Performance Work Statement (PWS)

Single Family Data Analysis and Reporting Tool

(SF-DART / P377)

June 24, 2026

DRAFT

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Vision Statement

To acquire a business intelligence platform that supports the storage of both current and historical data, enabling customizable data analytics and reporting related to the servicing of FHA-insured mortgages.

1 General Information

1.1 Scope of Work

The Office of Single Family Asset Management (OSFAM), within the U.S. Department of Housing and Urban Development's (HUD), Office of Housing, is seeking to obtain a FedRAMP compliant Business Service Provider (BSP) Support Services to operate and provide a web-based system, maintain, and enhance flexible manipulation of data and system performance, and train HUD users of the Single Family - Data Analysis and Reporting Tool (SF-DART). Services shall include:

- Transition In
- Project Management, Support, and Reporting
- Data Analytic and Reporting Services
- Servicer Performance – Tier Ranking Systems II (TRS II)
- Training
- Help Desk (Optional Task)
- System Information Technology
- Transition Out (Optional Task)

Detailed descriptions of specific tasks are provided in Section 5 – *Specific Tasks and Deliverables*.

1.2 Background

HUD's Federal Housing Administration (FHA) administers the single family mortgage insurance program. FHA insures approved lenders against the risk of loss on loans they finance for the purchase, and in some instance rehabilitation, of single family homes. When an FHA insured loan goes into default, the lender is required to evaluate each defaulted borrower for loss mitigation, and if loss mitigation is not feasible, the lender may proceed to foreclosure. After foreclosure, the lender conveys the foreclosed property to HUD and files a claim for insurance benefits.

The Office for Single Family Asset Management (OSFAM) is responsible for developing and implementing policies for mortgage servicing, claims, and property disposition that helps FHA assist homeowners in avoiding foreclosure whenever possible while mitigating losses to the Mutual Mortgage Insurance Fund (MMIF). To support its goal and mission, OSFAM uses the Single Family – Data Analysis and Reporting Tool (SF-DART / P377) to manage its day-to-day operations, monitor loan servicing activities of all FHA approved servicers, and assist with managing FHA portfolio and evaluating risk to the MMIF. OSFAM requires the BSP to provide support services to deliver secure

and user-friendly web-based applications compliant with HUD requirements to assist the Department, FHA Mortgagees, and borrowers.

SF-DART / P377 is an integrated analytics and Business Intelligence (BI) web-based application used to extract, mine, and stratify data from various HUD data repositories and other appropriate sources including the Single-Family Housing Enterprise Data Warehouse (SFHEDW) that stores information and historical data relating to approximately 8 million active insured Single-Family loans. SF-DART is also used for ad hoc report development and geo mapping capabilities to analyze and manage FHA single family insured loan data across space and time. Additionally, HUD intends to enable lenders to collect data, create reports, develop, and run queries, and monitor their reporting and performance in accordance with Tier Ranking System II Servicer Narrative.

The Contractor provides database and programming administration, backup processing, hardware and software acquisition, support, and maintenance. The Contractor provides administrative and security rights and access to the environments via the web portal or application. The Contractor provides customer support to assist and provide training to HUD users.

1.3 Constraints

The services identified in this PWS will adhere to the rules, regulations, laws, standards, and conventions identified by HUD and Federal Government. All HUD Handbooks, Forms, Housing Notices, Mortgagee Letters, and Federal guidelines are available on HUD's Client Information Policy Systems (HUDCLIPS) at: https://www.hud.gov/hudclips

Document Number	Title & URL	Released	Mandatory/ Advisory
Pub. L. 113-283, 44 USC §3551–3558	The Federal Information Security Modernization Act (FISMA) of 2014 https://www.govinfo.gov/content/pkg/CRPT-113srpt256/pdf/CRPT-113srpt256.pdf	2014	M
44 USC §3601 et seq.	E-Government Act of 2002 https://www.govinfo.gov/content/pkg/USCODE-2010-title44/pdf/USCODE-2010-title44-chap36.pdf	2002	M
Pub. L. 111-352, 31 USC §1101	GPRA Modernization Act of 2010 (GPRAMA) https://www.congress.gov/111/plaws/publ352/PLAW-111publ352.pdf	2010	M
Pub. L. 104-106, 40 USC §1401 et seq.	Information Technology Management Reform Act of 1996 (Clinger-Cohen Act) https://www.govinfo.gov/content/pkg/USCODE-1998-title40/pdf/USCODE-1998-title40-chap25.pdf	1996	M
31 USC § 9101 ET SEQ.	Government Corporation Control Act https://www.govinfo.gov/content/pkg/USCODE-2008-title31/pdf/USCODE-2008-title31-subtitleVI-chap91.pdf	1948	M
	HUD Reform Act, amending the National Housing Act	1989	M

Document Number	Title & URL	Released	Mandatory/ Advisory
Pub. L. 101-235, 12 USC 1709(f-16)	https://www.govinfo.gov/content/pkg/USCODE-2011-title12/pdf/USCODE-2011-title12-chap13-subchapII-sec1709.pdf		
Pub. L. 105-277 (112 STAT. 2681-749-751), 44 USC §3504	Government Paperwork Elimination Act https://www.govinfo.gov/content/pkg/PLAW-105publ277/pdf/PLAW-105publ277.pdf https://www.govinfo.gov/content/pkg/USCODE-2008-title44/pdf/USCODE-2008-title44-chap35-subchapI-sec3504.pdf	1998	M
Pub. L. 105-220, 29 USC 701 et seq.	Section 508 of the Rehabilitation Act of 1998 https://www.govinfo.gov/content/pkg/PLAW-105publ220/pdf/PLAW-105publ220.pdf	1998	M
Pub. L. 104-134, 31 USC §3701 et seq.	Debt Collection Improvement Act of 1996 https://www.govinfo.gov/content/pkg/USCODE-2010-title31/pdf/USCODE-2010-title31-subtitleIII-chap37.pdf	1996	M
Pub. L. 113-101, 31 USC §3716(c)(6)	Digital and Transparency Act of 2014 https://www.govinfo.gov/content/pkg/PLAW-113publ101/pdf/PLAW-113publ101.pdf	2014	M
Pub. L. 97-177, 31 USC §3901 et seq.	Prompt Payment Act https://www.govinfo.gov/content/pkg/USCODE-2024-title31/pdf/USCODE-2024-title31-subtitleIII-chap39-sec3901.pdf	1982	M
Pub. L. 112-248, 31 USC§3321	Improper Payments Elimination and Recovery Improvement Act of 2012 https://www.govinfo.gov/content/pkg/PLAW-112publ248/pdf/PLAW-112publ248.pdf	2012	M
HSPD-12	Policy for a Common Identification Standard for Federal Employees and Contractors, Homeland Security Presidential Directive-12 https://www.dhs.gov/homeland-security-presidential-directive-12	2004	M
NIST Special Publication 800 Series	NIST Special Publications (800 Series) https://csrc.nist.gov/publications/sp	Latest Version	M
NIST AI RMF Playbook	NIST AI Risk Management Framework (RMF) Playbook https://airc.nist.gov/docs/AI_RMF_Playbook.pdf	Latest Version	A
GAO/AIMD-00-33	Information Security Risk Assessment Practices of Leading Organizations https://www.gao.gov/assets/aimd-00-33.pdf	Nov 1999	A
IEEE 730-2026	IEEE Standard for Software Quality Assurance Processes https://standards.ieee.org/ieee/730/10854/	Latest Version	M
IEEE 828-2012	IEEE Standard for Configuration Management in Systems and Software Engineering	Latest Version	M

Document Number	Title & URL	Released	Mandatory/ Advisory
	https://standards.ieee.org/ieee/828/5367/		
IEEE 830-1998	IEEE Recommended Practice for Software Requirements Specifications https://standards.ieee.org/ieee/830/1222/	Latest Version	M
IEEE 1012-2016	IEEE Standard for Systems and Software Verification and Validation https://standards.ieee.org/ieee/1012/5609/	Latest Version	M
IEEE 16326-2019	ISO/IEC/IEEE International Standard Systems and Software Engineering--Life Cycle Processes--Project Management https://standards.ieee.org/ieee/16326/6769/	Latest Version	M
IEEE 12207-2017	Systems and software engineering -- Software life cycle processes https://standards.ieee.org/ieee/12207/5672/	Latest Version	M
IEEE 15288-2023	ISO/IEC/IEEE International Standard - Systems and software engineering -- Systems life cycle processes https://standards.ieee.org/ieee/15288/10424	Latest Version	M
IEEE 16326-2019	ISO/IEC/IEEE International Standard Systems and Software Engineering--Life Cycle Processes--Project Management https://standards.ieee.org/ieee/16326/6769/	Latest Version	M
IEEE 23026-2023	ISO/IEC/IEEE International Standard - Systems and software engineering - Engineering and management of websites for systems, software, and services information https://standards.ieee.org/ieee/23026/10425/	Latest Version	M
IEEE 29148-2018	Systems and software engineering -- Life cycle processes -- Requirements engineering https://standards.ieee.org/ieee/29148/6937/	Latest Version	M
IEEE 42010-2007	ISO/IEC Standard for Systems and Software Engineering - Recommended Practice for Architectural Description of Software-Intensive Systems https://standards.ieee.org/ieee/42010/4228/	Latest Version	M
HUD Handbook 1325.01	Privacy Act Handbook https://www.hud.gov/sites/dfiles/OCHCO/documents/1325.1admnh.pdf	Latest Version	M
HUD Handbooks	Chief Information Officer Handbooks https://www.hud.gov/hudclips/handbooks/cio	Latest Version	M
HUD Handbook 2400.25	Information Technology Security Policy https://www.hud.gov/hudclips/handbooks/cio#cio3	Latest Version	M
HUD Handbook 3255.1	Enterprise Architecture Policy https://www.hud.gov/sites/dfiles/OCHCO/documents/32551CIOH.pdf	Latest Version	M
HUD Enterprise Architecture	Enterprise Architecture Roadmap https://www.hud.gov/stat/cio/new-ea	Latest Version	A
	HUD Policy for IT Project Planning and Management (PPM)		M

Document Number	Title & URL	Released	Mandatory/ Advisory
HUD Handbook 3410.1	https://www.hud.gov/sites/documents/34101cioh.pdf	Latest Version	
Tier Ranking System (TRS & TRS II)	Tier Ranking System (TRS & TRS II) https://www.hud.gov/program_offices/housing/sfh/nsc/trsovrvw Servicer Narrative https://www.hud.gov/sites/dfiles/SFH/documents/spsnarrative.pdf	Latest Version	M
Section 508	HUD Digital Accessibility Policy https://www.ecfr.gov/current/title-36/chapter-XI/part-1194	Latest Version	M
Artificial Intelligence (AI)	AI@HUD Technical Requirements https://www.hud.gov/sites/default/files/Main/documents/AITechnicalRequirements.pdf	Latest Version	A

1.3.1 Project Planning and Management

All HUD IT projects, including all information systems acquired, developed, enhanced, or maintained shall follow the policy, procedures, standards, and guidelines set forth within the IT Management Framework using the Project Planning and Management (PPM) Life Cycle located at HUD's PPM Life Cycle Website: https://www.hud.gov/stat/cio/ppmv20

PPM was designed based on the best practices from Capability Maturity Model Integration (CMMI) for systems development and Poko for project management. While at the foundation, PPM is designed as a Waterfall methodology, HUD encourages tailoring the PPM to use the many modern solution development methodologies available to enable planning, development and delivery of useable functionality within 6 – 9-month increments.

Contractors are encouraged to propose a preferred methodology whether their solution(s) are for custom development, including prototypes or pilots, Commercial Off the Shelf (COTS) configuration, or Software as a Services. Working with the HUD Project Manager(s), the Contractor will tailor PPM to take advantage of the contractor proposed expertise in using other methodologies in a manner that will provide HUD with the best value and address all work necessary for successful project completion, on time, within budget, and delivering intended functionality.

The decisions of PPM tailoring are captured in the Project Tailoring Agreement (PTA), which documents the specific agreement for creating, combining, referring, or omitting specific artifacts applicable to the project, as well as adjusting project control gate reviews to be consistent with the tailoring. All tailoring of PPM must be approved by HUD. As a default, any project without an approved project tailoring agreement is required to follow all PPM phases and artifacts as presented.

