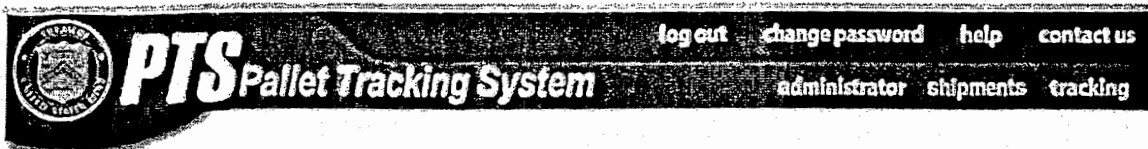
- Shipment Date
- Ship to ID (institution ID)
- Denomination
- Amount (total dollar amount of the shipment in thousands)
- Ship from ID (institution ID)
- Day No (1-Sun; 2-Mon; 3-Tues; 4-Wed; 5-Thur; 6-Fri; 7-Sat)
- Note

Data pulled into the SQL database from the PeopleSoft generated flat file will only replace previously pulled PeopleSoft generated data. All records entered for inter-bank transfers will remain untouched.

Screen Functionality
Screen images may change due to legal and programmatic issues.

The Welcome Screen

The welcome page has changed to accommodate the added functionality of the shipments report. The welcome page is displayed when a user has entered an acceptable ID and password. From this page, the user may access any application they have access to.

Top Red Menu Bar – remains unchanged, and has same functionality for each screen.

- **Log out** – logs the user out and displays the main login page
- **Change password** – displays change password screen
- **Help** – displays help screen
- **Contact us** – displays contact us screen

Top Blue Menu Bar - has same functionality for each screen.

- **Administrator** – this option is viewable if the person has access privileges of an extranet administrator. Clicking on this takes you to the Administration Screen.
- **Shipments** – this option is viewable if the person has access privileges to view the scheduled shipments report. Clicking on this takes you to the Scheduled Shipments Report Selection screen.
- **Tracking** - this option is viewable if the person has access privileges to view the tracking report. Clicking on this takes you to the Pallet Tracking Report screen.

The horizontal menu in the middle of the screen lists

- **Pallet Tracking System** - this option is viewable if the person has access privileges to view the tracking report. Clicking on this takes you to the Pallet Tracking Report screen.
- **Scheduled Shipments Report** – this option is viewable if the person has access privileges to view the shipments report. Clicking on this takes you to the Scheduled Shipments Report Selection screen.

  - o **Inter-bank Transfers** – this option is viewable if the person has access privileges to add transfer shipments (transfers is checked on the Administration screen). Clicking on this takes you to the Coin Transfer screen.

o **Approval Date** – this option is viewable if the person has access privileges to view the shipments report and to change the approved date (transfers is checked on the Administration screen). Clicking on this takes you to the Approval Date screen.

- **Manage Users** - this option is viewable if the person has access privileges of an extranet administrator. Clicking on this takes you to the Administration Screen.

Scheduled Shipments Report

The User is given the option to view shipments within a specific period filtered on destination, coin denomination, and manufacturing facility.

Scheduled Shipments Report Selection Screen

log out   **change password**   **help**   **contact us**

PTS *Pallet Tracking System*   **administrator   shipments   tracking**

Terms of Use   Privacy/Password Policy   Accessibility Statement

Inter-bank Transfers
Approval Date

Scheduled Shipping Report

View shipment scheduled from [from date] **to** [to date]
Ship to   [bank or branch]
Denominations   [denominations]
Manufacturing facility   [manufacturing facilities]

Reset Defaults   **View Report**   **Exit**

The United States Mint is a bureau of the United States Department of the Treasury

- **View shipment scheduled from\to.** The default date range is from the current date to the day one month out. The user is able to change the dates.
- **Ship to.** The banks or branches where the shipments are going. The list the user sees is tailored by their access privileges. All locations indicate all locations the user has privileges to view. The default will be to All Locations.
- **Denominations.** The user has the option to choose any combination of Pennies, Nickels, Dimes, Quarters, Half Dollar, Dollar or All denominations. Default to All.
- **Manufacturing facility.** The user has the option to select among Denver, Philly or All. They can select one or more of the facilities. Default to All facilities.

The form buttons will operate in the following manner:

- **Reset Defaults** – fills the fields with the original default values.
- **View Report** – displays the report in the browser window.
- **Exit** – return to the welcome screen

Coin Shipments Report

The report will contain only data on the banks and branches the user has been assigned access to in the administration module.

- **Shipment Date and Day No** – displays numerically and the day of the week of the ship date. (1-Sunday; 2-Monday; 3-Tuesday; 4-Wednesday; -5Thursday; 6-Friday; 7-Satday)
- **Ship to ID** - institution ID, not text, sort able
- **Denomination** - sort able, 25-Quarter, 10-Dime, etc...
- **Amount** - total dollar amount of the shipment in thousands, sort able.
- **Ship from ID** - institution ID, not text, sort able.
- **Note** – Will contain notes entered in Peoplesoft regarding the shipment, and will contain information on transfers including carrier information?!.

The form buttons will operate in the following manner:

- **Export to Excel**–The user will view and download the report in Excel format.
- **New Report** – return to the Scheduled Shipments Report Selection screen.
- **Exit** – return to the Welcome screen.

