



NATO UNCLASSIFIED

Acquisition Directorate

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NCIA/ACQ/2021/07359

28 October 2021

To: All Nominated Prospective Bidders
Subject: Request for Quotation (RFQ) Amendment 1, for the Urgent Obsolescence Management Mitigation, RFQ-CO-115511-UOMM

Reference: A. NCIA/ACQ/2021/07026, Notification of Intent for RFQ-CO-15511-UOMM, dated 2 July 2021
B. NCIA/ACQ/2021/07262, Request for Quotation RFQ-CO-15511-UOMM, dated 5 October 2021.

Dear Madam/Sir,

1. The purpose of this Amendment 1 is to:

- a) Publish RFQ Offerors' questions and NCI Agency answers;
- b) Extend the RFQ closing date. Please see paragraph "4" of this letter for the new RFQ Closing Date.
- c) Change the Due Date for Clarification Requests (CR). Please see paragraph "5" of this letter for the new Due Date for CRs.
- d) Issue revised RFQ documents (Book I and Book II) as follows:
 - 02_RFQ-CO-115511-UOMM WP0.3 – Book I – RFQ Instructions AMD1
 - 05_RFQ-CO-115511-UOMM WP0.3 – Book II – Part I SSS AMD1
 - 08_RFQ-CO-115511-UOMM WP0.3 – Book II – Part IV SOW AMD1
 - RFQ-CO-115511-UOMM WP0.3 – Book I Annex A Pricing Sheets – AMD1

2. As a direct or indirect result of these CRs, the following documents have been amended and are re-issued in its entirety. Prospective Offerors are strongly advised to carefully review the revised documents. The changes within the RFQ documents are denoted in **red** for ease of traceability.



NATO Communications
and Information Agency
Agence OTAN d'information
et de communication
Avenue du Bourget 140
1140 Brussels, Belgium
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3. This Amendment makes the following revisions:

Book I – Bidding Instructions – Summary of Changes

- Paragraph 2.3.1 updated to reflect amended Quotation Closing Date.
- Paragraph 2.6.2 updated to reflect the amended due date for Clarification Requests (CR).

Book I Annex A – Pricing Sheets – Summary of Changes

- CLIN Summary Tab, CLIN 2.4: replace SDIP with SIS

Book II – Part I SSS – Summary of Changes

- CLIN 2.4: replace SDIP with SIS

Book II – Part IV SOW – Summary of Changes

- 3.4.1: remove SDIP
- 3.10.1: text change from “Purchaser” to “Contractor”
- 4.1: changed NetWitness version from 11.5 to 11.6 (Sec. 4.1.5.4, 4.1.5.6, 4.1.5.8, 4.1.5.11, 4.1.5.15, 4.1.7.1)
- 6.11.3: added clarification that CoC requirements don't apply to PFE
- 8.19.2: added reference to testing management tools used by Purchaser.

4. The RFQ closing date is changed as follows:

FROM: 13:00 hours (Central European Time) on Tuesday, 16 November 2021

TO: 13:00 hours (Central European Time) on Thursday, 16 December 2021

5. The Due Date for Clarification Requests (CR) is changed as follows:

FROM: Seven (7) calendar days prior to the stated “RFQ Closing Date” of 16 November 2021, or 9 November 2021

TO: 13:00 hours (Central European Time) on Thursday, 18 November 2021

6. NCI Agency answers to Offerors' questions received up to 28 October 2021 are hereby published with this RFQ Amendment 1.
7. Some answers to Offeror questions have required changes to the RFQ documents. Revised bidding documents as indicated in paragraph 1 above is attached to this RFQ Amendment 1 and replaces the original versions in its entirety. Potential Offerors are strongly advised to carefully review revised RFQ documents.
8. With the exception of the revisions mentioned above, all other RFQ documents remain unchanged from their original version as issued on 5 October 2021.
9. Prospective Offerors are advised that the NCI Agency reserves the right to cancel this RFQ at any time in its entirety and bears no liability for bid preparation costs incurred by firms or any other collateral costs if bid cancellation occurs.