1.3.2 Audit Record Retention

Electronic records shall be managed in accordance with 36 CFR 1236.20 ***&*** 1236.22 (ref. a), including but not limited to capabilities such as those identified in:

- DoD STD-5015.2 V3 (ref. b), Electronic Records Management Software Applications Design Criteria Standard,
- NARA Bulletin 2008-05, July 31, 2008, Guidance concerning the use of e-mail archiving applications to store e-mail (ref. c),
- NARA Bulletin 2010-05 September 08, 2010, Guidance on Managing Records in Cloud Computing Environments (ref 8).

1.3.3 Identification and Authentication (Organizational Users) Multifactor Authentication

The Contractor shall implement the solution to comply with HUD approved multi-factor authentication methods.

1.3.4 Sensitive Information Storage

Sensitive but Unclassified (SBU) information, data, and equipment used to store or transmit SBU data will be made available only to authorized personnel on a Need-To-Know basis. The Contractor shall ensure that appropriate administrative, technical, and physical safeguards are established to ensure the security and confidentiality of this information, data, and/or equipment is properly protected.

When no longer required, this information, data, and/or equipment shall be returned to Government control, destroyed, or held until otherwise directed. Destruction of items shall be accomplished by following NIST Special Publication 800-88, *Guidelines for Media Sanitization*.

Disposition of all data will be at the written direction of the Contracting Officer's Representative (COR). This may include documents returned to Government control, destroyed, or held as specified until otherwise directed. Items returned to the Government shall be hand carried or sent by certified mail to the COR.

1.3.5 Enterprise Architecture Roadmap

All HUD IT systems shall follow the policy, procedures, standards, and guidelines set forth by the Office of the Chief Technology Officer (OCTO) within the Enterprise Architecture (EA) Roadmap located at: https://www.hud.gov/sites/default/files/OCIO/documents/EA-Roadmap.pdf

The EA Roadmap defines a standardized, cloud-agnostic infrastructure foundation that enables secure, scalable, and resilient application delivery across HUD environments. The infrastructure layer is anchored in a hybrid, multi-cloud strategy leveraging Amazon Web Services (AWS) and Azure. The decisions of EA tailoring or deviations are governed by the Technical Review Committee in coordination with OCTO documenting requirements within HUD infrastructure.

1.4 Non-Personal Services

The Government will neither supervise Contractor employees nor control the method by which the Contractor performs the required tasks. Under no circumstances shall the Government assign tasks to, or prepare work schedules for, individual Contractor employees. It shall be the responsibility of the Contractor to manage its employees and to guard against any actions that are of the nature of personal services or give the perception of personal services.

If the Contractor believes that any actions constitute, or are perceived to constitute personal services, it shall be the Contractor's responsibility to notify the Contracting Officer (CO) immediately. These services shall not be used to perform the work of a policy, decision making or management nature, i.e., inherently Government functions. All decisions relative to programs supported by the Contactor shall be the sole responsibility of the Government.

1.5 Period of Performance

The period of performance shall be one base period of 12-month and four (4) 12-month option periods.

1.6 Place of Performance

The services to be performed under this contract shall be performed at the Contractor’s facility.

1.7 Hours of Operation

The Contractor shall provide Help Desk services between the hours of 7:00 a.m. to 7:00 p.m. CST Monday thru Friday. HUD will not be available during scheduled holidays, inclement weather, weekends, and after duty hours.

The Contractor shall maintain an adequate workforce for the uninterrupted performance of all tasks defined within the contract when the Government facility is not closed for the above reasons. When hiring personnel, the Contractor shall keep in mind that the stability and continuity of the workforce is essential.

1.8 Special Qualifications

The Contractor shall hold, as of the date of contract award and maintain throughout performance, a current and valid Capability Maturity Model Integration (CMMI) Maturity Level 3 (Defined) Benchmark or higher (or Sustainment) appraisal rating covering the organizational unit that will perform the work under this contract. As evidence, the Contractor shall provide the appraisal record published in the Published Appraisal Results System (PARS), administered by ISACA (CMMI Institute), including the PARS appraisal ID and expiration date or, if the appraisal is not published in PARS, an official appraisal record issued by ISACA/the Lead Appraiser identifying the appraisal ID, rating, and expiration date.

1.9 Post Award/Kickoff Conference

The Contractor shall attend any post award conference convened by the contracting activity or contract administration office in accordance with HUD Acquisition Regulation (HUDAR) clause 2452.237-79 - Post Award Conference. The Contracting Officer will notify the Contractor of the specific date, location, and agenda within five business days after contract award.

1.10 Status Meetings

The CO, COR, and other Government personnel, as appropriate, may meet periodically with the Contractor to also review Contractor performance, requirement status, etc. At these meetings, the Contracting Officer will apprise the Contractor of how the Government views the Contractor's performance or progress of the requirement. The Contractor will apprise the Government of problems, if any, being experienced. Appropriate action shall be taken to resolve outstanding issues. These meetings shall be at no additional cost to the Government. Post Award Conference and subsequent meetings may be held via teleconference at the Contracting Officer's discretion.

1.11 Contractor Travel

Prior to travel, the Contractor shall coordinate with and receive Government authorization from the COR for all travel. Reimbursement of travel costs will be in accordance with the Federal Travel Regulation and in accordance with FAR 31.205-46.

1.12 Transition In

The Contractor shall, upon the Contracting Officer's written notice, furnish Transition In services as required. As a successor, the Contractor shall have sufficient personnel on board during the 180 calendar day Transition In period to ensure a smooth transition with the incumbent Contractor. The Contractor shall provide an orderly transition of work acceptance and accomplishment such that any impact to the program is minimized. During the Transition In period, the Contractor shall become familiar with the requirements in order to commence full performance of services by the end of the contract Transition In period.

Additional Transition In tasks are located in Section 5.

1.13 Transition Out

To minimize any decrease in productivity and to prevent possible negative impacts on additional services, the Contractor shall have sufficient personnel on board during the 150 calendar day Transition Out period. The incumbent Contractor shall ensure a smooth transition with the successor Contractor during the Transition Out period, prior to completion of contractual performance. The incumbent Contractor shall aid the successor in the development of plans, procedures, and methods for the assumption of all on going work. The Contractor shall provide an orderly transition of work acceptance and accomplishment, such that full control by the successor contractor is achieved by the end of the new contract Transition In period.

Additional Transition Out tasks are located in Section 5.

2 Definitions and Acronyms

2.1 Definitions

Business Day – Every official day of the week which are days between and including Monday to Friday. This does not include federal holidays and weekends.

Contractor - A supplier or vendor awarded a contract to provide specific supplies or service to the Government. The term used in this contract refers to the prime.

Contracting Officer (CO) - A person with authority to enter into, administer, and/or terminate contracts and make related determinations and findings on behalf of the Government. Note: the only individual who can legally bind the Government.

Contracting Officer's Representative (COR) **–** An employee of the Government appointed by the Contracting Officer to perform contract administration activities regarding technical issues. This individual has authority to provide technical direction to the Contractor if direction is within the scope of the contract, does not constitute a change, and has no funding implications. This individual does NOT have the authority to change the terms and conditions of the contract.

Defective Service - A service output that does not meet the standard of performance associated with the Performance Work Statement.

Government Furnished Property (GFP) - Government-furnished property is property in the possession of, or directly acquired by, the Government and subsequently furnished to the Contractor for performance of a contract. Government-furnished property includes, but is not limited to, spares and property furnished for repair, maintenance, overhaul, or modification. Government-furnished property also includes contractor-acquired property if the contractor-acquired property is a deliverable under a cost contract when accepted by the Government for continued use under the contract.

Performance Standard - The Contractor's performance level required by the Government.

Performance Work Statement (PWS) - A statement of work for performance-based acquisitions that describe the required results in clear, specific, and objective terms with measurable outcomes.

Quality Assurance (QA) - Policies and procedures adopted by the Government to ensure that supplies and services acquired under Government contracts conform to the contracts quality requirements.

Quality Assurance Surveillance Plan (QASP) - A plan describing how the agency will survey, observe, test, sample, evaluate and document the Contractor's performance in meeting critical performance standards identified in the contract.

Quality Control (QC) - All necessary measures taken by the Contractor to ensure that the quality of an end product of service shall meet contract requirements.

Subcontractor - Any person, other than the prime Contractor, who offers to furnish or furnishes any supplies, material, equipment, or services of any kind under a prime contract or a subcontract entered into in connection with such a prime contract, and any person who offers to furnish or furnishes general supplies to the prime contractor or a higher tier subcontractor. The Government does not have privity of contract with a subcontractor.

2.2 Acronyms

AI – Artificial Intelligence
ATO – Authorization to Operate
AQL - Acceptable Quality Level
AWS – Amazon Web Services
BI – Business Intelligence
BSP – Business Service Provider
CBSA – Core Based Statistical Area
CCB – Change Control Board
CI/CD – Continuous Integration and Continuous Delivery
CISO – Chief Information Security Officer
CMMI – Capability Maturity Model Integration
CMP – Continuous Monitoring Plan
CO – Contracting Officer
COOP – Continuity of Operations Plan
COR – Contracting Officer's Representative
COTS – Commercial Off the Shelf
CST – Central Standard Time
DR – Disaster Recovery
EA – Enterprise Architecture
ETL – Extract, Transform, and Load
FAR – Federal Acquisition Regulation
FedRAMP – Federal Risk and Authorization Management Program
FHA – Federal Housing Administration
FHAC – Federal Housing Administration Connection
FIPS – Federal Information Processing Standards
FISCAM – Federal Information System Controls Audit Manual
GFE – Government Furnished Equipment
GFP – Government Furnished Property
HECM – Home Equity Conversion Mortgage
HITS – HUD's Information Technology Service
HOC – Home Ownership Center
HQ – Headquarters
HUD – U.S. Department of Housing and Urban Development
HUDAR – HUD Acquisition Regulations
ICD – Interface Control Document

IP – Implementation Plan
ISCM – Information Security Continuous Monitoring
IT – Information Technology
MMI – Mutual Mortgage Insurance
MWP – Management Work Plan
MSA – Metropolitan Statistical Area
NARA – National Archives and Records Administration
NIST – National Institute of Standards and Technology
NIST SP – National Institute of Standards and Technology Special Publications
OA – Ongoing Authorization
OCTO – Office of the Chief Technology Officer
OMB – Office of Management and Budget
OSFAM – Office of Single Family Asset Management
PII – Personal Identifiable Information
PIV – Personal Identity Verification
PKI - Public Key Infrastructure
POA&M – Plan of Action and Milestones
POC – Point of Contact
PPM – Project Planning and Management
PRS – Performance Requirement Summary
PTA – Project Tailoring Agreement
PWS – Performance Work Statement
QA - Quality Assurance
QAD – Quality Assurance Division
QASP – Quality Assurance Surveillance Plan
QC – Quality Control
QCP – Quality Control Plan
RMF – Risk Management Framework
ROB – Departmental Rules of Behavior
SA&A – Security Assessment & Authorization
SBU – Sensitive but Unclassified
SF-DART – Single Family Data Analysis and Reporting Tool
SFDMS – Single Family Default Monitoring System
SFHEDW – Single Family Housing Enterprise Data Warehouse
SOC – Security Operations Center
SSP – System Security Plan
ST&E – Security Test and Evaluation
TDD – Telecommunications Device for the Deaf
TRS II – Tier Ranking System II
UAT – User Acceptance Testing
UI – User Interface
URL – Uniform Resource Locator
US-CERT – United States Computer Emergency Readiness Team
VPN – Virtual Private Network

3 Government-Furnished Property and Services

The Contractor shall ensure accurate control and accountability of all Government-Furnished Property in accordance with the terms and conditions of this contract. The Government will furnish, at no cost to the Contractor, the GFP shown below.

3.1 Government Services

The Government will provide IT resources for contractor use in performance of this contract:

- Training system to complete Annual Security Awareness Training
    - Required for all contractors issued HUD user credentials that use, operate, or manage a federal computer system.
- Web Hosting Environment: HUD will provide access to a cloud-based web hosting environment, including,
    - Server infrastructure (development, testing, staging, and production environments, as applicable)
    - Database services
    - SSL/TLS certificates
    - Domain and DNS management
    - Backup and disaster recovery infrastructure
    - Identity Services
- Project Management support systems (e.g., Atlassian's Jira and Confluence) access will be provided by HUD as needed.

3.2 Facilities

Facilities will not be provided.

3.3 Equipment

HUD will issue GFE laptops for the Contractor staff for appropriate access to HUD's software development, test, and production environments. All GFE must be used to support performance of official Government business in support of this PWS and must be returned upon separation. All GFE will remain the property of the Government.

The Contractor must not procure or implement duplicative systems that replicate the capabilities of Government-furnished platforms without prior written approval from the Government.

3.4 Materials and Information

See HUDAR 2452.227-70, Government Information.

