

Jacket #741-846

**U.S. Department of Energy – Environmental Management Consolidated Business Center (EMCBC)
Project: Energy Technology Engineering Center (ETEC)**

Description of Services

1. Description of Services:

Digitization of Energy Technology Engineering Center (ETEC) Federal records for the U.S. Department of Energy (DOE), Environmental Management Consolidated Business Center (EMCBC) to meet the National Archives and Records Administration (NARA) requirements in [36 CFR 1236, Subpart D “Digitization of Temporary Records”](#), [36 CFR 1236, Subpart E “Digitization of Permanent Records”](#) and [36 CFR 1236, Subpart F “Transfer Metadata”](#).

2. Period of Performance and Pricing

The period of performance will be no longer than 24 months, with a goal of a minimum of 35-40 boxes processed and uploaded monthly. Boxes marked with a “requester” are to be completed first. The contractor shall provide a proposal and pricing for completing the work to include pickup of records (see below) and delivery of source documents after digitization to the Office of Legacy Management (LM). Records must be picked up from DOE no later than October 7, 2024.

Records are currently located:

- U.S. Department of Energy, Environmental Management Consolidated Business Center, 175 Tri-County Parkway, Suite C3, Cincinnati Office 45246

Source documents shall be shipped to:

- U.S. Department of Energy, Office of Legacy Management, 99 Research Park Road, Morgantown, WV 26505-3296

3. Scope:

Most of this collection is considered temporary and must be digitized to meet 36 CFR 1236, Subpart D requirements. There are approximately 185 boxes that are permanent and must be digitized to meet all requirements in [36 CFR 1236, Subpart E](#) and [36 CFR 1236, Subpart F](#). If the requirements call for PDF-A, the contractor shall not convert to this format (see DOE if any questions). Digitized records must be a 100% match to the source document (e.g., ink color, etc.), quality checked, named, metadata applied (see section 8 - 9) and uploaded to an external EMCBC SharePoint site. The EMCBC will work with the Contractor to provide access to a limited number of Contractor staff; must have M365 account. The EMCBC requires the records to be digitized at either folder or document level (see below chart), quality checked, named, metadata applied (See Section 8 - 9) and uploaded to SharePoint. The digitized records, along with the required metadata can be uploaded to SharePoint by either of these methods: 1) directly from the scanner, 2) bulk file upload, accompanied by a CSV of the metadata or 3) documents and metadata can be uploaded using an API endpoint. Records that are faint or print is fading can be digitized in greyscale to ensure text is captured to allow for the digital version to become the record. Every effort should be made to get the best available image. If the paper is a “color” the digital image does not need to have a “colored” background. Color is only required for specific purposes like a graph, map, etc. This does not mean all should be done this way, this would only apply to images that are faint to ensure the image is captured.

The records will not need to be re-stapled or re-bound, but they must remain in the appropriate folders and the order needs to remain intact. The Federal regulations allow for the destruction of records after digitization if all requirements are met and there are no litigation holds. There is currently a litigation hold on these

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records; therefore, the hard copy source documents will be shipped to LM in Morgantown, WV for storage once approval has been received by DOE, this may require a statistical sampling of the digitized records, which **may** require a few boxes to be returned to the DOE. The return shipping will be paid by DOE by providing a UPS shipping label. The records do not need to be re-stapled or re-bound, but the order needs to remain intact.

If any of the boxes are damaged in any way that could prevent safe shipment of the records, the Contractor shall rebox into a new¹ storage box. If the records are reboxed, the Contractor shall ensure the box is properly labeled with the box # and Site. All boxes must be out of the DOE facility by October 7, 2024. The following is the breakdown of the inventory to be digitized:

Description	Estimated Quantity	Approximate % Folder or Document Level Digitization
Hard Copy (Paper) <u>Temporary</u> Records	650 boxes	Folder 70% / Document 30%
Hard Copy (paper) <u>Permanent</u> Records	185 boxes	Folder 80% / Document 20%
Hard Copy Drawings (oversize these will range in sizes) (Temporary)	~3,500 drawings (folded in boxes and rolled in drawing boxes). This could increase/decrease	Document 100% (10% estimated at Permanent)