10. All Correspondence regarding this RFQ should solely be addressed to the undersigned, who may be reached at: RFQ-CO-UOM-M@ncia.nato.int

FOR THE DIRECTOR OF ACQUISITION



Mr. Edel Esparza
Principal Contracting Officer (acting)

Attachments: RFQ Amendment 1

- 1) Responses to Clarification Requests – RFQ-CO-115511-UOMM Questions
- 2) Revised RFQ Documents:
 - a. 02_RFQ-CO-115511-UOMM WP0.3 – Book I – RFQ Instructions AMD1
 - b. 05_RFQ-CO-115511-UOMM WP0.3 – Book II – Part I SSS AMD1
 - c. 08_RFQ-CO-115511-UOMM WP0.3 – Book II – Part IV SOW AMD1
 - d. RFQ-CO-115511-UOMM WP0.3 - Book I Annex A Pricing Sheets - AMD1

Distribution List for RFQ-CO-115511-UOMM
Amendement 1

• **Offerors** (sent separately in electronic version)

• **NATO Delegations** (Attn: Investment Adviser):

Albania
Belgium
Bulgaria
Canada
Croatia
Czech Republic
Denmark
Estonia
France
Germany
Greece
Hungary
Iceland
Italy
Latvia
Lithuania
Luxembourg
Montenegro
The Netherlands
North Macedonia
Norway
Poland
Portugal
Romania
Slovakia
Slovenia
Spain
Turkey
United Kingdom
United States
Belgium Ministry of Economic Affairs

• **Embassies in Brussels** (Attn: Commercial Attaché):

Albania
Bulgaria
Canada
Croatia
Czech Republic
Denmark
Estonia
France
Germany
Greece
Hungary
Iceland
Italy
Latvia
Lithuania

Luxembourg
Montenegro
The Netherlands
North Macedonia
Norway
Poland
Portugal
Romania
Slovakia
Slovenia
Spain
Turkey
United Kingdom
United States

• **NATO HQ**

NATO Office of Resources

Management and Implementation Branch - Attn: Deputy Branch Chief

Director, NATO HQ C3 Staff

Attn: Executive Co-ordinator

• **SACTREPEUR**

Attn: Infrastructure Assistant

• **Strategic Commands**

ACO/DCOS CIS & Cyber Defence

ACT/DCOS Capability Development

• **NCI Agency -Internal Distribution**

ACQ Director of Acquisition (Mrs Jennifer Upton)

ACQ Deputy Director of Acquisition (Mrs Agata Szydelko)

Chief of Contracts (Mr Alexandre Vitry)

Administrator Contracts Award Board (Mrs Carolien Biesemans)

ACQ Principal Contracting Officer (Mr Edel Esparza- acting)

ACQ Principal IPS Officer (Mr Massimiliano Filippi)

NLO (Ms Samantha Paarlberg)

NCSC Chief Cyber Security (Mr Ian West)

NCSC Head Cyber Security Programme Delivery Branch (Mr Frederic Jordan)

NCSC Programme Manager (Mr Tyson McWha)

NCSC Project Manager (Mr Miles Knight- consultant)

Legal Office (Mr Vincent Roobaert)

Legal Office (Mr Sean Elameto)

CTO A&E Branch (Mr Jose Herrero)

Registry

• **NCI Agency - All NATEXs**

RFQ-CO-115511-UOMM

URGENT OBSOLESCENCE MANAGEMENT – MITIGATION (UOMM) FOR CIS SECURITY SERVICES

NETWORK INTRUSION DETECTION/PREVENTION SYSTEMS (NIPS) AND FULL PACKET CAPTURE (FPC)

(TECHNOLOGY REFRESH)



NATO Communications and Information Agency
Agence OTAN d'information et de communication

BOOK I

RFQ INSTRUCTIONS

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SECTION I - INTRODUCTION

1.1 PURPOSE

- 1.1.1 The purpose of this Request for Quote (RFQ) is to award a Contract for the deployment and implementation of cyber security capabilities by replacing equipment and systems that are at or near end of life. These systems are part of the existing NATO Computer Incident Response Centre (NCIRC) which is operated centrally at SHAPE Mons, as well as components deployed both at the NCIRC operations base in SHAPE as well as at various NATO sites.

1.2 SCOPE OF WORK

- 1.2.1 The primary objective of this project is to ensure Continuity of Service (CoS) and support by refreshing the existing components of the NCSC capability that have reached EoL. Further work to uplift the architecture of the NCSC capability is anticipated later. As such, this project does not foresee significant redesign of any NCSC capabilities. The scope of work can be separated into three distinct streams as follows:

- 1.2.1.1 Deployment of the NCIRC Operational Deployment Support and Exercise Reference System (NODCERS), Mons.