The Government shall provide copies of required materials electronically. All materials will remain the property of the Government and will be returned to the COR upon request or at the end of the contract period.

3.5 Quality Assurance (QA)

The Government shall evaluate the Contractor's performance under this contract in accordance with the Quality Assurance Surveillance Plan (QASP). This plan is primarily focused on what the Government must do to ensure that the Contractor has performed in accordance with the performance standards. It defines how the performance standards will be applied, the frequency of surveillance, and the minimum acceptable quality level.

4 Contractor-Furnished Items and Services

The Contractor shall furnish, all facilities, equipment, and supplies required to perform the work under this contract that are not listed under Government-Furnished Property and Services.

4.1 Facilities

The Contractor shall furnish all facilities required to perform the services identified within the PWS.

4.2 Equipment

The Contractor shall furnish all equipment including necessary licenses required to perform the services identified within the PWS.

4.3 Materials

The Contractor shall furnish all materials required to perform the services identified within the PWS.

4.4 Contractor Responsibilities

The Contractor shall only conduct business with designated Government personnel listed as points of contact (POCs). Names of authorized personnel shall be provided to the Contractor by the Government, in writing, and updated as necessary throughout the contract period of performance.

Government records, copies of original results and reports, verified original data, corrected data, and corrected supporting final reports which are maintained by the Contractor remain the property of the Government. These files and results must be surrendered to the COR.

4.5 Contractor Personnel

See HUDAR clause 2452.237-70 - Key Personnel in the Key Personnel section of the contract.

The Contractor shall provide the specified Key Personnel that are essential to the work being a performed under this contract. The Contractor shall provide a Contract/Project Manager who shall be the main contact and responsible for the performance of work. An alternate shall also be designated to act in the absence of the Contract/Project Manager. These Contractor personnel (main point of

contact and alternate point of contact) are considered Key Personnel by the Government. The Contract/Project Manager and alternate shall have full authority to act on all contact matters relating to daily operations of this contract. Accordingly, at a minimum, the points of contact shall have the technical knowledge of the requirement and be in the position to receive assignment, guidance, and direction from the COR and CO per HUDAR 2452.237-73, "Conduct of Work and Technical Guidance" and shall be allocated enough hours to the requirement to ensure successful performance. These points of contact shall each be an employee of the Contractor. An employee of a subcontractor is not acceptable for either of these positions. The Contract/Project Manager or alternate shall be available between the hours of 7:00 am to 7:00 pm CST, Monday through Friday, except Federal Holidays or when the Government facility is closed for administrative reasons.

4.6 Identification of Contractor Employees

All Contractor/subcontractor personnel shall wear company picture identification badges to distinguish themselves from Government employees. When conversing with Government personnel during business meetings, over the telephone, or via electronic mail, Contractor/subcontractor personnel shall identify themselves as such to avoid situations arising where sensitive topics might be better discussed solely between Government employees.

Contractors/subcontractors shall identify themselves on any attendance sheet or any coordination documents they may review. Electronic mail signature blocks shall identify their company affiliation. Where practicable, Contractor/subcontractors occupying collocated space with their Government program customer shall identify their workspace area with their name and company affiliation, or at a minimum, "Contractor" after name.

5 Specific Tasks

The Contractor shall provide services to support the secure and remotely accessible SF-DART web application, including its operation & maintenance. The Contractor shall be responsible for transforming raw data extracted from SFHEDW into actionable, retrievable information and developing a front-end user interface for data collection and processing.

5.1 Transition In

The Transition In period is 180 calendar days from the Contract effective date. The Contractor shall deliver and demonstrate a fully operational web-based SF-DART system on or before the 180*th* calendar day from the Contract effective date. The Contractor shall complete all requirements to achieve an Authorization to Operate (ATO) prior to the completion of the Transition In period. The ATO process can take approximately six (6) months. The Contractor shall complete Transition In activities including adapting physical and system infrastructure and migrating existing data into the new environment.

The Contractor shall attend training or knowledge transfer sessions provided by the incumbent. The Contractor shall submit a list of attendees to the COR for approval no later than seven (7) business days prior to the scheduled training date. The Contractor shall submit to the COR a complete

Personal Identity Verification (PIV) Application prior to attending the training for each attendee. After this initial training, the training of additional employees is the responsibility of the Contractor.

Throughout the Transition In period, the Contractor shall keep the COR informed on the transition in progress via weekly summary reports, meetings, and/or telephone calls, as needed. During the Transition In period, the Contractor shall accomplish the following milestones.

- The Contractor shall submit complete PIV packages within five (5) business days after post award/kick-off to the COR. The package will include the documents listed below:
    - Departmental Rules and Behaviors (ROB)
    - HUD provided non-disclosure form

- Within 10 business days after receipt of PIV cards, all Contractor personnel shall complete the Annual Security Awareness Training. The Contractor shall provide a copy of the certificate of completion to the COR.

- At the post award/kickoff conference the Contractor shall provide and present the draft Transition In plan. The Transition In plan shall include:
    - A thorough assessment of the current systems and processes
    - Identifying key stakeholders who will form the transition in team
    - Develop a detailed transition roadmap that describes the Contractor's required ramp-up time, milestone, and approach to initiating project execution including staffing and training for project start.
    - Map the dependencies among deliverables specified in the PWS and provide a resource-loaded Work Breakdown Structure (WBS) and timeline for each deliverable and its impacts on the others
    - Include site-specific actions that clearly define the processes, methodologies, schedules, milestones, risk analysis and data requirements. Provide a detailed operational readiness checklist which will be used by the Government for transition. Identify potential risks during the Transition In period and propose appropriate mitigation strategies.

- Within five (5) business days after receipt of COR's comments, the Contractor shall submit the final transition in plan. Upon acceptance of the finalized transition in plan the Contractor shall meet all milestones identified within the Transition In plan, including milestones identified in the transition roadmap.

<u>Performance Standards</u>

a) Standard: Submit complete PIV packages within five (5) business days after post award/kick-off meeting
   AQL: Zero deviation
b) Standard: Within ten (10) business days after receipt of the PIV card each Contractor employee shall complete the Annual Security Awareness Training
   AQL: Zero deviation
c) Standard: Draft transition in plan shall be delivered and presented at the post-award/kick off meeting

AQL: Zero deviation

d) Standard: Deliver the final transition plan no later than five (5) business days after receipt of the COR's comments.
AQL: Zero deviation

Deliverables

A001 Completed PIV package
A002 Completion Certificate of Annual Security Awareness Training
A003 Draft Transition In Plan
A004 Final Transition In Plan

5.1.1 System Readiness

The Contractor shall support the SF-DART system according to HUD's IT infrastructure and security requirement listed throughout this PWS within thirty (30) calendar days from the effective date of the contract.

The Contractor shall obtain all licenses, permits and qualifications required to transact business in the contract and implement the information technology and support necessary to perform the requirements contained in this PWS.

The Contractor shall provide equipment and software that meet HUD's system requirements. All personal computer configurations shall be in accordance with HUD's personal computer system configurations beginning on the effective date of the contract.

The Contractor shall provide support services to assist HUD IT resource in the implementation and execution of the EA Roadmap.

The Contractor shall convert and migrate all application and system code in compliance with Section 508 requirements including TRS II and existing databases from the existing environment to the newly established and secure environment.

Performance Standard

a) Standard: Establish HUD's IT infrastructure and security requirement within thirty (30) calendar days from the effective date of the contract.
AQL: Zero deviation

5.1.2 User Acceptance Testing

The User Acceptance Testing of the system shall be conducted in the Testing and Staging environment. The Contractor shall deliver the UAT results to the COR for review and acceptance to demonstrate a high likelihood of success for delivery of the system identifying any deficiencies evidenced in documentation and as a result user acceptance testing. The Contractor shall provide UAT instructions, including testing approach, UAT test results and validation to assist users during UAT period as necessary within three (3) business days. With the COR's approval, the Contractor shall track and resolve all defects and deficiencies found within three (3) business days.

The Contractor shall validate all system functionality and complete configuration of the system infrastructure in accordance with HUD IT security requirements.

The Contractor shall prepare for system conversion and provide full implementation services after UAT has been completed and approved by the COR.

Performance Standards

a) Standard: Provide UAT instructions, including testing approach, UAT test results and validation within three (3) business days.
   AQL: Zero deviation
b) Standard: Track and resolve all defects and deficiencies found within three (3) business days.
   AQL: Zero deviation

Deliverables

A005 UAT Instructions
A006 UAT Results

5.1.3 Training of the System

The Contractor shall provide six (6) training classes, for a duration of up to four (4) hours per class but not less than one (1) hour per training. The training shall take place sixty (60) calendar days prior to go live and no later than thirty (30) calendar days after going live. At a minimum, the training shall cover logging in and navigation; core functionality and workflows; and system functionality based on user roles and permissions.

The Contractor shall provide a training plan to the COR for approval no later than ninety (90) calendar days after the effective date of the contract. At a minimum the training plan shall include: the training schedule, training agenda, and class duration.

The Contractor shall provide User Manual, Training Materials, a Quick Reference Guide, and User Manual to all training participants three (3) calendar days prior to the scheduled training.

The Contractor shall provide technical training to assist HUD resource to support the SF-DART developed and used during Business & IT Modernization migration.

The Contractor shall record and provide a video training for future use. The Contractor shall provide the recoded training video no later than 20 calendar days.

The Contractor shall provide a list of participants to the COR at the completion of each training class. The list shall include: attendee's contact information, role, and date of training.

Performance Standards

a) Standard: Six (6) training classes shall be provided during the period of sixty (60) calendar days prior to going live and no later than thirty (30) calendar days after going live.
   AQL: Zero deviation

b) Standard: Training plan shall be delivered to COR no later than ninety (90) calendar days after effective date of the contract.
AQL: Zero deviation
c) Standard: User Guide including training materials, quick reference guide, and user manual shall be available to all participants no later than three (3) calendar days prior to the scheduled training.
AQL: Zero deviation
d) Standard: Recorded training video shall be available to the COR no later than 20 calendar days.
AQL: Zero deviation
e) Standard: A list of all participants shall be provided to the COR at the completion of each training.
AQL: Zero deviation

Deliverables
A007 Training Plan
A008 Training Materials
A009 Quick Reference Guide
A010 User Manual
A011 Recorded Training Video
A012 List of participants at the completion of each Training

5.1.4 Parallel Conversion

The Contractor shall perform a parallel conversion to migrate, convert, and upgrade the existing database infrastructure from the incumbent Contractor to the new environment during the conversion period. The parallel conversion period shall begin from the effective date of the contract through completion of the Transition In.

5.1.5 Completion of System Conversion

Unless otherwise notified by the COR, all functions of the SF-DART system configuration shall be completed and fully operational no later than 180 calendar days from the effective date of contract and ready to go live by the next calendar day. The Contractor shall demonstrate to the COR that the SF-DART system is fully operational no later than 14 calendar days prior to the expiration of the transition in period. This demonstration shall include all web-applications, reports, functions and connectivity.

Within thirty (30) calendars days following the completion and acceptance of the Transition In period, the Contractor shall submit to the COR a Conversion Acceptance Memo. At a minimum, the Conversion Acceptance Memo shall outline the following:

- Notification and evidence of the live systems,
- Status of the system,
- Accomplishments,
- Obstacles,
- Significant changes and revisions,

- Risks,
- Corrected action (if any), and
- All other related concerns and issues during the Transition In period.

Performance Standards

a) Standard: Demonstrate to the COR that the system including all web-applications, reports, and functions are fulling functioning no later than 14 calendar days prior to the expiration of the Transition In period.
   AQL: Zero deviation
b) Standard: System including all web-applications, reports, and functions shall be live and fully operational at 180 calendar days from the effective date of the contract.
   AQL: Zero deviation
c) Standard: Submit to the COR a Conversion Acceptance Memo Within thirty (30) calendars days following the completion and acceptance of the Transition In period and successful completion of all Transition In activities.
   AQL: Zero deviation

Deliverables

A013 Access to fully functional SF-DART System
A014 Conversion Acceptance Memo

5.2 Project Management, Support, and Reporting

5.2.1 Project Plan

The Contractor shall thoroughly review, validate, and update, and address all existing support documents and/or coding of internal business rules of the new system. The Project Plan shall consist of the following:

A. Implementation Plan (IP)
B. Management Work Plan (MWP)
C. Continuity of Operations Plan (COOP)
D. Configuration Management Plan

The Contractor shall submit the draft Project Plan to the COR for review and approval not later than twenty (20) business days from the effective date of the contract. The Contractor shall revise and resubmit the documents based on the result of review.