Inter-bank Transfer Form

Occasionally one bank is short on a coin, say pennies, but another will have abundance. The US Mint has an agreement with the banks to pay for the transportation in the transfer of the coins from one bank to another. These transfers are included in the Coin Shipments report.
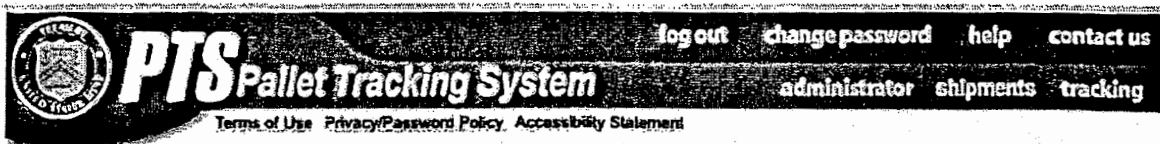
Inter-bank Transfer

Inter-bank Transfers
Approval Date

Look Up TA #

TA Number	[TA number]
Shipment Date	[date]
Ship to	[bank or branch]
Ship from	[bank or branch]
Denominations	[denomination is]
Amount	[amount]
Note	[note]

Reset   **Save**   **Exit**

The United States Mint is a bureau of the United States Department of the Treasury

The Inter-bank Transfer Form will allow manufacturing to enter shipping information for the transfers.

- **TA Number**[1] – if this is a new TA number, entered by the user, we need to verify that it is a correct unduplicated TA number. This will either be done when the user enters the new TA or at the time the form is saved (programmatic decision). If the TA number is filled by the Look Up TA function, the TA # is not editable.
- **Shipment Date** – a formatted date field
- **Ship to** - a drop down of all locations
- **Ship from** - a drop down of all locations
- **Denomination** - a drop down of all denominations
- **Amount** - total value of the shipment
- **Note** – information about the carrier!? and the transfer

The form box **Look Up TA #** will search for a user entered TA number and fill the form fields when found. If not found, a pop up error message is displayed stating "TA # <user entered TA # was not found. " with an OK button.

If the TA record is a TA record entered by the Inter-bank Transfer form, all fields except the TA # are editable. If not, the data will not be editable and the text "Editable Only in PeopleSoft" is displayed in red letters to the right of the TA #.

The search yields records with shipment dates without regard to the approved shipments date.

The form buttons will operate in the following manner:

---

[1] The traffic people who create them sequentially send the TA number for the transfers. After delivery, the Philly or Denver facility receives the GBL and they credit the sending bank against the oldest TA and debit the receiving bank entering the new TA. The administrator should be allowed to enter a TA unchallenged.

- **Reset**– fills the fields with the original values. If the TA had been searched for by the Look Up TA function, it will refill the fields with the original values. If this is a new entry, the fields will be blanked.
- **Save** – saves the transfer information. If the record originally populated by the Look Up TA # function has changed, a confirmation "Save changes?" Yes, No. If the TA is new, prompt for "Add?" Yes, No.

- **Exit** – return to the Welcome screen. . If the record originally populated by the Look Up TA # function has changed, a confirmation "Save changes?" Yes, No. If the TA is new, prompt for "Add?" Yes, No.

Approval Date

There will also be a date field that allows the administrator to set a date that limits the records viewable by the users up to and including that date. This date is set by clicking on the Approval Date link on the left side of any of the forms, or under the Scheduled Shipments Report horizontal menu item on the Welcome Screen. A popup with the window title "Approval Date" and the text "Please select the date all the shipments scheduled before and on are approved to be shown in the Shipment Schedule report." A date prompt will pop up a calendar and the date selected for final approval. Cancel and OK buttons allow the user to Cancel the Selection or OK the selection.

After the selection is made, an email is sent to the system administrators indicating the selection has been made, by which user, and to what the new date has been set. This will serve as an additional security measure.

NOTE: The function of this field is to allow the Administrator to enter shipments in without allowing the users to access them. This is controlled by date. All entries up to and including that date are viewable by the users. However, after that date the users cannot view shipments scheduled for delivery. Up until midnight on the date indicated, the shipments are viewable.

Changes to the Administration Screen

The System Administrator and backup System Administrator will maintain and administer data in and access to the reporting system. The access privileges to terminal information are consistent between the PTS and Shipment Schedule reports. We will leverage the existing access privileges and only add a small section on the form to indicate is a person has the authority to enter transfer shipping information.

- Checking the selection "PTS" will enable users access to the PTS application. The default is "Yes".
- Checking the selection "Shipment Schedule" will enable users access to the Shipment Schedule application. The default is "Yes".
- Checking the selection "Transfers" will enable users access to the Inter-bank Transfer Form. The default is "No".
- Checking the selection "Administrator" will enable users access to the Administration Module. The default is "No".

The selection "PTS" will indicate access to the Pallet Tracking system. The default is "Yes". The selection "Shipment Schedule" will indicate access to the Shipment Schedule system. The default is "Yes". Repetitive from bullets above? Users will only be able to view the records for the locations they have authorization to view.

Applications :	✔ PTS	✔ Shipping Schedule	Transfers	Administrator
Status:	◉ Active ○ On Hold			
User Account Permissions:	☜🔑			

Training

The OAD team will provide training of the administrator. Training to end-users is as requested or as determined necessary by the Manufacturing SBU.

User Acceptance Testing

Security/Web User Module
User Acceptance Test – Web User Interface \ Admin Interface

Roll Out   (to be determined by client)

Set up Pilot
Introduce the Reporting System to the Pilot users. (Communicate system requirements, i.e. IE 5.0+)

Pilot
Charlotte (District) Richmond and the Cash Product Office.

Set up Launch
Introduce the Scheduled Shipments extranet report to the rest of the FRBs, Districts and Terminals.
Provide them with user ids and passwords or if already users, just add the shipment report to their access privileges.

Launch
Formally, launch the Scheduled Shipments extranet report.

Attachment 3A

Functional Requirements Document Attachment #3A
Coin Tracking System

8/20/2001 12:13 PM

Overview

The Manufacturing department delivers coins to FRBs, Branches and Terminals on pallets.
These pallets must be tracked throughout the inventory and fulfillment processes. The pallets are
tracked from the Peoplesoft inventory system through a partially manual process utilizing FoxPro.
Along the way shipping information is added to the TA record for each pallet.

This information is currently updated in the existing antiquated FoxPro system, which is slow due
to design and network capabilities.