- 1.2.1.2 Deployment to all “Tier-3” NCIRC sites as detailed in the following table:

Norfolk – USA	Lago Patria – ITA	Capellen – LUX
Brunssum – NLD	Izmir – TUR	Betzdorf – LUX
Geilenkirchen – DEU	The Hague – NLD	Northwood – UK
Ramstein – DEU	Poggio Renatico – ITA	Uedem – DEU
Neuilly-sur-Seine (Paris) – FRA	La Spezia – ITA	Halbergmoss (Munich) – DEU
Evere (Brussels) – BEL	Torrejon – SPA	Bydgoszcz – POL
Aix en Provence – FRA	Monsanto – POR	Stavanger – NOR

- 1.2.1.3 Delivery of the Integrated Product Support deliverables to enable the on-going Operation of the NCIRC capabilities based upon a NATO Owned NATO Operated (NONO) concept. This requires the Offeror to complete all support and maintenance material including Configuration Management, training and manuals for NODCERS and Tier-3, as well as Tier-2 Central Management being delivered via a different project.

- 1.2.1.4 The Period of Performance (PoP) for this project from the Effective Date of Contract (EDC) is EDC + 44 weeks.

1.3 GOVERNING RULES, ELIGIBILITY, AND EXCLUSION PROVISIONS

- 1.3.1 This solicitation is issued in accordance with the Procedure Governing the Use of Basic Ordering Agreements set forth in the NATO document AC/4-D(2019)0004 (INV).

- 1.3.2 Pursuant to these procedures, the RFQ is restricted to companies from participating NATO member nations for which either a Declaration of Eligibility (DOE) has been issued by their respective government authorities or is an active holder of an active NCI Agency Basic Ordering Agreement (BOA).

1.4 LOWEST PRICE TECHNICALLY COMPLIANT (LPTC) EVALUATION METHOD

- 1.4.1 The evaluation method to be used in the selection of the successful Offeror under this solicitation is the Lowest Price Technical Compliant procedures set forth in AC/4-D(2019)0004 (INV).
- 1.4.2 The quotation evaluation criteria and the detailed evaluation procedures are described in Section 4.
- 1.4.3 This RFQ will not be subject to a public RFQ opening.

1.5 SECURITY

- 1.5.1 This RFQ has been classified as NATO UNCLASSIFIED; however, the RFQ and the contractual documents could contain references to other NATO documents classified as NATO RESTRICTED.
- 1.5.2 The selected Contractor will be required to handle and store classified material to the level of "NATO SECRET". In addition, Contractor personnel will be required to work unescorted in Class II Security areas and therefore, access can only be permitted to cleared individuals. Only firms maintaining such cleared facilities and the appropriate personnel clearances will be able to perform the resulting contract
- 1.5.3 Should the Contractor be unable to perform the Contract due to a lack of the proper facility/security clearances, this shall neither form the basis for a claim of adjustment or an extension of schedule nor can it be considered a mitigating circumstance in the case of an assessment of Liquidated Damages or a determination of Termination For Default by the Purchaser.
- 1.5.4 The selected Contractor's personnel working at NATO sites as well as the Contractor's personnel at the Contractor's facility directly working on this project, shall possess a security clearance of "NATO SECRET".
- 1.5.5 The Contractor personnel without such a clearance, confirmed by the appropriate national security authority and transmitted to the cognisant NATO security officer at least fourteen (14) days prior to the site visit, will be denied access to NATO site(s). Denial of such access by the Purchaser may not be used by the Contractor as the basis for a claim of adjustment or an extension of schedule nor can the denial of access be considered a mitigating circumstance in the case of an assessment of Liquidated Damages or a determination of Termination for Default by the Purchaser.
- 1.5.6 Offerors are advised that Contract signature will not be delayed in order to allow the processing of security clearances for personnel or facilities and, should the otherwise successful Offeror not be in a position to accept the offered Contract within a reasonable period of time, due to the fact that its personnel or facilities do not possess the appropriate security clearance(s), the Purchaser may determine the Offeror's quotation to be non-compliant and offer the Contract to the next ranking Offeror.
- 1.5.7 All documentation, including the RFQ itself, all applicable documents and any reference documents provided by the Purchaser are solely to be used for the purpose of preparing a response to this RFQ. They are to be safeguarded at the appropriate level according to their classification. Any Reference Documents are provided "as is, without any warranty" as to quality or accuracy.