The Contractor shall submit final Project Plan to the COR for approval no later than five (5) business days from the receipt of the COR's comments. The final Project Plan shall incorporate COR's comments and revisions to reflect the current state of the system to ensure accuracy, compliance, and completeness.

The Contractor shall notify the COR of any pending updates to the Project Plan. The Contractor shall provide the revised Project Plan to the COR for approval no later than five (5) business days of any change.

Annually the Contractor shall update and deliver the Project Plan for acceptance no later than thirty (30) business days from the effective date of each option period, assuming the option period is exercised.

Upon acceptance of the Project Plan, the Contractor shall execute all components of the Project Plan. Project Plan may be revised and updated upon COR's request.

5.2.1.1 Implementation Plan (IP)

The Implementation Plan (IP) provides an overview of activities, schedules, resources, and support-planning efforts to be employed to accomplish the conversion from the current environment built and maintained by the incumbent Contractor to the receiving Contractor. The Contractor shall work closely with the incumbent contractor and the Contracting Officer's Representative (COR) to implement and provide a seamless conversion of the platform.

When Transition In is not needed to convert the system from the existing environment to a new environment, the IP shall reflect the current state of the fully operational system including web-based application, database infrastructure, network information and services within 30 calendar days from the effective date of the contract.

The IP shall clearly describe the conversion strategy including the Contractor's efforts to:

- Review the existing application, platform, website database, and SFHEDW structure including metadata, tables, and attributes to provide a seamless conversion to the new site.
- Evaluate and modify the existing applications, business processes, rules, reports formats and functionality to identify potential revision.
- Prepare and provide a feasible solution for the existing applications, schemas, logic, codes, reports, platforms, and data functionalities for enhancements.
- Apprise the COR in writing explaining systems and implementation issues and provide alternative resolutions for the COR to consider.
- Receive, maintain, and refresh all reports with current data from a monthly refresh while the Transition In is in process.
- Provide an alternate solution to support HUDs need for statistical data and reports while developing the new environment.
- Develop and implement a solution that is compliant with HUD security and IT architecture requirements.

5.2.1.2 Management Work Plan (MWP)

The Contractor shall provide a comprehensive Management Work Plan (MWP) to define their effort and strategy for managing and executing all tasks specified in this contract. The Management Work Plan shall clearly articulate the steps required and detailed the work process to achieve the objectives of the PWS.

The MWP shall include:

- Design, development, testing, and implementation,
- General milestones for project completion,
- Project risks,
- Rationale and allocation of contract resources, and
- Time management schedules and deliverables.

5.2.1.3 Continuity of Operations Plan (COOP)

The Contractor shall provide a detailed COOP that outlines the steps and communication strategy necessary to ensure that all deliverables under the contract proceed without interruption in the case of an emergency or crisis requiring relocation of the Contractor's office and other resources.

At a minimum, the COOP shall include:

- Detailed listing of contract and hosting services,
- Alternative resources, and processes,
- Steps to immediately relocate offices and personnel,
- Disaster recovery plan,
- Test plan (in the case of the pandemic or any possible resurgence), and
- Any other pertinent information necessary to support the BSP in an emergency/crisis.

At a minimum, the COOP shall address:

- Subcontractor default,
- Employee strike,
- Civil disorder,
- Power outages,
- Weather emergency,
- Global pandemic or any possible resurgence,
- Natural disaster,
- Computer viruses,
- Information piracy,
- Actual or suspected security breaches, and
- Major equipment or server failure impacting system performance.

5.2.1.4 Configuration Management Plan

The Contractor shall develop and maintain a Configuration Management Plan that establishes the technical and administrative direction of system infrastructure, configuration controls, components, methodology used and related procedures. The Configuration Management Plan shall:

- Identify configuration controls and requirements, document changes, and provide technical information, procedural to protect system's infrastructure from unplanned, unauthorized, or unintended changes,
- Establish a methodology for configuration identification and control of releases and changes to configuration items, and

- Describe the process for maintaining and verifying the completeness and correctness of configuration items throughout the system lifecycle

The Contractor's underlying system architecture (e.g., client-server, thin/rich client, etc.) shall be consistent with HUDs existing and planned standard enterprise architecture (EA) infrastructure and adhere to HUDs Office of the Chief Information Officer (OCIO) and Office of Information Technology Security (OITS) principles and used rule-based interfaces to facilitate seamless, event-driven transactions (e.g., via XML or JMS messaging). Interfaces shall be automated and managed via a middleware component so that duplicate data entry is eliminated, and interface code and configuration will be reusable and repeatable, and that the synchronization of data exchanges across the involved systems will be preserved. The Contractor shall operate the development and production sites independently of each other.

Performance Standards

a) Standard: Draft Project Plan shall be submitted to the COR within twenty (20) business days from the effective date of the contract.
   AQL: Zero deviation
b) Standard: Final Project Plan shall be submitted to the COR no later than five (5) business days from the receipt of the COR's comments.
   AQL: Zero deviation
c) Standard: The Project Plan shall be updated and submitted to the COR for approval no later than five (5) business days of any changes.
   AQL: Zero deviation
d) Standard: Project Plan shall be updated annually for the COR's acceptance no later than thirty (30) business days from the effective date of each option period, unless otherwise directed by the COR.
   AQL: Zero deviation

Deliverables

A015 Draft Project Plan
A016 Final Project Plan
A017 Updated Project Plan
A018 Annually Updated Project Plan

5.2.2 Project Management and Administrative Activities

The Contractor shall provide project management and administrative services to facilitate the successful completion of the requirements set forth in this PWS. Project management shall include all activities required to coordinate delivery of all services. Services shall include:

- Project planning, status reporting, and production and resource monitoring
- Quality management
- Communication management to include attending, correspondence, and support meetings
- Technical management
- Operational management
- Schedule management

- Provide corrective actions plan(s)

The Contractor shall coordinate and schedule weekly status meetings with the COR and other designated staff. Additional meetings may be requested by the COR or Contractor as needed.

The Contractor shall submit to the COR:

- Meeting agenda no later than two (2) business days prior to the scheduled meeting.
- Meeting minutes within two (2) business days following the meeting.

Performance Standards

a) Standard: Meeting agenda shall be submitted to the COR no later than two (2) business days prior to each scheduled meeting.
   AQL: One (1) business day deviation
b) Standard: Meeting minutes shall be submitted to the COR no later than two (2) business days after each meeting.
   AQL: Two (2) business days deviation

Deliverables

A019 Meeting Agenda
A020 Meeting Minutes

5.2.3 Monthly Report

The Contractor shall submit a Monthly Report to the COR and post to SF-DART by the fifth (5th) business day of the following month. The Monthly Report shall consist of the following:

A. Progress Report
B. Utilization Report
C. Quality of Service Report

The Monthly Report shall be in a format acceptable to the COR.

5.2.3.1 Progress Report

The Progress Report shall include activities required to coordinate delivery of all services, QC reviews, accomplishments, improvements, performance and system requirements in progress, issues, deficiency, and corrective action plans.

5.2.3.2 Utilization Report

The Utilization Report shall provide operations status that summarizes the performance of the system, applications, servers and website availability, status of issues, technical analysis, and performance of operation and maintenance. The report shall include the following:

- A list of all authorized website users,
- Level of access granted to each user,

- Number of time each user has accessed the system,
- Total time each user spent in the system,
- Dates of when the user has successfully logged in,
- Most recent date the user has successfully logged in,
- Number of times the user has successfully logged in,
- Number of terminated users,
- Date of when users are terminated,
- Number of failed attempts to login,
- Number of terminated, inactive, and active users, and
- Date of when users are terminated, created, password changed, or changes made to user's account.

5.2.3.3. Quality of Service Report

The Quality-of-Service Report shall be based on quantitative data of the websites, web applications, servers, content, and service, to include historical comparable. The report shall include the ability to track trends in website performance by users, sort and summarize calculations by type and/or category (example is Home Ownership Center (HOC), Headquarter (HQ), QAD, Lenders), and other performance metric capabilities.

Performance Standards

a) Standard: Monthly Report shall be submitted to the COR and posted to SF-DART by the fifth (5th) business day of the following month.
   AQL: Zero deviation

Deliverables

A021 Monthly Report

5.2.4 Quarterly Report

The Contractor shall provide a Quarterly Report including a self-evaluation of performance and progress for the evaluation period to the COR no later than ten (10) business days after the end of each calendar quarter.

Performance Standards

a) Standard: Quarterly Self-Evaluation shall be submitted to the COR no later than ten (10) business days after the end of each calendar quarter.
   AQL: Zero deviation

Deliverables

A022 Quarterly Report

5.2.5 Quality Control Certifications

The Contractor shall conduct monthly and quarterly quality control certifications including evaluations, and reviews in accordance with the accepted QC plan. The monthly and quarterly

quality control certification shall provide the government with notification of differences in data counts or percentages as compared to the previous month's reporting. The Contractor shall submit to the COR:

- Monthly certifications by the fifth (5th) business day of the following month.
- Quarterly certifications by the seventh (7th) business day of the following month after the quarter ends.
- The Contractor shall post the monthly and quarterly certification results to SF-DART at the time the certifications are submitted to the COR.

Performance Standards

a) Standard: Monthly quality control certifications shall be submitted to the COR and posted to SF-DART by the fifth (5th) business days of the following month.
   AQL: Zero deviation
b) Standard: Quarterly certification shall be submitted to the COR and posted to SF-DART by the seventh (7th) business day of the following month after the quarter ends.
   AQL: Zero deviation

Deliverables

A023 Monthly Quality Control Certifications
A024 Quarterly Quality Control Certifications

5.2.6 Executive Summary

The Contractor shall provide an Executive Summary fifteen (15) calendar days after the end of the contract base period and annually thereafter assuming the option period is exercised. The executive summary shall synopsize and highlight all the accomplishments of the year, and include obstacles, resolutions, or recommendations to resolve future efforts.

Performance Standard

a) Standard: Executive summary shall be submitted to the COR by the fifteenth (15) calendar day after the end of each contract period.
   AQL: Zero deviation

Deliverable

A025 Executive Summary

5.2.7 System Documents

The initial system documents shall be due to the COR and CO within 180 calendar days from the effective date of the contract. The Contractor shall submit a comprehensive version of each document annually to include all updates not later than thirty (30) calendar days prior to the scheduled end date of current contract period unless otherwise directed by the COR. At any time during the contract term, the Contractor shall be prepared to comment on all questions/concerns regarding the specified document listed in the section to address system issues as they arise. The Contractor shall submit system documents to the COR for review and approval within five (5) business days of any changes. The Contractor shall incorporate COR' s comments and updates to

reflect the current state of the system to ensure accuracy, compliance, and completeness. The systems related documents consist of:

1. Technical Manual
   - The language in the technical manual shall be developed to allow users to understand the business rules and mapping and shall allow HUD to easily reconstruct, transfer, or examine the information sources and structure during a quality assurance review and transition into the planned HUD integration structure.
   - The document shall describe the existing SF-DART business rules, technical analysis and specifications, data, system code mapping elements, processes, procedures, and protocols.
2. Training Material
   - Training Materials shall be specific to each topic or subject.
3. User Manuals
   - User Manuals shall be tailored to each user role within the system.
4. Quick Reference Guide
   - The Quick Reference Guide shall contain information to assist users with accessing and navigating the production system.
5. Functional Requirement Documentation
6. Internal Control Document (ICD)
   - Description is provided in *Data Transfer and System Interface* section.
7. Source Code
   - The Contractor shall create and maintain an online directory to provide an ease of use to identify information and data fields available. The directory, source code or index shall be updated parallel with the Technical Manual, unless a change or modification warrants an expedited update to the existing version.

<u>Performance Standards</u>

a) Standard: Develop and deliver system documents within 180 calendar days from the effective date of the contract.
   AQL: Within 30 calendar days deviation
b) Standard: Submit comprehensive documents annually not later than thirty (30) calendar days prior to the scheduled end date of the current contract period unless otherwise directed by the COR.
   AQL: Zero deviation
c) Standard: Submit comprehensive documents annually not later than fifteen (15) calendar days prior to the scheduled end date of the current contract period unless otherwise directed by the COR.
   AQL: Zero deviation

<u>Deliverables</u>

A026 Training Material
A027 User Manuals
A028 Quick Reference Guide
A029 Technical Manual
A030 Functional Requirement Documentation

A031 Internal Control Document
A032 Source Code

5.3 Data Analytic and Reporting Services

5.3.1 Production Environment

The SF-DART Production Environment contains a current web service, business rules, reports, cubes, and data marts to support the National Servicing Center's operation and allow users to analyze performance of FHA Single Family products and servicing, loss mitigation tools and usage, default and foreclosure data, Agency Priority Goals, and lender's performance.