This second phase of the extranet will migrate the current FoxPro system to a highly efficient
Java-based relational database platform to streamline processing and enhance functionality. In
order to increase speed of data processing the entire system will be moved from Denver to
Headquarters where the PTS will be available and updateable over the Internet.

Client Requirements

Due to the divers organizations the clients belong to, the clients of this system will not have a
standard PC or Web access configuration. A large number of them will be accessing the web
through modems. Therefore, th: and the load time should be reduced as much
as possible. IE 5.0 has been suggested as the standard interface to communicate to the clients.

Data Flow

Data will be imported from the existing FoxPro database into the Sequel database, nightly. OEB
will pull data from the existing FoxPro system in the Sequel database. From the OEB Sequel
database the data will be accessible in a secure manner outside the US Mint firewall to selected
Circulating, Federal Reserve Bank (FRB), Branch and Terminal staff.

Administration Module

The System Administrator and backup System Administrator will maintain and administer data in
and access to the reporting system.

In addition to assigning
The administrator will be able to:

- Add, delete, and modify access by person
- Assign access by District or Branch.
- Add, delete, and modify District, Branch, and off-site Terminal relationships. (may be
  done in the database.)

A person assigned a District will see information on Pallets in that District and all related Branches and Off-site Terminals. A person assigned a Branch with see that Branch and its off-site Terminals. There is also an ability to assign access to all Districts.

A District or Branch will also have shipments delivered directly to them, and so they will also have TA numbers assigned to them.

Access Level Granted	District	Branch within District	Terminals within Branch
District	X	X	X
Branch		X	X
Terminals			X

- Ability to reset a users password. No one will be able to access a users password once it has been set. But the administrator will be able to reset or assign a new password when necessary.
- For security reasons, whenever a user is created, or an adjustment is made to an existing users record, an email is sent to a designated Circulating Staff member (Tom Walkinshaw)

Web Access to the PTS Reports

Users will enter the system through the Security Login Screen. The web and Circulating users within the Mint will be challenged to enter a User ID and Password.

Once the web or other user enters a User ID and Password, the web user ID will be compared against the PTS Access database, if there User ID and Password are verified as valid, they will be able to access the District, Branch or Terminal data they were granted access to by the System Administrator.

In case the web user forgets their password, the web user will contact the System Administrator via email. Once the person's access is confirmed, the system administrator can either reset the password, or provide access to a new requestor. Once logged in, a user will be able to change their password.

Once the web user has been admitted access the Pallet Tracking report screen is displayed. The web user will only be able to view the records for the Bank, Branch or Terminals, which they are given access (and the sub Branch or Terminals) by the System Administrator. A report will be displayed including the following fields; TA Number, Number in Transit, Date, GBL Number, type, mint, Carrier, <30 Days, 30-65 days, >65 days.

Initially the report will provide rolled-up totals at the District, Branch or Terminal levels. These figures will break down further as the District, Branch or Terminals are expanded on the screen. This will provide a simulated web based 190 report.

Through the intuitive interface, the web user will be able to;
- See high level 190 report when user initially views the report
- Filter information to the Terminal level,
- Contact the Circulating group via e-mail,
- Print the entire or currently displayed report,
- Obtain help from a Computer Based Tutorial (CBT),
- Change their password, and
- Export the report in excel format.

Training

Training will be provided via computer-based tutorial. The web user, upon first sign in will be presented with the option to view the tutorial. The tutorial will show the web user the basic features of the PTS system. The tutorial will be in PDF, PPT or word format.

We should consider utilizing the Possibly an infomercial to initially sell the system.

User Acceptance Testing

Security Module
User Acceptance Test – Security/data import

Web User Module
User Acceptance Test – Web User Interface

Roll Out

Set up Pilot
Introduce the Reporting System to the Pilot users. (communicate system requirements, i.e. IE 5.0)
Provide the Pilot Users with User Ids and Passwords.

Pilot
First Pilot – Cash Product Office (all)
Second Pilot – FRB Richmond (District and below)
Third Pilot – FRB Baltimore (it's Bank and offsite Terminals)

Set up Launch
Introduce the Reporting System to the rest of the FRBs, Districts and Terminals.
Provide them with user ids and passwords.

Launch
Formally launch the PTS Reporting System

Notes

September 10, 2001

Tom/Pam

Last week I spoke with Tom Kellam from FRB Richmond and Sam Powell from FRG Charlotte about the pilot test for Pallet Tracking. Tom explained that the 5th District is standing up a Product Office which will be responsible for all Coin matters at FRB Charlotte. As such, they will function as the District Office and will be monitoring the Pallet Tracking activities. With this change, they would like to do the pilot at Richmond and Charlotte. I gave them a rough timeframe of mid October, after Columbus Day.

I will be in Philadelphia Tuesday through Thursday this week. I will get with Tom today and look at some dates.

Thank you,

DENNIS SMOCK

PRODUCTION PLANNING AND FRB LIAISON

Will there be users terminal-level users? Currently only have the admin screens set up to assign access at the district and branch levels.

No, we don't need the terminals to have access - they will not be users.

Tom Walkinshaw

September 6 notes from review with Tom Walkinshaw.

Tom was very pleased with what he saw today. He and Dennis are going to view spend tomorrow reviewing and will come back with comments on Monday.

He did have some comments today :

- when more than one terminal/ branch / FRB(District) is listed, it was hard to disguish which TA went to which location.
Please find someway to differentiate between the locations. This might be done by using separate tables, sub headings, whatever.

- make the list text smaller

- When you press Get Records when nothing has been selected, the error message takes you to the first page with the districts listed. Please leave the user at the current location.