1.6 PRE-AWARD OFFERORS CONFERENCE

- 1.6.1 Prospective Offerors are invited to a Pre-Award Offerors Conference that will be held between four to six weeks after RFQ release. Due to current travel restrictions, the conference will be held virtually. The Purchaser will notify all Offerors of the final date and time. Registration forms and relevant information will be provided at the time of notification.
- 1.6.2 The purpose of the Conference will be to present the Project, and present the key members of the Purchaser project management team, as well as to allow the Prospective Offerors to clarify aspects of the RFQ for which they may have questions at that time.
- 1.6.3 The Conference is planned to include a briefing on the RFQ process; the Pricing Sheets; the prospective contract; and the technical and project management aspects of the project.
- 1.6.4 The participation to the Conference is limited to a maximum of two (2) attendees per Offeror. No exception to this number of attendees will be made. A detailed agenda for the Conference will be sent to the participating companies in due course.
- 1.6.5 The potential Offerors may submit questions in writing not later than 7 days prior to the date of the Conference to the POC, at the address mentioned under Section 2.5.1. The Purchaser will endeavour to respond to the previously submitted questions at the Conference. If any additional questions are asked by the potential Offerors at the Conference, the Purchaser might attempt to answer them at that time, but any answer that might appear to amend terms, conditions and/or specifications of the Contract shall be considered to be formally included in the RFQ only when a written amendment to the RFQ issued in writing by the Purchaser.
- 1.6.6 Answers to all questions will be issued in writing to all Offerors as soon as practicable after the Conference, whether or not the Offerors attended the Conference. The formal written answers will be the official response of the Agency, even if the written answer differs from the verbal response provided at the Conference.

Notwithstanding the written answers provided by the NCI Agency after the Conference, the terms, conditions and language of the RFQ remains unaltered unless a formal RFQ amendment is issued by the NCI Agency and is identified as such.

SECTION II – GENERAL RFQ INSTRUCTIONS

2.1 DEFINITIONS

- 2.1.1 In accordance with MIL-HDBK-505, the term “Assembly” as used herein means an item forming a portion of equipment that can be provisioned and replaced as an entity and which normally incorporates replaceable parts or groups of parts.
- 2.1.2 The term “Basic Ordering Agreement” (BOA) refers to the acquisition instruments negotiated between suppliers of products / services and the NCI Agency, on behalf of NATO.
- 2.1.3 The term "Compliance" as used herein means strict conformity to the requirements and standards specified in this Request for Quotation.
- 2.1.4 The term "Contractor" refers to a firm of a participating country which has signed a Contract under which he will perform a service, manufacture a product, or carry out works for NATO.
- 2.1.5 The term "Offeror" as used herein refers to a firm, consortium, or joint venture which submits an offer in response to this solicitation.
- 2.1.6 The term “Participating Country” as used herein means one of the contributory NATO nations in the project, namely, (in alphabetical order): ALBANIA, BELGIUM, BULGARIA, CANADA, CROATIA, CZECH REPUBLIC, DENMARK, ESTONIA, FRANCE, GERMANY, GREECE, HUNGARY, ICELAND, ITALY, LATVIA, LITHUANIA, LUXEMBOURG, MONTENEGRO, NETHERLANDS, NORTH MACEDONIA, NORWAY, POLAND, PORTUGAL, ROMANIA, SLOVAKIA, SLOVENIA, SPAIN, TURKEY, UNITED KINGDOM, UNITED STATES OF AMERICA.
- 2.1.7 The term "Purchaser" refers to the authority issuing the RFQ and/or awarding the Contract (the NCI Agency).
- 2.1.8 In accordance with MIL-HDBK-505, the term “Sub-Assembly” as used herein refers to a portion of an assembly consisting of two or more parts that can be provisioned and replaced as an entity. The definition purposely excludes components and/or parts.

2.2 ELIGIBILITY

- 2.2.1 This RFQ is being conducted under Basic Ordering Agreement (BOA) procedures, therefore, a solicitation will be issued to firms listed on the Bidder/Offeror List and handled as described in Section 1.3.2.
- 2.2.2 All Contractors, sub-Contractors and manufacturers, at any tier, must be from Participating Countries.
- 2.2.3 None of the work, including project design, labour and services shall be performed other than by firms from and within Participating Countries.
- 2.2.4 No materials or items of equipment down to and including identifiable sub-assemblies shall be manufactured or assembled by a firm other than from and within a Participating Country.
- 2.2.5 The intellectual property rights to all design documentation and related system operating software shall reside in NATO member countries, and no license fee, or royalty charges shall be paid by the Contractor to firms, individuals or governments other than within the NATO member countries.