The Contractor shall refresh production database monthly or weekly at the COR's request. The Contractor shall:

- Extract data from SFHEDW, refresh, and update SF-DART data within three (3) business days of the approval for data extraction or the last required table is updated in SFHEDW,
- Validate and verify updated data for accuracy and completeness,
- Refresh and generate related reports, dashboard, and stored procedures,
- Provide users access to essential reporting elements (counts and rates), and
- Maintain, modify, streamline, and enhance existing process to extract, transform and load data (ETL)

The Contractor shall store, maintain, and provide online access to the current fiscal year plus previous five (5) fiscal years of historical data.

The production and operation data shall not be used in Testing and Staging Environment to comply with applicable HUD policy and guidance.

<u>Performance Standards</u>

a) Standard: Extract data from SFHEDW, refresh, and update SF-DART data within three (3) business days of the approval for data extraction or the last required table is updated in SFHEDW.
   AQL: Two (2) business days deviation
b) Standard: The production refresh completion shall include accurate validation and completeness verification progress.
   AQL: Zero deviation
c) Standard: Provide online access, store and maintain five (5) fiscal years of historical data in addition to the current fiscal year.
   AQL: Zero deviation

<u>Deliverables</u>
A033 Production Refresh

5.3.2 Business Intelligence Reporting Tool

The Contractor shall maintain a business intelligence reporting tool to enable users to modify, create and generate reports that shall be accessible according to user's profiles after Transition In completion. The reporting tool shall have the capability to:

- Generate reports using existing datamart information to query and analyze performance for a specific timeframe of FHA Single Family products, loss mitigation tools, default data, lenders, and/or other servicing related studies,
- Create multiple-page, multiple queries, graphical, complex, and custom reports utilizing different sources of data within production environment, and
- Provide reporting functionality such as filter, sorting and highlight, and Extract reports and data into PDF, HTML, Excel, or other formats as directed by the COR.

5.3.3 Standard Reports and Dynamic Dashboards

Monthly, the Contractor shall refresh and update the production environment including the Standard Reports and Dynamic Dashboards Refresh within three (3) business days the last required table from SFHEDW.

The Standard Reports are based on three primary hierarchies (Time, Servicer, Geography) and consist of predefined parameters, stored procedures, and system generated reports from production refresh. No changes in structure shall be made to these reports without written authorization from the COR. The Contractor shall provide the capability to retrieve or modify the following Standard Reports:

- Core OSFAM Reports: State/Regional Reports, Department of Hawaiian Homeland, and Consolidated Claims with Forbearance,
- Geographic Economic Reports with External Data,
- Quality Assurance Division (QAD) Reports,
- Key Metrics including different measures such as Insurance in Force, Defaults, Foreclosure, and Loss Mitigation.
- Default Data including Default Reporting data (of 30/60/90 Default, In Foreclosure, and Foreclosed Upon) - counts and rates,
- Claim Data and Activity, Loss Mitigation Tools, workout ratios, status, counts and costs,
- Management Reports to deliver to authorized users as required,
- Dynamic dashboards including summary of National, States, HOCs and Servicers and the capability for customization,
- Servicer Status,
- Re-default Rates,
- Success and Failure of Loss Mitigation Use,
- Agency Priority Goals,
- Summary of FHA portfolio at National, States, and Servicers, and
- Exception report (that clearly notate the differences in key metrics to the COR prior to posting reports).

The Contractor shall continue the development and enhancement of management and production reports to allow HUD staff to monitor and perform analysis of HUD's insured portfolio. The

Contactor shall use BI tool to store static queries and report formats, and allow for users to create, modify, and graph reports for ad hoc functionality. Upon COR's request, the Contractor shall revise the static reports to accommodate HUD's evolving business operations and policy changes.

Performance Standard

a) Standard: Refresh and update the production environment, including Standard Reports and Dynamic Dashboards, on a monthly basis within three (3) business days of the last required table from SFHEDW.
   AQL: Two (2) business day deviation

Deliverables

A034 Monthly Standard Reports
A035 Dynamic Dashboards Refresh

5.3.4 Ad Hoc Programming and Rapid Development

Ad Hoc Programming and Rapid Development requests are to accommodate policy changes to existing business rules, technical development, and enhancement specified in HUD mortgagee letters. Mortgagee letters and additional system enhancement include statistical studies, predictive analytics and pattern analysis, data mining, external data interface, business rule and system optimization.

The Contractor shall analyze and recommend enhancement of the existing reports or develop new reports. All enhanced reports and new reports must be provided to the COR for review and approval.

Change requests to the reports/data sets shall occur at the request of the COR and be accomplished within the requested timeframe of each request. Where possible, the Contractor shall adapt existing reports to fulfill new requests and document the report name, specifications, and report run date. All new reports shall be provided with sort and highlighting capability and shall be extractable into PDF, HTML, Excel and other format as directed by the COR. The Contractor shall provide an ad hoc progress report of all ad hoc programming and rapid development requests, including types of reports requested, turnaround time, and status on the fifth (5th) business day of the following month.

The Contractor shall update all related documents following the COR's approval.

At the COR's request, the Contractor shall assess the impact of the current system, develop, and implement changes to the assignments within five (5) business days**.** The approved assignments will be incorporated, updated or replaced in existing Standard reports during the next production refresh. Depending on the complexity of the assignments, the Contractor shall provide the COR with additional details, such as an implementation plan, analysis, and technical specifications, for review and approval.

Performance Standard

a) Standard: Change requests for the report/data sets shall occur at the request of the COR and be accomplished within five (5) business days of formal request.
   AQL: Two (2) business day deviation from standard.

b) Standard: All new reports shall be provided with sort and highlighting capability and shall be extractable into PDF, HTML, Excel and other format as directed by the COR.
AQL: Zero deviation
c) Standard: Provide an ad hoc progress report of all ad hoc programming and rapid development requests, including types of reports requested, turnaround time, and status on the fifth (5th) business day of the following month.
AQL: Zero deviation

Deliverable
A036 Ad Hoc Progress Report

5.3.4.1 Ad Hoc Programming: Reports/Requests - Non-Standard Report

At the COR's request the Contractor shall modify or develop new fields and dashboards, metrics, measures, hierarchies, aggregation process and data cubes to comply with HUD Mortgagee Letter or policy including FHA portfolio and Home Equity Conversion Mortgage (HECM) status, loss mitigation tools, claims, default reporting, foreclosure sales, post foreclosure sale pipeline, and disaster data.
The Contractor shall:

- Provide data analysis and develop Non-Standard Reports to evaluate data at a micro or loan level using one or more parameters such as lender size, like-lenders, zip codes, Metropolitan Statistical Area (MSA), Core Based Statistical Area (CBSA), loan program types, delinquency, and interest rates.
- Provide a methodology to exanimate default reporting patterns to identify appropriate servicing practice parameters.
- Identify potential risks based on default rates, loss mitigation usage, re-default rates, and other servicing measures.

Performance Standard
a) Standard: Ad Hoc programming shall be accomplished within five (5) business days, unless otherwise agreed to by the COR.
AQL: Two (2) business day deviation
b) Standard: Before proceeding, the Contractor shall provide technical analysis of requirements for each request to the COR for review and approval.
AQL: Zero deviation
c) Standard: A modified report shall become a part of the standard report beginning with the following month refresh cycle and be updated to all system related documents.
AQL: Zero deviation
d) Standard: Ad Hoc and Non-Standard Reports/Requests shall be created in a format accessible by HUD, unless otherwise agreed to by the COR.
ALQ: Zero deviation

5.3.4.2 Rapid Development of Reports and Analytics

For data not within the production environment, the Contractor shall develop rapid development programming to assist HUD in meeting critical timeframes for reports and analytics. The Contractor shall collaborate with the COR or HUD designee to complete the rapid development assignments.

Rapid Development assignments are in addition to the normal programming requirements for proper site maintenance and functionality, report production, standard development, and other programming expertise needed to maintain all aspects of the website. The Contractor shall document the Rapid Development testing process, perform QC assessments, and update applicable system documents based on results and COR' s approval within five (5) business days.

Performance Standard

a) Standard: Document the Rapid Development testing process, perform QC assessments, and update applicable system documents based on results and COR' s approval within five (5) business days.
   AQL: Two (2) business day deviation

Deliverable

A037 Documentation of the Rapid Development

5.4 Servicer Performance – Tier Ranking Systems II (TRS II)

Tier Ranking System II (TRS II) has been established to determine servicer compliance with HUD/FHA delinquent servicing guidelines and requirements, protect borrowers from non-compliance servicers, and alert HUD to potential servicer-specific or industry-wide delinquent servicing issues. The individual elements/variables are developed in support of TRS II data/information to measure the timeliness and appropriateness of Foreclosure Prevention, Re-defaults, Single Family Default Monitoring System (SFDMS) transactions and various Loss Mitigation usage and success measures.

5.4.1 TRS II Data and Reports

The Contractor shall continue the development and enhancement of the TRS II and the related TRS II reports and data in accordance with TRS II Servicer Narrative. The Contractor shall extract, process, evaluate, validate, and verify TRS II data for each scoring elements and scorecards. At the COR's approval, the Contractor shall notify servicing lenders of TRS II releases and completion of data refresh. TRS II releases are scheduled quarterly; however, the Contractor shall accommodate unanticipated schedule changes based on business need. The Contractor shall adhere to the TRS II release schedule unless notified by the COR.

Monthly, the Contractor shall generate TRS II reports data and provide to the COR within three (3) business days of the approval for extraction. The Contractor shall:

- Generate and submit quality TRS II data and Reports including Case Level, monthly and quarterly Element Scores and Scorecards to Test Environment and test website.
- Submit a Quality Control Document based on the Servicer Narrative to validate data, scoring method, and scorecards prior to delivering the result to the COR for review and approval within three (3) business days.

The Contractor shall migrate approved TRS II data and reports to production and notify lenders of TRS II release within two (2) business day following the COR's approval. The production release shall include:

- Management Reports
- Case Level, monthly and quarterly Element Scores and Scorecards
- TRS II Reports
- Portal usage

The Contractor shall develop TRS II ad hoc reports as requested by the COR to accommodate policy changes and lender performance measures. Upon COR request, the Contractor shall analyze the impact of TRS II, develop, and implement changes to the requests within five (5) business days, unless otherwise directed by the COR.

Performance Standards

a) Standard: Extract TRS II data monthly from HUD data warehouse within three (3) business days of the approval for extraction.
   AQL: Two (2) business days
b) Standard Submit a Quality Control Document based on the Servicer Narrative to validate data, scoring method, and scorecards prior to delivering the result to the COR for review and approval within three (3) business days.
   AQL: Two (2) business days
c) Standard: Migrate approved TRS II data and reports to production and send notifications to lenders within two (2) business days following COR's approval.
   AQL: Two (2) business day deviation
d) Standard: TRS II Ad hoc reports shall be submitted to the COR withing five (5) business days after receipt of the request, unless otherwise directed by the COR.
   AQL: Zero deviation

Deliverables

A038 TRS II Data Extraction and Data Migration
A039 TRS II Reports
A040 Quality Control Document
A041 TRS II Ad Hoc Reports

5.4.2 TRS II Servicer Dashboard

Within thirty (30) calendar days from Transition In completion, the Contractor shall:

- Review and recommend for enhancement or redesign of TRS II Lender functions.
- Create a Servicer Dynamic Dashboard to provide an overview of their portfolio and performance based on TRS II scoring elements.
- Provide the capability to query, analyze and export TRS II data and reports.
- Provide a Self-Service User Interface (UI) to allow servicers to manage their access, record training bonus points, and perform other administration activities relating to TRS II such as opt-out, appeals, and tracking.

Performance Standard

a) Standard: Within thirty (30) calendar days from Transition In completion the Contractor shall review, create, and provide all necessary information for the TRS II Servicer Dashboard.

AQL: Zero deviation

Deliverables
A042 Servicer Dynamic Dashboards
A043 Self Service User Interface

5.5 Training

During each contract period of performance, the Contractor shall provide ongoing training of four (4) trainings classes for a duration of up to four (4) hours per class but not less than one (1) hour per training. At a minimum, the training shall cover logging in and navigation; core functionality and workflows; and system functionality based on user roles and permissions.