Note 1: The majority of the paper records are 8-1/2 x 11 but there is a likely hood of 11x17, or larger drawings intermingled. Some records can be faint (e.g., facsimile, or non-carbon required (NCR) type paper that may require work to ensure a clear image. There may be notes or post-it notes added to documents that will need to be copied without covering the record. The hard copy (paper) records (excluding drawings) boxes are the equivalent of 1 cubic foot. The percentage of temporary vs. permanent and Folder vs. Document may vary by a few boxes.

Note 2: In the event there is a redweld folder (expandable folder) that has subfolders, the digitization will be done at the subfolder level and the metadata (folder information) will capture both the subfolder and upper-level folder.

Note3: Temporary / Permanent and Folder / Document will be noted on the Box label and listed on box index provided at time of pickup. Not all boxes have indexes to folder level, but those that have been indexed will be provided.

4. Proposal/Deliverables:

Proposal shall include timeline for completion of the project, volume, and timeframe for each pickup, including delivery of completed boxes to LM. DOE is required to complete transfer documentation and must notify LM prior to delivery. The proposal shall include how the contractor shall:

- **Must** meet security and protection requirements through documented process and must produce an Authority to Operate (ATO) issued by a federal agency OR a NIST Certificate (see Section 5).
- Report **monthly** tracking receipt of boxes, status, and completion.
- Meet the requirements of [36 CFR 1236 Subpart D](#) (Temporary) requirements (QC checks, metadata, file formats, etc.) through documented processes.
 - Provide to DOE prior to award documents that show how the requirements of 36 CFR 1236, subpart D will be met.

¹ New can be a “used” box replacing the damaged box to ensure safe shipment of the records. If the Contractor does not have “used” boxes, the Contractor will contract the EMCBC, and boxes will be sent for this use.

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- **Meet** the requirements of [36 CFR 1236, Subpart E](#) and [36 CFR 1236, Subpart F](#) (Permanent) requirements (QC checks, equipment, metadata, file formats, project plans, quality plan, checksums, etc.) through documented processes, including turning over the documentation required in [36 CFR 1236, Subpart E](#). **Provide** to DOE prior to award documents that documents how the requirements of 36 CFR 1236 Subpart E shall be met (e.g., quality plan, project plan, etc. or similar documents that show how requirements will be met.
 - The contractor is required to provide the necessary documentation at the completion of the contract, including documentation on validating equipment.
- **Submit** test set for temporary records prior to proceeding.
- **Submit** test set for permanent records prior to proceeding.

5. Security and Protection of the Records

The Contractor shall assume all records are unclassified, as all previously classified records should have been declassified. There could be instances where the record(s) were declassified (noted on the first page), but the markings on subsequent pages were not properly removed. In the event records are found with classified markings, the Contractor shall immediately protect the record and contact DOE.

The Contractor shall utilize an information system for all activities associated with the provided service that implements the proper security controls as defined for a moderate boundary environment in National Institute of Standards and Technology (NIST) Special Publication (SP) 800-53 Rev5 for federal information systems or NIST SP 800-171 Rev2 for non-federal information systems. The Contractor shall provide evidence of the accreditation for the information system in the form of an Authority to Operate (ATO) issued by a federal agency, as well artifacts that will allow the government to assess any risks associated with the environment and to issue their own local authorization.

The records may contain Controlled Unclassified Information (CUI) and in most cases are not marked properly or have old markings. The Contractor must safeguard the records and the records must be kept under an authorized person's direct control or protected with at least one physical barrier to protect CUI from unauthorized access. When not in an authorized holder's direct possession, CUI will be kept in a locked desk drawer, filing cabinet or within a locked office as long as the CUI is protected from unauthorized viewing. **DOE O 471.7, "Controlled Unclassified Information (CUI)" Paragraph 4f(4)**

An ATO or NIST Certificate must be provided with contractor/vendor proposal, along with the following artifacts:

- **Account Management Policies/Procedures**
- **Audit Policies/Procedures**
- **Configuration Management Plan**
- **Incident Response Plan**
- **Media Protection Plan**
- **System Security Plan**
- **CMMC/800-171 certification**
- **Third Party Independent Assessment Detailed Report**

Work must be completed by US Citizens.