2.3 QUOTATION SUBMITTAL AND RFQ CLOSING DATE

- 2.3.1 All Quotations shall be in the possession of the Purchaser at the address given below in Section 2.3.2 before 1 pm/13:00 hours (CENTRAL EUROPEAN TIME) on **THURSDAY, 16 DECEMBER 2021** at which time and date Quotations shall be closed.
- 2.3.2 Quotations shall be delivered in electronic format only to the following email address:
RFQ-CO-UOM-M@ncia.nato.int
- 2.3.3 The Quotation shall consist of three (3) separate subject emails:
- 2.3.3.1 For the first e-mail the subject line shall read: "RFQ-CO-115511-UOMM - Official Quote for [company name] - Part I - Administrative Package". The e-mail content shall be as described in Paragraph 3.2.2 below, with no password protection to the file and shall be not larger than 20MB total.
- 2.3.3.2 For the second e-mail the subject line shall read: "RFQ-CO-115511-UOMM Official Quote for [company name] - Part II - Price Quotation". The e-mail content shall be as described in Paragraph 3.2.2 below, with no password protection to the file, and shall be not larger than 20MB total.
- 2.3.3.3 For the third e-mail the subject line shall read: "RFQ-CO-115511-UOMM - Official Quote for [company name] - Part III - Technical Proposal". The e-mail content shall be as described in Paragraph 3.2.2 below, with no password protection to the file, and shall be not larger than 20MB total per e-mail. For large Technical Proposals, multiple e-mails may be required to submit the entire package. In such case, Offerors shall clearly indicate the correct order in the e-mail subject line.
- 2.3.4 Quotations which are delivered to the Purchaser after the specified time and date set forth above for RFQ Closing are "Late Quotations" and shall not be considered for award. Consideration of Late Quotation - The Purchaser considers that it is the responsibility of the Offeror to ensure that the Quotation submission arrives by the specified RFQ Closing Date and Time. A late Quotation shall only be considered for award under the following circumstances:
- 2.3.4.1 A Contract has not already been awarded pursuant to the RFQ, and;
- 2.3.4.2 The Quotation was sent to the e-mail address specified in the RFQ and the delay was solely the fault of the Purchaser.
- 2.3.5 It is the responsibility of the Offeror to ensure that the quotation submission is duly completed by the specified RFQ Closing time and date. If a quotation received at the NCI Agency's facility by electronic data interchange is unreadable to the degree that conformance to the essential requirements of the solicitation cannot be ascertained, the Purchaser will immediately notify the Offeror that the quotation will be rejected unless the Offeror provides clear and convincing evidence:
- (a) Of the content of the Quotation as originally submitted; and,
 - (b) That the unreadable condition of the quotation was caused by Purchaser software or hardware error, malfunction, or other Purchaser mishandling.

2.4 REQUESTS FOR EXTENSION OF RFQ CLOSING DATE

- 2.4.1 All questions and requests for extension of the RFQ Closing Date must be submitted by e-mail. Such questions shall be forwarded to the point of contact specified in paragraph 2.5 below and shall arrive not later than seven (7) calendar days prior to the stated "RFQ Closing Date". The Purchaser is under no obligation to answer

requests submitted after this time. Extensions to the RFQ Closing date are at the discretion of the Purchaser.

2.5 PURCHASER POINT OF CONTACT

2.5.1 The Purchaser point of contact for all information concerning this RFQ is:

NATO Communications and Information Agency
Acquisition Directorate
Building 302A, Room 110
7010 SHAPE, Belgium
Attention: Mr. Edel Esparza, Senior Contracting Officer

2.5.2 Emails:

2.5.2.1 Questions/Clarifications/Quotation: RFQ-CO-UOM-M@ncia.nato.int

2.6 REQUESTS FOR RFQ CLARIFICATIONS

2.6.1 Offerors, during the solicitation period, are encouraged to query and seek clarification of any matters of a contractual, administrative and technical nature pertaining to this RFQ.

2.6.2 All questions and requests for clarification must be submitted by e-mail and using the form in Annex A of Book I – RFQ Instructions. All questions and requests must reference the section(s) in the RFQ subject for clarifications. The questions and/or requests shall be forwarded to the email address specified in paragraph 2.5.2.1 above and shall arrive not later than **1 pm/13:00 hours (CENTRAL EUROPEAN TIME) on Thursday, 18 November 2021**. The Purchaser is under no obligation to answer questions submitted after this time. Requests for clarification must address the totality of the concerns of the Offeror for any given area, as the Offeror will generally not be permitted to revisit areas of the RFQ for additional clarification as noted in 2.6.3 below.