Within thirty (30) calendar days of the effective date of each option year and within thirty (30) days of the effective date of the contract if there is no Transition In period, the Contractor shall provide a training plan to the COR for approval. At a minimum the training plan shall include: the training schedule, training agenda, and class duration.

The Contractor shall provide Training Materials, a Quick Reference Guide, and User Manual to all training participants three (3) calendar days prior to the scheduled training.

The Contractor shall provide technical training to assist HUD resource to support the SF-DART developed and used during Business & IT Modernization migration.

The Contractor shall record and provide a video training for future use. The video shall be available no later than 20 calendar days after the 1st training class.

The Contractor shall keep a record of all trainees and provide this list to the COR at the completion of each training class. The list shall include: attendee's contact information, role, and date of training.

Performance Standard

a) Standard: Four (4) training classes shall be provided during each contract period.
   AQL: Zero deviation
b) Standard: Provide Training Plan to the COR no later than thirty (30) calendar days after effective date of each contract period.
   AQL: Zero deviation
c) Standard: Provide Training Materials, a Quick Reference Guide, and User Manual to all training participants three (3) calendar days prior to the scheduled training.
   AQL: Zero deviation
d) Standard: Recorded training video shall be available to the COR no later than 20 calendar days after the 1st training class.
   AQL: Zero deviation
e) Standard: A list of all participants shall be provided to the COR at the completion of each training.
   AQL: Zero deviation

Deliverables
A044 Training Plan
A045 Training Materials
A046 Quick Reference Guide
A047 User Manual
A048 Recorded training video
A049 List of participants at the completion of each training

5.6 Help Desk (Optional)

The Contractor shall provide customer service and help desk support to assist all SF-DART users at 180 calendar days from the effective date of the contract and available during normal business hours 7:00 a.m. to 7:00 p.m. CST. The Contractor shall acquire, maintain, and manage communication including a toll-free telephone number with voicemail function and an option for multiple languages, equipment for TDD (Telecommunications Device for the Deaf) for the hearing impaired, helpdesk email address, and instant message (IM) application.

The Contractor's customer support staff shall have online, read-only access to production data to facilitate responses to callers. The Contractor shall perform the following services:

- Develop, maintain, and update Help Desk Procedure and Quick Reference Guide to reflect changes and system releases. Changes shall be submitted to the COR for review and approval prior to publishing to SF-DART,
- Assist SF-DART users to navigate the website, generate reports, manage online profile, and access self-service,
- Provide responses to all inquiries no later than two (2) business days of receipt, and
- Log all activity inquiries received (i.e., emails, calls, chat, etc.).

The Contractor shall notify the COR no later than twenty-four (24) hours following receipt of any request for information from an elected or public official and shall, within forty-eight (48) hours of said request, provide written information to assist HUD in preparing a response.

Performance Standards

a) Standard: 100% compliance in providing Help Desk support for all SD-DART users between 7:00 am and 7:00 pm CST Monday through Friday
   AQL: Zero deviation
b) Standard: 100% compliance with notification of the COR within twenty-four (24) hours following receipt of any request for information from an elected or public official
   AQL: Zero deviation
c) Standard: 100% compliance with providing written information to assist HUD in preparing a response to requests for information from an elected or public official.
   AQL: Zero deviation

Deliverables
A050 Help Desk Procedure
A051 Quick Reference Guide
A052 Toll-Free Telephone Number

5.6.1 Help Desk Report

Monthly, the Contractor shall provide a Help Desk Report of inquiries received by the fifth (5th) business day of the following month. The Help Desk Report shall consist of phone calls, emails, and instant messages.

The report shall provide detailed information to include:

- The total calls, emails, instant messages,
- Total answered calls, emails, instant messages,
- Total abandoned calls, emails, instant messages,
- Total disconnected calls, emails, instant messages,
- Average response time,
- Average time of abandon,
- Average monthly calls, emails, and instant messages.

Performance Standard

a) Standard: Help Desk Report of inquiries shall be received by the COR no later than the fifth (5th) business day of the following month.
   AQL: Zero deviation

Deliverable

A053 Help Desk Report

5.7 System Information Technology

5.7.1 System Security Plan (SSP)

The Contractor shall develop and maintain a System Security Plan (SSP) to provide an overview of the system environment and system security requirements to protect the information system. The SSP shall comply with NIST 800.53 REV 5 or current version. The SSP shall document security controls and measures, technical, policies and procedural protection in use or planned.

The SSP shall be consistent with and detail the approach to IT security contained in the Contractor's proposal that resulted in the award of this contract.

The Contractor shall submit the draft SSP to the COR for review and approval not later than twenty (20) calendar days from the effective date of the contract. The Contractor shall revise and resubmit based on the result of review.

The Contractor shall submit final SSP to the COR for approval no later than five (5) business days from the receipt of the COR's comments. The final SSP shall incorporate COR's comments and revisions to reflect the current state of the system to ensure accuracy, compliance, and completeness.

The Contractor shall notify the COR of any updates to the SSP, revise and provide certification of review not later than five (5) calendar days of any changes. The SSP shall be incorporated all changes upon the COR's approval. The Contractor shall verify for accuracy, compliance, and completeness of the SSP. The SSP may be revised and updated upon COR request.

Performance Standards:

a) Standard: Submit the draft SSP to the COR for review and approval not later than twenty (20) calendar days from the effective date of the contract.
   AQL: Zero deviation
b) Standard: Within five (5) business days of receipt of COR's comments, the Contractor shall submit final SSP
   AQL: Zero deviation
c) Standard: Updated SSP and certification shall be submitted to the COR for review no later than five (5) calendar days of any change.
   AQL: Zero deviation

Deliverables

A054 Draft SSP
A055 Final SSP
A056 Updated SSP

5.7.2 Authorization to Operate (ATO) / Certification and Accreditation

At all times, the Contractor shall have a Security Assessment and Authorization (SA&A) package ready and certify that the SF-DART system meets security continuous monitoring to protect HUD data. The Contractor shall provide support services to perform annual system security assessment and complete the Security Assessment and Authorization (SA&A) package for Authorization to Operate (ATO), Ongoing Authorization (OA) for continuity of operations, and Information Security Continuous Monitoring (ISCM) to maintain ongoing awareness of information security, vulnerabilities, and threats to protect HUD data. The Contractor shall provide HUD online access to the system for validation and continuously monitoring systems security controls.
The support services shall include:

- Incorporating, maintaining, enhancing, developing, and upgrading all information technology software and systems documentation to maintain IT security and comply with HUD and Federal IT security and privacy requirements.
- Providing system information including system diagrams, configurations, technical and design documentation, and information on data and file formats.
- Providing feedback, recommendations, system diagrams configuration and design documents, information on data and file formats and technical processes.

The SA&A supporting documentation includes:

- System Security Plan
- Contingency Plan
- Contingency Test Plan

- Privacy Impact Assessment
- Business Impact Assessment
- Security Self-Assessment and Risk Assessment
- Continuous Monitoring Plan (CMP)
- Results of Penetration Testing
- Software Code Review
- Plan of Action and Milestones (POA&M)
- NIST Security Requirement
- Memorandums of Understanding (if applicable)
- Interconnection Security Agreements (if applicable)

Performance Standard:

a) Standard: Provide HUD online access to the system for validation and continuously monitoring systems security controls.
AQL: Zero deviation

Deliverables

A057 System Information
A058 SA&A
A059 ATO
A060 OA
A061 ISCM

5.7.3 Cybersecurity and Privacy Requirements

1. The Contractor shall maintain compliance with all current and future Federal IT security requirements. The Contractor shall:

A. Maintain IT security and comply with all terms and conditions of the contract throughout the term of the contract with respect to all data and information technology requirements.
B. Use, maintain, enhance, develop and upgrade all information technology software and system documentation under this Contract in accordance with Federal Laws, best practices, and regulations.
C. Maintain Security Assessment and Authorization (SA&A) standards in accordance with guidance published by NIST. An independent SA&A will be performed by Housing and Urban Development (HUD) during the period of performance of this contract. The Contractor shall complete the SA&A within six (6) months after the effective date of the contract and again at the expiration of the SA&A and to include any revisions or updates.
D. Follow HUD's Project Planning and Management (PPM) Life Cycle and industry best practices in the analysis, design, development, testing and implementation of proposed new systems and/or the enhancement to existing systems. This includes prohibiting live data from being used in any environment other than Production and Disaster Recovery (DR) environments. Specifically, no live data should be used in development, testing or staging environments.
E. Review and update system documentation to ensure accuracy, compliance and completeness. Reviews and revisions must be completed and delivered to HUD quarterly.

F. The Contractor will prepare its security plan as part of its demonstration that it meets the requirements for SA&A per the applicable requirements from HUD, OMB, NIST, etc., which require the preparation of several related documents, including but not limited to:
   i. NIST FIPS 199/200 Security Categorization Analysis;
   ii. NIST SP-800 Security Controls Self-Assessment;
   iii. Application and network venerability scans;
   iv. Business Impact Assessment;
   v. Privacy Impact Assessment;
   vi. Create System Security Plan, Risk Assessment, Technical Architecture, COOP and Contingency Plans, Quality Control Plan, ST&E Plan and other relevant SA&A supporting documentation for each new application;
   vii. Security Assessment Tests (formerly ST&E Testing);
   viii. Security Assessment Reports (formerly ST&E Report);
   ix. POA&M; and
   x. Accreditation Documentation.

G. Each mixed or financial system that the contractor manages, develops, modifies, enhances, releases and/or upgrades will be assessed under the Federal Information System Controls Audit Manual (FISCAM) methodology that include control families for both General Computer and Business Process Application controls:
   i. General Controls:
      1. Security Management
      2. Access Controls
      3. Configuration Management
      4. Segregation of Duties
      5. Contingency Planning
   ii. Business Process Application Controls:
      1. Application Security
      2. Business Process Controls
      3. Interfaces
      4. Data Management

2. The Contractor shall support and provide system security to ensure availability, confidentiality, and integrity of the HUD data applications (e.g. maintaining access control, user identification, password protection and authentication, confidentiality of customer profiles and traffic, physical and personnel security required under this PWS). Provide SA&A support, including potential off cycle or unanticipated SA&A support, over the life of the contract.
3. The HUD System Security Plans (Risk Assessment, Incidence Response Plan and IT Contingency Plan) shall be reviewed and presented to HUD's Chief Information Security Officer for approval.
4. The Contractor shall maintain Compliance and Event Logging, which requires contractors and sub-contractors (at any tier) to cooperate with and exchange information with agency officials, as determined necessary by the agency, to provide the application specific logs, log retentions, and log management, centralized access, and visibility for the agency's highest-level security operations center (SOC), including but not limited to:
   A. User Authentication (Success/Failure)

B. File and Object Access
C. Audit Log Access (Success/Failure)
D. System Access (Failure)
E. Application Transactions (Web Page Hits, Email Sent/Received, File Transfers Completed)
F. Transaction Logs

The system or service that is being provided needs to create proper logs, like records of what is happening on the system and those logs need to follow Federal rule. Then, those logs must be connected to HUD's security system called Security Information and Event Management (SIEM), so they can track and respond to any threats. Everything must be running within 60 days, either from when the system is deployed or 60 days after award of the contract for existing systems.

5. The Contractor shall maintain compliance with OMB Memorandum 17-12 (Preparing for and Responding to a Breach of Personally Identifiable Information), which requires contractors and sub-contractors (at any tier) to:
   A. Cooperate with and exchange information with agency officials, as determined necessary by the agency, in order to effectively report and manage a suspected or confirmed breach.
   B. Properly encrypt PII in accordance with OMB Circular A-130 and other applicable policies and to comply with any agency-specific policies for protecting PII;
   C. Provide and participate in mandatory training on how to identify and report a breach;
   D. Report a suspected or confirmed breach in any medium or form, including paper, oral, and electronic, as soon as possible and without unreasonable delay, consistent with the agency's incident management policy and US-CERT notification guidelines;
   E. Maintain capabilities to determine what Federal information was or could have been accessed and by whom, construct a timeline of user activity, determine methods and techniques used to access Federal information, and identify the initial attack vector;
   F. Allow for an inspection, investigation, forensic analysis, and any other action necessary to ensure compliance with OMB M-17-12, the agency's breach response plan, and to assist with responding to a breach;
   G. Identify roles and responsibilities, in accordance with OMB M-17-12 and the agency's breach response plan; and,
   H. Explain that a report of a breach shall not, by itself, be interpreted as evidence that the contractor or its subcontractor (at any tier) failed to provide adequate safeguards for PII.
6. The Contractor shall provide and present a Security Self-Assessment Report to HUD's Chief Information Security Officer on an annual basis, due no later than August 31st of each calendar year.
7. POA&Ms shall be reviewed and updated on a timeframe specified by the COR and present them to HUD's CISO for review and approval.
8. Failure to adhere to the above NIST requirements could result in penalties, to include a contract performance stop-work order until compliance can be demonstrated. Disregard of these NIST requirements could also lead to other criminal, civil, administrative, or contract penalties, including, but not limited to:
   A. Breach of Contract damages
   B. False Claims Act damages

C. Liquidated Damages
D. Termination for Default
E. Termination for Convenience
F. Poor Past Performance
G. Suspension/debarment

5.7.4 System Security and Infrastructure

The Contractor shall modify and enhance the system security and infrastructure in accordance with HUD IT requirements and standards in Section 1.3. Constraints. The Contractor shall monitor and improve system availability and performance, web hosting, applications, architecture framework to connect, host and store the SF-DART system and provide alerts of changes or patches made.