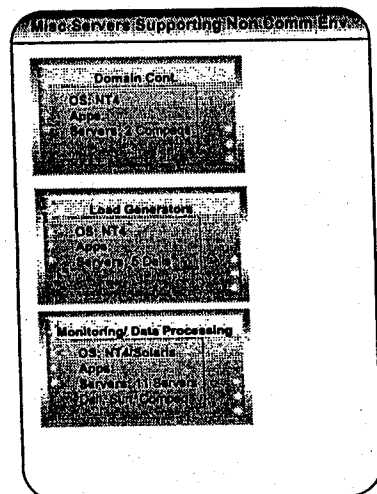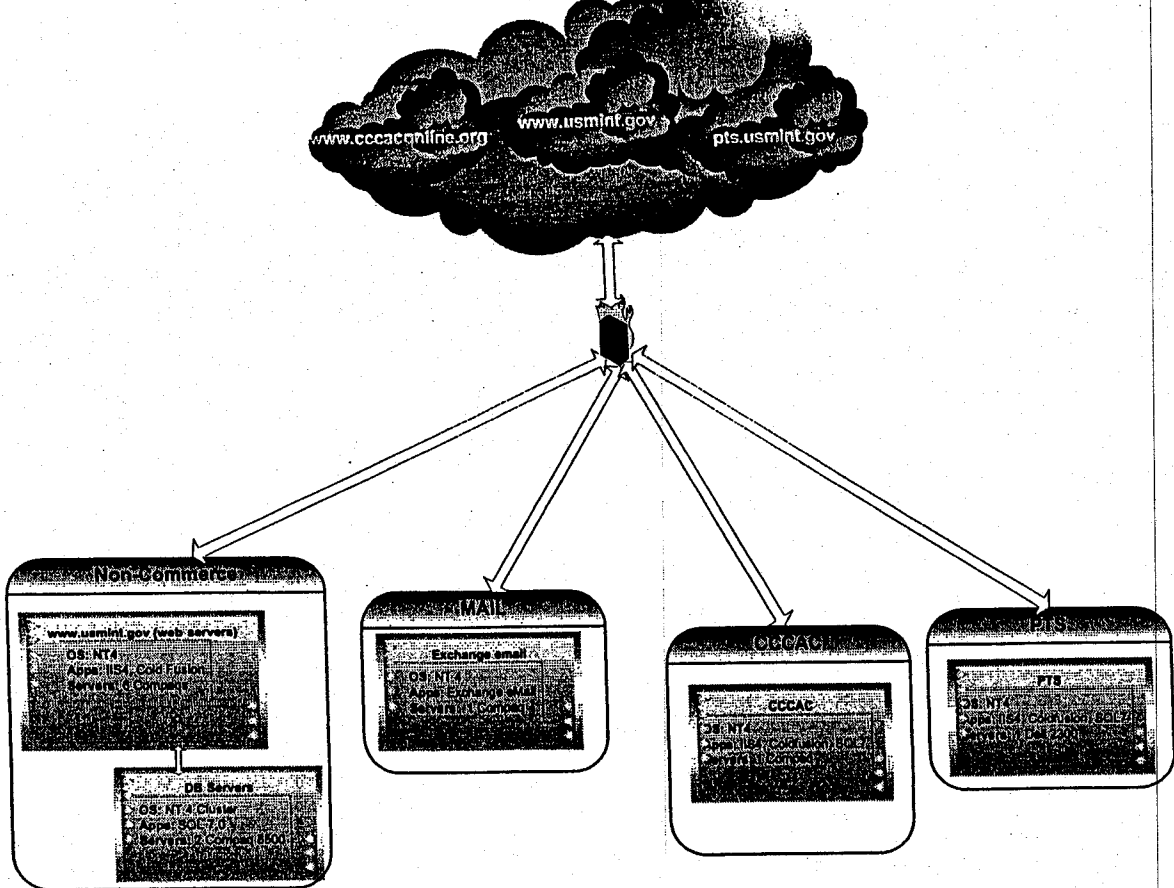- Above each list, please indicate by location name, which location(s) are contained in the list.