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6. **Quality Control**

The Contractor shall ensure a 100% quality check is completed for each digitized image against the hard copy to validate that all information is captured, and DOE can use the digitized version for all the purposes the original source record serves. The validation must meet 36 CFR 1236, Subparts D (temporary) and subpart E (permanent) requirements. The validation shall be documented in the SharePoint metadata (See Section 8).

7. **Optical Character Recognition (OCR)**

The Contractor shall ensure all records with text are OCR'd for text recognition.

8. **Metadata**

Metadata must meet the requirements in in [36 CFR 1236, Subpart F "Transfer Metadata"](#) must also be captured, if the external SharePoint site does not contain these fields the Contractor will notify DOE so this can be corrected prior to uploading.

The following metadata shall be captured for each record within the DOE External SharePoint Site (ETEC):

Hard Copy Records

- 1) **File name** ([Bulletin 2015-04 Appendix B | National Archives](#))
File Folder Title, including inclusive dates of documents within the folder
- 2) **Document Name** (full title or subject)
- 3) **Document Creation Date**
- 4) **Certification** - that the digitized record captures all information contained in the original source record.
Note: This certificate will only be done at the document level; when digitizing at the folder level, this will be noted in the comments field (e.g., certify meets requirements).
- 5) **Folder/subfolder Title/Subject** - If there are subfolders, the folder/subfolder field needs to include both throughout – Example: If the original folder is "Building 059 Concrete Removal" and there is a subfolder titled "Cast in Place Concrete", the folder/subfolder title field would read: "Building 059 Concrete Removal – Cast in Place Concrete."
Note: For Redwelds (expandable folder) and subfolders, the folder/subfolder title/subject must include both the subfolder and redweld titles to ensure capturing both and to retain connection between them.
- 6) **Area / Building / Project** – if readily available – this is also needed for project case files (see item 11)
- 7) **Original box #** - in the event there is a box # on the folder that is different than the # of the box it resides enter that here; otherwise in most cases this will be the same as item 8. (Will be listed on label on outside of box)
- 8) **KT Box # (also known as CARM (ERMS) Box #)** – Box # (outside of box) (Will be listed on label on outside of box)
- 9) **NARA-approved Records Disposition Schedule** – if there is a records schedule listed on the box OR folder, add here. (e.g., ENV 1k3, ADM 16.1.2, etc.). – see item 6 above for adding the project for case files. (Will be listed on label on outside of box) – some may be TBD. This will also determine the SharePoint library where the digitized records will be placed.

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- 10) **Comments / Notes** – if there is anything that the staff feels someone would need to know, they can utilize this field for that information.

Note: In the event there is a CD, DVD, or other media included in the hard copy records, the Contractor will extract the data and note this in the comment field. If the data cannot be extracted or read, is an obscure media or is an executable file, contact DOE.

Hard Copy Drawings (100% at Document Level)

- 1) **File name** ([Bulletin 2015-04 Appendix B | National Archives](#))
- 2) **Document Name** (full title or subject)
- 3) **Document Creation Date**
- 4) **Certification**
that the digitized record captures all information contained in the original source record.
- 5) **Drawing Title**
- 6) **Project / Area** - For project case files, a document set will be created.
- 7) **Bldg. # / Area**
- 8) **Drawing Date**
- 9) **Type** (Architectural, Civil, Instrumentation, or Mechanical)
- 10) **Author** (Engineering Firm/Contractor)
- 11) **Original box #** - in the event there is a box # on the folder that is different than the # of the box it resides enter that here; otherwise in most cases this will be the same as item 8
- 12) **CARM (ERMS) Box #** – Box # (outside of box)

9. Acronym List

The EMCBC shall provide an acronym list to assist in spelling out acronyms when needed.