The Contractor shall identify, develop and implement system security patches, status of enhancement releases, or upgrades to ensure system performance scalability.

Performance Standards

a) Standard: Maintain establishment and continue enhancement of the secured and dedicated service, application, and architecture framework of the BSP system as set forth under *Transition In* section.
   AQL: Zero deviation
b) Standard: Identify, develop and implement system security patches, enhancements or upgrades to ensure system performance scalability.
   AQL: Zero deviation.

Deliverables
A062 SF-DART Architecture

5.7.5 Web Reliability

Web Reliability is defined as the error-free operation of the system. The Contractor shall ensure data quality including accuracy, completeness, and the maintenance of data consistency of the extracted, transformed, and visualized data that is refreshed from source systems.

The Contractor shall maintain all features of the websites insuring functionality, usability, consistency, stability, accessibility, reliability, efficiency, and integrity of the structure. The websites should be fully functional during daily/weekly/monthly refresh.

The system shall maintain an operational capability 100% reliability of the time, except during periods of documented scheduled maintenance or in the case of weather emergency or natural disaster and shall remain accessible and secure to HUD and its users. Should there be a failure of the administrative functions of the website, the Contractor shall provide a solution within the same business day.

Resolutions shall be made within two (2) business days from the time of detection or notification of the problem and written notification shall be provided to the COR. If the solution is not feasible or resolved within two (2) business days, the Contractor shall notify the COR in writing with

justification and an estimate of time to resolve. Following COR approval, the Contractor shall place a message on the website to inform users of the issue.

Performance Standards

a) Standard: Maintain an operational capacity 100% reliability of the time, except during periods of documented scheduled maintenance or in the case of a weather emergency, natural disaster, or crisis and shall remain accessible and secure to HUD and its users.
   AQL: Zero deviation

5.7.6 Scheduled or Routine Maintenance

The Contractor shall provide maintenance support to prevent interruptions and maintain system performance. The maintenance support shall encompass:

- At least three (3) business days prior to routine maintenance the Contractor shall request approval from the COR.
- Routine maintenance shall not exceed two (2) total hours per month.
- Modification that fixes application problems caused by design, logic, or coding errors and,
- Database administration, system software, security and/or infrastructure upgrades.

The system maintenance shall not occur during Transition In period. Substantial changes to content or layout shall be approved by the COR.

Performance Standards

a) Standard: Request for approval from the COR at least three (3) business days in advance to perform scheduled routine maintenance.
   AQL: Zero deviation
b) Standard: Routine maintenance shall not exceed two (2) total hours per month.
   AQL: Zero deviation

5.7.7 Data Transfer and System Interface

The Contractor shall establish a secure connection for data transfer and system interface with HUD internal systems and other external systems. Monthly, the Contractor shall update production data including extracted data from SFHEDW and other identified HUD systems. The Contractor shall complete data transfers in accordance with HUD's approved IT policies, procedures, and data transfer protocol. The Contractor shall deliver data or information from internal and external systems in an approved format that allows for immediate upload and integration to SF-DART. The Contractor shall provide the COR direct access to backup copies of all SF-DART data that is not older than seven (7) business days. At the COR's request, the Contractor may be required to provide additional data transfer.

At the COR's request, the backup data will be activated if access to the data via the Contractor is disrupted. At no additional cost to HUD, the Contractor shall provide secure backup data storage.

The Contractor shall submit an Interface Control Document (ICD) that specifies each data information, transfer procedures and protocol between SF-DART and other systems within thirty (30) calendar days from the completion of the data transfer.

Performance Standard:

a) Standard: Provide the COR direct access to backup copies of all SF-DART data that is not older than seven (7) business days.
   AQL: Three (3) business day deviation

Deliverable

A063 Interface Control Document

5.7.8 Geo Mapping

The Contractor shall provide Geo Mapping that is compatible with the SF-DART system. The Geo Mapping should represent the reports that the user is viewing, and the map shall change as the user requests different reports and shall be available to integrate with attributes and geographic descriptors as provided in the metadata. The Geo Mapping functionality shall commence within sixty (60) calendar days of Transition In completion.

Performance Standard:

a) Standard: The Geo Mapping functionality shall commence within sixty (60) calendar days of conversion completion and acceptance.
   AQL: Thirty (30) calendar day deviation

Deliverables

A064 Geo Mapping functionality

5.7.9 System Enhancements and Upgrades

The Contractor shall analyze and provide to the COR recommended enhancements to improve system performance and comply with Congressional mandates, security, and policy changes to the COR for review and approval.

The Contractor shall improve and enhance SF-DART to include:
Web application, web hosting, facility, processes, architecture framework and system functionalities to increase interaction, improve capacity, flexibility, usability, stability, scalability, efficiency, and performance based on user comments.

- Development and implementation of new functionalities.
- Recommendation and implementation of application-specific tuning, re-design of the website, service or database, and optimization to support continued operations, performance, and availability of the system.
- Modification and application of security patches, and update programs and processes in development environment before approval for production.

The enhancements shall be scheduled and implemented according to a Change Control Board (CCB), or as directed by the COR. All upgrades, programming, and/or mapping information shall be included in the Technical Manual, Source Code and any applicable system documentation including user manuals.

Performance Standard

a) Standard: As dictated by Congressional mandates, security and policy changes, the Contractor shall analyze and recommend enhancements to improve system performance and compliance.
   AQL: Zero deviation

Deliverable

A065 System Enhancement and Upgrades

5.7.10 System Migration

At the direction of the COR, the Contractor shall modernize, migrate, and enhance the SF-DART system in response to Congressional mandates, policy changes, requirements from system scans, and security controls. All custom data structures and extensions to the system shall be documented for migration to alternative platforms, including HUD-managed infrastructure and databases hosted within the HUD firewall/environment, with no restrictions. The Contractor shall:

- Validate all system components are compatible with industry web hosting environment/service and technology that HUD may upgrade or into which HUD may migrate.
- Provide system storage capacity for an enterprise database and servers, develop new programs, rules, fields, tables, reports, processes, interfaces, web application enhancement, modify or enhance existing systems to support and ensure systems functionality, reliability, availability, stability, durability, and performance for concurrent ongoing daily work.

Performance Standard

a) Standard: As dictated by Congressional mandates, policy changes, system scans and security controls the Contractor shall modernize, migrate, and enhance SF-DART the Contractor shall validate the system performance with the existing functionality to ensure that all existing functionality continues to perform
   AQL: Zero deviation

Deliverable

A066 System Migration

5.8 Transition Out (Optional)

All services under this Contract are critical to HUD and shall be continued without interruption.

The Transition Out period is 150 calendar days prior to the expiration of the Contract. The incumbent Contractor shall ensure a smooth and orderly transition with the successor Contractor during the Transition Out period.
Within seven (7) business days from the COR's notification of the intent to transition out, the Contractor shall submit a draft Transition Out plan to the COR. At a minimum, the Transition Out plan shall include:

Executive Summary – which shall provide a brief overview of the transition process, outlining the reason for the transition, the key stakeholders involved, and the desired outcome.

Transition Goals and Objectives – this shall define clear goals for the transition, such as maintaining continuity, minimizing disruption, and ensuring knowledge transfer.

Roles and Responsibilities – this shall detail the tasks and responsibilities that need to be transitioned, and the individuals responsible for each part of the process.

Knowledge Transfer and Documentation – this shall ensure that the outgoing Contractor provides all key information, skills, processes, and insights with the incoming Contractor or with HUD staff, if there is no incoming Contractor. Provide as described in *Successor Training* section.

Training and Support – a plan for any necessary training or onboarding to ensure that the new Contractor or HUD staff, if there is no new Contractor, can perform their tasks effectively. The Contractor shall provide as described in *Successor Training* section.

Asset Transfer- a list of all assets that need to be transferred or handed over. Asset transfer includes all documents, data, or systems the outgoing Contractor manages as described in *Transition of System, Data, and Processes* section.

Timelines and Milestones – a clear timeline for the 150-day Transition Out period, outlining key dates and milestones to successfully transfer to a new Contractor or HUD staff, if there is no incoming Contractor.

Risk Assessment and Mitigation – an analysis identifying potential challenges or obstacles that may arise during the Transition Out period.

The Contractor shall include a request for signatory authorization to destroy all backup copies of current HUD-owned source code, current database structures and contents, procedures, manuals, etc. applicable to SF-DART. The COR will notify the contractor as to the date the said items are to be destroyed no later than thirty (30) calendar days of receipt of request.

Within five (5) business days from receipt of the COR's comments, the Contractor shall submit a final Transition Out plan for COR approval. Upon the COR's acceptance of the final Transition Out plan, the Contractor shall proceed with the Transition Out activities as outlined in the final Transition Out plan, including all agreed upon delivery dates, to ensure successful Transition Out.

Performance Standards

a) Standard: Draft Transition Out plan shall be submitted to the COR no later than seven (7) business days from the COR's notification of HUD's intent to Transition Out.
   AQL: Zero deviation
b) Standard: Final Transition Out plan shall be submitted to the COR no later than five (5) business days after receipt of the CORs comments on the draft Transition Out Plan.
   AQL: Zero deviation
c) Standard: Completion of all agreed upon Transition Out tasks and delivery.
   AQL: Zero deviation

Deliverables
A067 Draft Transition Out Plan
A068 Final Transition Out Plan

5.8.1 Transition of System, Data, and Processes

To ensure a smooth transfer of data, websites, and processes or providing customer support from the existing Contractor, to either HUD or a successor Contractor, a transition period is a requirement of this Contract. The Contractor shall provide all data, information, records, and sources to the COR and facilitate the delivery method to HUDs systems as specified and approved by the COR.

No later than seven (7) business days after the beginning date of the Transition Out period, the Contractor shall deliver a file transfer of information in a format approved by the COR but shall consist primarily of electronic documents of the existing SF-DART production including all existing data, websites and processes, HUD-owned programing code, schema, business rules, data modeling and all sub-structure, existing System Documents, and all other documentation required to facilitate effective conversion.

The Contractor shall update, validate, and transfer all technical data, databases, source code, data dictionaries, documentation, access, codes, badges, and passwords prior to the expiration of the Contract.

The Contractor shall provide all technical mapping information, including programming code, the business rules, and other critical data elements, in an electronic medium approved by the COR to the successor Contractor. A backup copy shall also be provided to the Government to ensure a successful transition. The Contractor shall implement all website information, in electronic format only, into the HUD environment or a successor's system.

The Contractor shall transfer the data and/or systems according to HUDs approved IT policies and procedures on data transfer protocol. Any such data transfer shall be coordinated with HUD to ensure adequate safeguards are taken to protect HUDs system integrity. At HUD's discretion the backup data will be activated if access to the data via the successor contractor is disrupted during the Transition Out Period. The Contractor shall provide the COR direct access to backup copies of all SF-DART data that is not older than seven (7) business days.

The Contractor shall finalize the schematic and models of business process, business rules and suite of BI tool requirements and the technical and business standard operating procedure manuals. The schematic, technical and business manuals shall be provided electronically within the updates to the technical manual, and a comprehensive version, no later than fifteen (15) business days prior to contract scheduled termination.

The Contractor shall submit to the COR a request for signatory authorization to destroy all backup copies of current HUD-owned source code, current database structures and contents, procedures, manuals, etc. applicable to SF-DART no later than 120 calendar days after the beginning date of the Transition Out period. The COR will notify the contractor as to the date the said items are to be destroyed no later than thirty (30) calendar days of receipt of request.