Attachment 3B

Intrernet Accomplishments (January 2002 through June 2002)
Attachment #3B

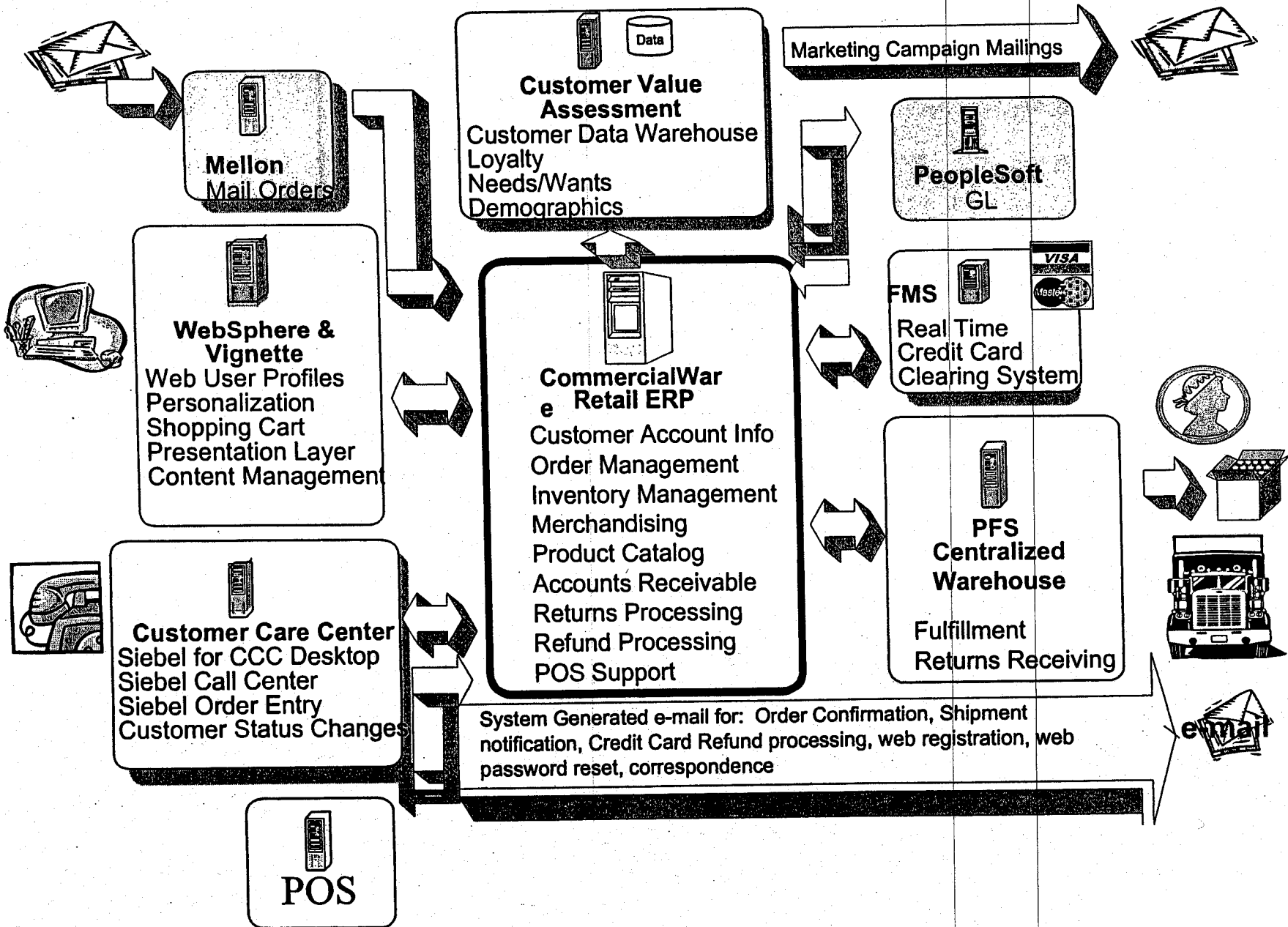| Accomplishments	Benefit
HR Site Redesign OAD created a HR Site redesign to enhance the contractual Job Finder and Job Register bridged Site that is maintained by Quikhire.com	Produced a better navigational interface and design for the between the Mint's "Join Our Team" site and the Job Finder and Job Register that is maintained by an outside vendor (Quikhire.com)
FOIA Employee Phone Book Created a admin screen to update the Employee Phone List on the FOIA section of the Internet.	Provides seamless and a much more timely update of employee phone numbers via the Web Site. As a part of this project, an administrative application was built so a non-programmer could maintain changes to the database which cut down tremendously on the back and forth sharing of information between three offices.
Consumer Awareness Pages SAM and Public Affairs and Legal needed a means to share Consumer and Business Awareness Issues with the public.	Provides the public (consumers and businesses) with vital information about selling and buying authentic U.S. Mint products. The creation of these pages was to help cut down phone, fax, and mail inquires to the Legal, Public Affairs, CCC, and Sales and Marketing departments regarding products that they saw advertised that they thought were U.S. mint products.
Single Platform Integration Prepare Business Case to support the move to a Single Platform for all application development.	This Project will integrate all application development into the JAVA platform. The benefits of this measure will include simplified development of all applications, a larger talent pool of programmers (there are more JAVA programmers than other languages), a sharing of resources across all Extranet, Intranet, and Internet projects. And a simplified system of managing the development of all applications since they will all be created in the same format.

2002 50 State Quarters Screensaver Continued feature added to the Web site each year to provide visitors to the Web Site with a free downloadable 50 State Quarters Screensaver of this years quarters. Worked with SAM to develop this.	The Purpose of this project is to add a value added feature to the website to help attract more visitors and potential customers. Since the first year of the 50 State Quarters Program, OAD Web Services has provided free downloadable 50 State Quarters Screensavers. These screensavers act as a great marketing and advertising tool for the Mint's 50 State quarters Program, thereby generating more interest in the program and building a new collector and customer base of the Program.
Commemorative Coins Section Update Update the commemorative Coins section of the Web site for SAM to help bolster interest in the Program and help sales of future Coins.	The Purpose of this project is to add a value added feature to the website to help attract more visitors and potential customers. With an ever-growing interest in Commemorative Coins, the Sales and Marketing Department wanted to upgrade the informational pages on the modern US Commemorative Coins. New articles were written about the modern coins, and consistent "fact Sheets" were created to give the collectors and potential customers more information on United States Mint Commemorative Coins with the hope of establishing new customers for the upcoming programs. the Commemorative Coin Fact Sheets will be updated in groups of 10 until all the modern coins are updated.
Sell Medals on the Internet Created Links and added information to the Medals Web pages for SAM to support their plan to sell Medals on the Web which started in April 2002.	The Purpose of this project is to add a value added feature to the website to help attract customers to the United States Web catalog from the non-commerce site to help boost the sales of Medals, which are being sold on the Web for the first time. Within the non-commerce site, on the Medals sections, there will be "Buy Now" buttons on each medals pages that will take the visitor

	right to the Medals page of the catalog.
Rebuild and Update CCCAC Website	Worked on a major update for the CCCAC Website to support this Association that works closely with the Mint.
Retain Excite@Home Subscribers to Online Newsletters Worked with SAM to develop an email campaign to target all Excite@home subscribers to Newsletters to ensure that their email accounts were not lost when Excite.com went undr and all emails with that service went down.	This campaign was for the benefit of over 15,000 customers who signed up to get product notifications regarding U.S. Mint products for sale. The service was created to make the re-signing up with us as easy as possible.

www.cccaconline.org   www.usmint.gov   pts.usmint.gov

Non-commerce

www.usmint.gov (web servers)
- OS: NT4
- Apps: IIS, Cold Fusion
- ...

DB Servers
- OS: NT4 Cluster
- Apps: SQL 7.0
- ...

EMAIL

Exchange email
- OS: NT4
- Apps: Exchange ...
- ...

CCCAC
- OS: NT4
- ...

PTS
- OS: NT4
- ...

Other Servers Supporting Non-Comm Env

Domain Cont.
- OS: NT4
- Apps
- ...

Load Generator
- OS: NT4
- Apps
- ...

Monitoring/ Data Processing
- OS: NT4/Solaris
- Apps
- ...

eSP Overview

Mellon
Mail Orders

WebSphere & Vignette
Web User Profiles
Personalization
Shopping Cart
Presentation Layer
Content Management

Customer Care Center
Siebel for CCC Desktop
Siebel Call Center
Siebel Order Entry
Customer Status Changes

POS

Customer Value Assessment
Customer Data Warehouse
Loyalty
Needs/Wants
Demographics

Data

CommercialWare Retail ERP
Customer Account Info
Order Management
Inventory Management
Merchandising
Product Catalog
Accounts Receivable
Returns Processing
Refund Processing
POS Support

Marketing Campaign Mailings

PeopleSoft
GL

FMS
Real Time
Credit Card
Clearing System

VISA
MasterCard

PFS Centralized Warehouse
Fulfillment
Returns Receiving

System Generated e-mail for: Order Confirmation, Shipment notification, Credit Card Refund processing, web registration, web password reset, correspondence

email

Attachment 4A

Attachment 4B

eSP Overview

Mellon
Mail Orders

Data

Customer Value Assessment
Customer Data Warehouse
Loyalty
Needs/Wants
Demographics

Marketing Campaign Mailings

PeopleSoft
GL

WebSphere & Vignette
Web User Profiles
Personalization
Shopping Cart
Presentation Layer
Content Management

CommercialWare Retail ERP
Customer Account Info
Order Management
Inventory Management
Merchandising
Product Catalog
Accounts Receivable
Returns Processing
Refund Processing
POS Support

FMS
Real Time
Credit Card
Clearing System

VISA

PFS Centralized Warehouse
Fulfillment
Returns Receiving

Customer Care Center
Siebel for CCC Desktop
Siebel Call Center
Siebel Order Entry
Customer Status Changes

System Generated e-mail for: Order Confirmation, Shipment notification, Credit Card Refund processing, web registration, web password reset, correspondence

e-mail

POS

Attachment 5

OCIO Quality Assurance Standards & Procedures

UNITED STATES MINT
Office of the Chief Information Officer (OCIO)

Revision History

Date	Version	Description	Author
6/10/02	1.0	Initial publication.	Sharon diPretoro & Gabrielle Caddle

TABLE OF CONTENTS

1. Introduction

1.1. Purpose

This document describes how to implement quality assurance (QA) standards and procedures at the United States Mint for all Information Systems Life Cycle (ISLC) projects.

The quality assurance objectives for each project are to:

- Plan QA activities that fit within the overall Information Systems Lifecycle.

- Objectively verify the configuration identification items.

- Ensure activities adhere to the ISLC standards, procedures, and requirements.

- Inform affected groups and individuals of QA activities and results

- Inform senior management of noncompliance issues that cannot be resolved within the development team.

- Provide a repeatable and verifiable Quality Assurance process through the use of automated tools and resources.

- Provide manual and automated testing (includes both functional and performance testing), and test monitoring.

- Report defects and anomalies that impact system performance and/or system functionality.

1.2. Scope

This document applies to all personnel involved in the quality assurance of systems developed or maintained by the Office of the Chief Information Officer (OCIO).

1.3. Document Overview

Section	Title	Describes...
1	Introduction	The purpose and scope of this plan, as well as, the documents leveraged in its creation.
2	Roles & Responsibilities	Key players' roles and responsibilities in the quality assurance process.
3	QA Reviews & Audits	The overall QA contributions throughout the ISLC.

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4	QA Testing	The testing activity conducted by the quality assurance group.
Appendix A	Glossary	Terms used in this document.

1.4. Reference Documents

Title	Nomenclature
Information System Life Cycle Manual	Treasury Directive Publication (TD P 84-01), Version 3.2, March 2002

1.5. For additional information or changes

All updates to this document will be made in accordance with approved Configuration Control procedures. Suggested changes to this procedure document should be submitted via SCR to a Quality Assurance Specialist.

Please forward all requests for additional information to:

Gabrielle Caddle
Office of Application Development (OAD), OCIO
United States Mint

2. Roles & Responsibilities

The following table identifies and describes the typical key players responsible for implementing and participating in quality assurance activities at the United States Mint. It is possible, and very likely, that a single individual may perform one or more of these roles. This is acceptable provided that separation of duties is enforced according to the *US Mint Information Security Manual*.

Role	QA Responsibilities
Quality Assurance Specialist	• Reviews project activities and audits throughout the ISLC in order to let management know whether the project is adhering to its established plans, standards, and procedures. (See Section 3 for further information.) • Compliance issues are first addressed within the project team and resolved there if possible. For issues not resolvable within the project team, the quality assurance manager escalates the issue to an appropriate level of management for resolution. • Prepares reports/notifications such as performance monitoring reports, site monitoring resources, defect reports and screen shots from failed test executions or other resources. • QA testing of functionality and requirements, as well as, system performance. (See Section 4 for further information.) • Member of the project management team throughout the ISLC.
Project Manager	• Works closely with customers to determine changes to existing systems and identify new projects as approved by management. • Works with the QA Specialist to determine the readiness of the project for transition from development to productions in an iterative manner (designed in phases with not all components in the QA environment at once.) This allows QA Specialist to focus on certain aspects of the project to develop consistent tests, and prepare for additional components under development.