Performance Standards

a) Standard: Provide a file transfer including all updated system documentation outlining current source code, database structures, contents, procedures, manuals, design and interface applicable to SF-DART to the COR no later than seven (7) business days prior to the end of the Transition Out period.
   AQL: Three (3) business day deviation
b) Standard: Provide the COR direct access to backup copies of all SF-DART data that is not older than seven (7) business days.
   AQL: Three (3) business day deviation
c) Standard: Finalize and deliver and comprehensive version of all updated schematic and models of business process, business rules and suite of BI tool requirements, technical and business standard operating procedures, manuals to the COR not later than fifteen (15) business days prior to the Contract's scheduled termination date.
   AQL: Three (3) business day deviation

Deliverables

A069 Transition of SF-DART Business Process and Documentation

5.8.2 Successor Training

During the Transition Out period, training on the final website products shall run concurrently with other transition activities. Training of the successor contractor and/or HUD designated staff shall begin on the date of the new contract award and continue throughout the Transition Out period.

The Contractor shall provide four (4) training sessions, up to four (4) hours per session, to the successor Contractor to obtain and transfer technical knowledge and understanding of the data, reports, structure of the business process and logic, integration requirements for data transfer into another like systems, transfer specifications and any other area of concern.

Performance Standards

a) Standard: Provide training to the new contractor and/or HUD staff to obtain SF-DART technical understanding.
   AQL: Zero deviation

6 Deliverables

The Contractor shall complete all work and submit all deliverables as specified herein. The Government reserves the right to make changes to delivery dates.

Deliverable	Name	Frequency	Quantity
A001	Completed PIV package	As needed	As needed
A002	Completion Certificate Annual Security Awareness Training	Annually	1
A003	Draft Transition In Plan	Once	1
A004	Final Transition In Plan	Once	1

Deliverable	Name	Frequency	Quantity
A005	UAT Instructions	As needed	As needed
A006	UAT Results	As needed	As needed
A007	Training Plan	As needed	As needed
A008	Training Materials	As needed	As needed
A009	Quick Reference Guide	As needed	As needed
A010	User Manual	As needed	As needed
A011	Recorded Training Video	As needed	As needed
A012	List of participants at the completion of each Training	As needed	As needed
A013	Access to fully functional SF-DART System	As needed	As needed
A014	Conversion Acceptance Memo	Once	1
A015	Draft Project Plan	Once	1
A016	Final Project Plan	Once	1
A017	Updated Project Plan	As needed	As needed
A018	Annually Updated Project Plan	Annually	1
A019	Meeting Agenda	Weekly	1
A020	Meeting Minutes	Weekly	1
A021	Monthly Report	Monthly	1
A022	Quarterly Report	Quarterly	1
A023	Monthly Quality Control Certifications	Monthly	1
A024	Quarterly Quality Control Certifications	Quarterly	1
A025	Executive Summary	Annually	1
A026	Training Material	Annually	1
A027	User Manuals	Annually	1
A028	Quick Reference Guide	Annually	1
A029	Technical Manual	Annually	1
A030	Functional Requirement Documentation	Annually	1
A031	Internal Control Document	Annually	1
A032	Source Code	Annually	1
A033	Production Refresh	Monthly	1
A034	Monthly Standard Reports	Monthly	1
A035	Dynamic Dashboards Refresh	Monthly	1
A036	Ad Hoc Progress Report	As needed	As needed
A037	Documentation of the Rapid Development	As needed	As needed
A038	TRS II Data Extraction and Data Migration	Monthly	1
A039	TRS II Reports	Monthly	1
A040	Quality Control Document	Monthly	1
A041	TRS II Ad Hoc Reports	As needed	As needed
A042	Servicer Dynamic Dashboards	Monthly	1
A043	Self Service User Interface	Annually	1

Deliverable	Name	Frequency	Quantity
A044	Training Plan	Annually	1
A045	Training Materials	Annually	1
A046	Quick Reference Guide	Annually	1
A047	User Manual	Annually	1
A048	Recorded training video	Annually	1
A049	List of participants at the completion of each Training	Annually	1
A050	Help Desk Procedure	Annually	1
A051	Quick Reference Guide	Annually	1
A052	Toll-Free Telephone Number	Annually	1
A053	Help Desk Report	Monthly	1
A054	Draft SSP	Once	1
A055	Final SSP	Once	1
A056	Updated SSP	As needed	As needed
A057	System Information	Annually	1
A058	SA&A	Annually	1
A059	ATO	Annually	1
A060	OA	Annually	1
A061	ISCM	Annually	1
A062	SF-DART Architecture	As needed	1
A063	Interface Control document	As needed	As needed
A064	Geo Mapping functionality	Once	1
A065	System Enhancement and Upgrades	As needed	As needed
A066	System Migration	As needed	As needed
A067	Draft Transition Out Plan	Once	1
A068	Final Transition Out Plan	Once	1
A069	Transition of SF-DART Business Process and Documentation	Once	1
A070	Contractor’s Quality Control Plan	Once	1
A071	Updated Contractor’s Quality Control Plan	As needed	As needed

6.1 Quality Control Plan

The Contractor shall establish and maintain a complete quality control program that shall ensure services are performed in accordance with this Contract. The Contractor shall develop and implement procedures to identify, prevent, and ensure non-reoccurrence of defective services. The Contractor's quality control program is the means by which they assure themselves that their work complies with the requirements of the Contract. The Contractor shall provide the associated Quality Control Plan to HUD as directed.

The Contractor shall develop, maintain, enforce, and document a Quality Control Plan (QCP). The QCP shall ensure HUD receives a level of quality of services that is consistent with the requirements specified in this Contract. The QCP shall be sufficiently detailed to provide the Contractor's methodology for identifying and recruiting qualified personnel. The QCP shall also provide the Contractor's methodology for resolving problems identified by HUD during reviews conducted in accordance with its Quality Assurance Surveillance Plan (QASP).
The QCP shall provide the Contractor's methodology for establishing an internal feedback system for support personnel and for resolving problems identified by that feedback system. The QCP shall demonstrate and validate that the services or deliverables to be provided under the Contract are completed with a level of quality that meets the minimum performance threshold established in the QASP. The QCP shall address Quality Management Approach, Quality Assurance, Quality Control, and Quality Standards.

The Contractor shall submit the QCP align with the Contractor's proposal to the COR within thirty (30) calendar days after the Contract effective date. The QCP shall be submitted to the COR within five (5) business days when changes are made thereafter.

Deliverables
A070 Contractor's Quality Control Plan
A071 Updated Contractor's Quality Control Plan

6.2 Acceptance Criteria

Each contract deliverable shall meet the following inspection and acceptance criteria in addition to any "*Inspection and Acceptance*" contract terms and conditions:

- Deliverables shall incorporate all HUD comments;
- All deliverables shall be provided to the designated COR first in draft format for review and comment unless specified otherwise by the COR;
- Subsequent final reports shall incorporate the comments, changes, edits, and concerns expressed to the Contractor by the COR. All deliverables shall be grammatically correct, reflect comprehensive research, incorporate complete analysis, and address HUD concerns;
- Acceptance of all deliverables shall be provided in writing by the COR within 5 business days. Upon written notification by the COR, the Contractor shall make any required revisions and resubmit the documentation within 5 business days, and/or submit a final draft within two (2) business days. The COR will inform the Contractor of the final draft.
- The Contractor shall provide any further refinement needed for documents required by the COR;
- All deliverables must be in compliance with Section 508 requirements as established by the Section 508 Access Board and other HUD guidelines; and
- In the event the Government deems a deliverable as unacceptable and the deliverable is rejected, the Contractor shall rework the deliverable at no cost increase to the contract. In the event the Government deems the services are unacceptable and rejects the service, the Contractor shall take action necessary to correct deficiencies and bring the service into compliance with the acceptability standards of the contract.

7 Related Documents

The Contractor shall abide by all applicable regulations, publications, manuals and policies and procedures in the performance of this contract.

1. SF-DART Functional Requirements Document
2. SF-DART Technical Manual
3. Technical Document SF-DART Training Reporting
4. SF-DART ETL
5. Quick Reference Technical Guide
6. SF-DART Quick Reference Guide
7. TRSII Servicer Training

8 Performance Requirements Summary

The summary chart below lists the contract's primary requirements, the associated performance standards, the expected target performance, and the methods of surveillance. While some contract requirements may not be listed in the chart below, requirements not appearing on the PRS chart do not negate the Contractor's obligation to perform all requirements as specified in the contract. Additionally, HUD reserves all rights and remedies under the provisions and clauses of the contract when performance of any contract requirement, whether or not listed below, is unacceptable.

HUD has developed a Quality Assurance Surveillance Plan to provide contract oversight. In conjunction with the Contractor's Quality Control Plan and various other methods of assessing performance, the COR and PM may perform on-site reviews and/or other types of verification to determine that the specified target performance requirements have been met. Regular review of Contractor performance is critical to the overall success of the contract. On a monthly basis, the COR will evaluate the quality of the product or services.

Performance Requirements Summary

Statements	Standards/AQLs	Incentive/Remedy
5.1.5 Completion of System Conversion <u>Deliverables</u> A013 Access to fully functional SF-DART System A014 Conversion Acceptance Memo	a) Standard: Demonstrate to the COR that the system including all web-applications, reports, and functions are fulling functioning no later than 14 calendar days prior to the expiration of the Transition In period. AQL: Zero deviation b) Standard: System including all web-applications, reports, and functions shall be live and fully operational at 180 calendar days from the effective date of the contract. AQL: Zero deviation c) Standard: Submit to the COR a Conversion Acceptance Memo Within thirty (30) calendars days following the completion and acceptance of the Transition In period and successful completion of all Transition In activities. AQL: Zero deviation	A 3% deduction applied to the Invoice amount for the CLIN titled "Transition In" when the system is not fully operational in accordance with the PWS at 180 calendar days from the effective date of the contract. An additional 3% deduction applied to the Invoice amount for the CLIN titled " Transition In" when the system is not fully operation after 187 days from the effective date of the contract.
5.3.1 Production Environment <u>Deliverables</u> A033 Production Refresh	a) Standard: Extract data from SFHEDW, refresh, and update SF-DART data within three (3) business days of the approval for data extraction or the last required table is updated in SFHEDW. AQL: Two (2) business days deviation from Standard b) Standard: The production refresh completion shall include accurate validation and completeness verification progress. AQL: Zero deviation c) Standard: Provide online access, store and maintain five (5) fiscal years of historical data in addition to the current fiscal year. AQL: Zero deviation	A 3% deduction applied to the monthly invoice amount for the CLIN titled " Data Analytic and Reporting Services" when SF-DART production refresh is not completed after five (5) business days of the approval for extraction.

Statements	Standards/AQLs	Incentive/Remedy
5.4.1 TRS II Data and Reports <u>Deliverables</u> A038 TRS II Data Extraction and Data Migration A039 TRS II Reports A040 Quality Control Document A041 TRS II Ad Hoc Reports	a) Standard: Extract TRS II data monthly from HUD data warehouse within three (3) business days of the approval for extraction. AQL: Two (2) business days b) Standard: Submit a Quality Control Document based on the Servicer Narrative to validate data, scoring method, and scorecards prior to delivering the result for the COR for review and approval withing three (3) business days. AQL: Two (2) business days deviation c) Standard: Migrate approved TRS II data and reports to production and send notifications to lenders within two (2) business days following COR's approval. AQL: Two (2) business day deviation d) Standard: TRS II Ad hoc reports shall be submitted to the COR withing five (5) business days after receipt of the request, unless otherwise directed by the COR. AQL: Zero deviation	A 1% deduction from the monthly CLIN titled "Servicer Performance – Tier Ranking Systems II (TRS II)" when the contractor extracts TRS II data after the five (5) business days of the approval for extraction.
5.7.5 Web Reliability	a) Standard: Maintain an operational capacity with 100% reliability of the time, except during periods of documented scheduled maintenance or in the case of a weather emergency, natural disaster, or crisis and shall remain accessible and secure to HUD and its users. AQL: Zero deviation	A 1% deduction from the monthly CLIN titled "System Information Technology" for each outage last longer than 2 hours but less than 1 business day. An additional 2% deduction from the monthly CLIN titled "System Information Technology" for each outage last longer than one business day.

Statements	Standards/AQLs	Incentive/Remedy
5.7.6 Scheduled or Routine Maintenance	a) Standard: Request for approval from the COR at least three (3) business days in advance to perform scheduled routine maintenance. AQL: Zero deviation b) Routine maintenance shall not exceed two (2) total hours per month. AQL: Zero deviation	A 1% deduction from the monthly CLIN titled "System Information Technology" for each outage last longer than 2 hours but less than 1 business day. An additional 2% deduction from the monthly CLIN titled "System Information Technology" for each outage last longer than one business day.