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Role	QA Responsibilities
Database Administrator	• Assists QA Specialists in determining the database transactions' accuracy and whether the information in the designated fields is correct. • Produces database diagrams. • Constructs SQL queries as warranted by specific test cases required to support QA.
	• Reviews information in tables, records or fields to perform validity checks as warranted by specific test cases required to support QA.
	• Informs the QA Specialist of the selected database standard (Microsoft SQL, Oracle, DB2) for a given application. • Sets up the test database and installs all required updates to support QA.
Programmer/ Developer	• Provides information about the nuances of a system's functionality not described in the documentation. • Provides information about the platforms (e.g., operating systems, browsers, database systems), development languages, code changes, etc. whenever this information is relevant to designing a test strategy. • Provides feedback on test strategy and follow-ups when errors are detected. • Provides detailed knowledge of the production infrastructure and quality assurance testing environment. • Assists QA Specialists in maintaining an isolated test environment that closely mirrors the production environment. • Sets up the systems and QA architecture, as required. • Addresses problems that can impede testing. • Provides support to QA Specialists during performance testing by monitoring system resources, load distribution, resource usage, network traffic and response times. • Reviews and addresses monitoring and load testing results.

Role	QA Responsibilities
Configuration Management Specialist	• Migrates code between the development, QA, and production environments. • Works closely with QA Specialists and the project managers to determine the final release dates for systems and system enhancements. • Performs additional tasks related to quality assurance activities as defined in the *OCIO Configuration Management Standards and Procedures*.

3. Quality Assurance Reviews & Audits

QA involves reviewing, auditing and monitoring the input/output, content, and overall infrastructure/architecture of the United States Mint's systems. The results of these reviews, audits, and monitoring processes serve to verify compliance with the applicable procedures and standards of all project efforts throughout their life cycles.

The QA Specialists work with the project teams during all stages of system enhancement and development to establish plans, standards, and workflow. This ensures that this body of information fits the project's needs, and verifies that the information will be usable for performing reviews and audits.

4. Quality Assurance Testing

The QA Specialists are responsible for testing iterative changes to the system and its supporting components. These results are provided to interested parties as decision-making criteria to support or deny system release.

There are five quality assurance testing phases:

1. Test Planning
2. Test Design/Development
3. Test Implementation
4. Test Execution
5. Test Evaluation

These phases are completely executed for a large-scale project where the level-of-effort is high or the complexity is great. Daily SCR(s) are treated in a less formalized manor where the test planning, design, implementation phases are reduced to a period of hours rather than over a period of several days or weeks.

A formal test plan is not written for a simple SCR involving one or more text, link or image changes. SCRs should contain a clear description of the test steps executed, as well as, a description of the changes to be tested and which configuration documents require changes—including test documentation.

4.1. Test Planning

There are seven basic steps that must be followed in the test planning phase.

Test Planning Step	Description
1. Identify the project	• Conduct test requirement gathering using resources such as a functional and business requirements documents, design documents, and/or complete SCR descriptions. • Other helpful documents include database schemas, project plans, and design specifications. • (Optional) Review the initial prototype in the development environment.

Test Planning Step	Description
2. Define the testing strategy	• Identify the testing needs required to completely exercise the system. • The following is an example of functional testing completed at the integration stage: *Stage of Testing:* Integration *Testing Type:* Function *Technique:* Mercury - 75% automated, 25% manual *Completion Criteria:* 95% of test cases passed. All High priority defects resolved *Special Considerations:* Perform testing using development databases
3. Decompose the requirements into testable elements	• Identify the necessary verification points within the system and its related components. • Includes identifying the primary business tasks and their associated transactions.
4. Estimate the testing effort	• For each type of defined test requirement, estimate the effort to separately design, develop, execute, and evaluate the tests. • Standard estimates are based on experience for small, less complex SCR(s). An alternate calculation method is used when more extensive testing is required.
5. Identify resources (Staff and System)	• Identify the QA Specialists required to support a project. • Identify system resources and tools such as load testing systems, monitoring tools, and automated test tools to support requirements gathering and functional testing. • Identify if a database administrator is required to add new products to the database.

Test Planning Step	Description
6. Develop the test schedule	Develop a Test Plan and a Test Schedule. • The Test Schedule includes all the upcoming projects for the next 6 to 12 months and is developed in Microsoft Project. • The Test Plan identifies all cross-functional resources and their individual roles in the testing for a single project. • System Acceptance Testing is the last testing effort completed prior to final release. All QA scheduling information is provided to the applicable project managers to be incorporated into each project's overall Microsoft Project schedule.
7. Write the test plan	• The test plan provides an overview of the project and the test strategies. It includes system and staffing resources as well as the high-level test requirements. • Test Plans are typically stored in the QA test repository. The exception being small-scale SCR(s) that are instead stored in PVCS Tracker.

4.2. Test Design & Development

QA Specialists create test procedures and test cases with subject-matter-experts to verify the system's test requirements to increase test coverage and productivity by:

• Specifying test procedures that will yield the greatest coverage of requirements.

• Selecting the appropriate test cases to confirm system requirements

• Clearly organizing information about test procedures and test case design.

During test development, QA Specialists perform the same steps for both automated and manual testing.

• Setup test development systems.

• Write test scripts and procedures. Test scripts address system functionality, performance, connectivity, and consistency.

• Conduct configuration review of test documentation.

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- Record/playback prototype procedures (automated testing only). applicable
- Modify test procedures.
- Establish external data sets.
- Retest and debug test procedures.

4.3. Test Implementation

Conduct test implementation to confirm that all design steps are completed and the necessary components for the test system are available and ready. QA Specialists ensure that the implemented test design is ready by:

- Performing a trial run.
- Verifying the development build.

4.4. Test Execution

Test execution includes the following:

- Set up the test system.
- Prepare procedures for execution.
- Initialize the system.
- Execute the tests.
- Halted Test Recovery
- Verify the expected results.
- Investigate the anomalies.
- Log the defects.

4.5. Test Evaluation

The test evaluation step includes the following tasks for QA Specialists.

- Review test logs.
- Evaluate test requirements coverage.
- Evaluate risks.
- Evaluate defects/trends.
- Determine if the test completion criteria was met.
- Assess the test.

QA Specialists review the defects and ensure that systems are returned to development for modifications. If systems have discernable and major defects, the QA Specialist will fail the system and document the failure. The project manager and customer will make the business decision whether to release the system to production in its failed state.

Appendix A: Glossary

ISLC
Information System Life Cycle

Functional Requirements Document (FRD)
A working document representing the conceptual view of the system to its development.

PVCS Tracker
Change tracking tool used to track system change requests (SCRs) through their life cycles. Also used to generate reports on SCRs.

Systems Change Request (SCR)
Request for changes to system documentation and thus changes to the system.

Attachment 6

Attachment #6
SYSTEMS DEVELOPMENT AND MAINTENANCE
APPLICATION REFERENCES

Die Information System (DIS): Tracks the manufacturing, shipping, utilization, refurbishing and destruction of all dies produced and used by all United States Mint locations.

Customer Value Assessment (CVA): currently running in parallel with MARCUS as a Marketing operations application of the United States Mint as a source for all Mailings and Campaigns. Features that can be attributed to CVA include a collection of customer interaction data (inbound and outbound) at customer touch points across the channels, including customer care and the web). The application provides the ability to analyze customer value data and interaction/cost data and act as a 'feedback loop' that enables assigning characteristics to customers that can be used by front end/touch point applications to adjust service profiles if appropriate. CVA also helps to gather campaign management data to identify costs vs. returns at a campaign, customer, and prospect level to enable cost of individual customer acquisition as well as gathering cost and purchase history to determine profitability of customers in addition to other factors.

Marketing Customer Database (MARCUS): the Data Warehousing, Statistical Analysis and Decision Support System for Numismatic Marketing division of the U.S. Mint has been in operation for the past few years. The MARCUS system is critical for the marketing operations of the Mint as it is the primary source for all Mailings and Campaigns. The MARCUS database consists of Customers, Orders, Products and Offers over the last 15 years. This database is created and maintained with a version of Microsoft's SQL Server relational database management software. The data warehousing and decision support applications are based on programs developed at the Mint using PowerBuilder GUI and Impromptu reporting tools.

Maximo: Computerized Maintenance Management System (CMMS) - System for conducting plant floor production equipment and building maintenance (both repair work and preventive maintenance) and for tracking associated inventory/spare part items, reporting labor/material costs tied to equipment, and creating maintenance/repair purchase requisitions (interfaces with PeopleSoft Financials, Manufacturing and Distribution applications).

COINS: A set of systems that makes up the COnsolidated INformation System –
PeopleSoft – 21 modules Financial, Distribution and Manufacturing modules. These modules include the General Ledger, Accounts Payable, Purchasing, Order Management, Billing, Accounts Receivable, Asset Management, Budgets, Inventory, Production Management, Bills & Routing, Cost Management, Engineering, Production/Enterprise Planning Production/Enterprise planning product update and the Demand Planning module.
Maximo – Plant Maintenance, interfaced w/PS. Software Vendor is PSDI.

eSP – Order Management System that services Numismatics. Software Vendor is Smith Gardner. This product does not meet all of the Mint's requirements and will likely be replaced within one year.

MARCUS – Data Warehouse / Customer Database (custom)

ADCS – An RF/Bar-code shop floor information system

EBOPS: is a combination of both the Eagle Bullion Coin Ordering System and the Bullion Coin System. Process Eagle bullion coin orders from approved purchasers through order entry, price fixing, receipt of remittance, and release to shipping. Sends faxes to confirm all phases of the order. Processes orders for gold metal based on bullion requirement received from Numismatics, tracks cumulative shortfall where purchase doesn't match requirement.

This system will be live July/August 2002.

WEBDB: WebDB can be used to provide users with information across applications through personalized websites. WebDB is complete portal software that can provide ad hoc reports requiring quick turnaround and reports outside of the constraints of application security. WEBDB also allows for Executive summary reports and Reporting across applications such as –

- PeopleSoft reports for Maximo users
- Maximo reports for PeopleSoft users
- Interface status reports
- PVCS tracker reports for field sites

Additionally, reports that are not intended to be upgrade objects such Alerts, Newsletters, Tips & Tricks are also included.

UNITED STATES MINT H.I.P. POCKET CHANGE™ WEB SITE
Attachment 7

The H.I.P. Pocket Change™ Web site showcases the connection between this country's coins and its people. Through games, stories, and other engaging activities, the site brings to life both the extraordinary individuals who appear on U.S. coinage and the generations of citizens who've used this pocket change.

In 1997, the President of the United States asked federal agencies to "enrich the Internet as a tool for teaching and learning." One result of this challenge was the creation of the Federal Resources for Educational Excellence (FREE) Working Group. In 1998, the U.S. Mint was awarded a grant from the Department of Education to help develop the H.I.P. Pocket Change™ (HPC) Web site.

The U.S. Mint's children's site, H.I.P. Pocket Change, is dedicated to promoting life-long pleasure in coins and coin collecting by showcasing the connection between this country's coins and its people. Through animation, games, and interactive features, the web site successfully combines government, technology and education in a new and exciting way. By offering lesson plans, classroom activities and resource guidance, H.I.P. Pocket Change also serves as an online, cross-curricular resource for educators, helping teachers to discover and develop innovative ways to instruct about coins and the history that surrounds them.

- Program Manager
:nior System Engineer—Task Leader
Oracle/SQL Senior Data Base Administrator
- Principal Systems Engineer
- Senior Network Engineer
- Network Engineer
: - Senior Network Engineer
: - System Engineer
- Senior/Programmer Analyst
nior/Programmer Analyst
- Senior Application Programmer
Senior Application Programmer
- Senior Application Programmer
Project Manager—Task Leader
- Project Manager—Task Leader
- Principal QA Analyst
- Senior QA Analyst
- Senior Test Engineer
Test Engineer
System Architect
- Web Designer/Digital Media Designer
- Principal Information Architecture Specialist
– Principal Information Systems Engineer
- Senior Software Engineer
Systems Administrator