2.6.3 Offerors are advised that subsequent questions and/or requests for clarification included in a quotation shall neither be answered nor considered for evaluation and may be grounds for a determination of non-compliance.

2.6.4 Except as provided above, all questions will be answered by the Purchaser and the questions and answers (deprived of any means of identification of the questioner) will be issued in writing to all prospective Offerors. Answers will be provided on a weekly basis.

2.6.5 The published answers issued by the Purchaser shall be regarded as the authoritative interpretation of the RFQ, and may lead to a formal amendment to the RFQ. Such amendment may also contain changes to the language, terms, conditions and/or specifications of the RFQ. Amendments to the language of the RFQ included in the answers, and/or the formal RFQ amendment, shall be incorporated by the Offeror in its offer.

2.7 REQUESTS FOR WAIVERS AND DEVIATIONS

- 2.7.1 Offerors are informed that requests for alteration to, waivers of, or deviations from the Schedule, the Special Contract Provisions, the Terms and Conditions in the NCI Agency's Basic Ordering Agreement, the Technical Specifications, the Statement of Work and any other Terms and Conditions of the Prospective Contract will not be considered after the Request for Clarification process.
- 2.7.2 Requests for alterations to the other requirements, terms or conditions of the RFQ or the Prospective Contract may only be considered as part of the clarification process set forth in Section 2.6 above. Requests for alterations to the specifications, terms and conditions of the Contract which are included in a Quotation as submitted may be regarded by the Purchaser as a qualification or condition of the Quotation and may be grounds for a determination of non-compliance.

2.8 AMENDMENT OF THE RFQ

- 2.8.1 The Purchaser may revise, amend or correct the terms, conditions and/or specifications and provisions of the RFQ documents at any time prior to the date set for the RFQ Closing Date. Any and all modifications will be transmitted to all prospective Offerors by an official amendment designated as such and signed by the Contracting Authority. Such amendment shall be recorded in the Acknowledgement of Receipt which the Offeror shall complete and enclose as part of his quotation. This process may be part of the clarification procedures set forth in Section 2.6 above or may be an independent action on the part of the Purchaser.
- 2.8.2 The Purchaser will consider the potential impact of amendments on the ability of prospective Offerors to prepare a proper quotation within the allotted time. The Purchaser may extend the "RFQ Closing Date" at his discretion and such extension will be set forth in the amendment document.
- 2.8.3 In no case, however, will the closing date for receipt of quotation be less than seven (7) days from the date of issuance of any amendment to the RFQ.

2.9 MODIFICATION AND WITHDRAWAL OF QUOTATION

- 2.9.1 Quotations, once submitted, may be modified by Offerors, but only to the extent that the modifications are in writing, conform to the requirements of the RFQ, and are received by the Purchaser prior to the exact time and date established for RFQ Closing. Such modifications shall be considered as an integral part of the submitted quotation.
- 2.9.2 Modifications to quotations which arrive after the RFQ Closing Date will be considered as "Late Modifications" and will be processed in accordance with the procedure set forth above concerning "Late Quotation", except that unlike a "Late Quotation", the Purchaser will retain the modification until a selection is made. A modification to a quotation which is determined to be late will not be considered in the evaluation and selection process. If the Offeror submitting the modification is determined to be the successful Offeror on the basis of the unmodified quotation, the modification may then be opened. If the modification makes the terms of the quotation more favourable to the Purchaser, the modified quotation may be used as the basis of Contract award. The Purchaser, however, reserves the right to award a Contract to the apparent successful Offeror on the basis of the quotation submitted and disregard the late modification.
- 2.9.3 An Offeror may withdraw his Quotation at any time prior to Quotation Opening without penalty. In order to do so, an authorised agent or employee of the Offeror

must provide an original statement of the firm's decision to withdraw the Quotation and remove the Quotation from the Purchaser's premises.

2.10 QUOTATION VALIDITY

- 2.10.1 Offerors shall be bound by the term of their quotation in which the Offeror has provided a quotation for a period of 6 months starting from the RFQ Closing Date specified in Section 2.3.1.
- 2.10.2 In order to comply with this requirement, the Offeror shall complete the Certificate of Quotation Validity set forth in Annex B-3. Quotations offering less than the period of time referred to above for acceptance by the Purchaser may be determined to be non-compliant.
- 2.10.3 The Purchaser will endeavour to complete the evaluation and make an award within the period referred to above. However, should that period of time prove insufficient to render an award, the Purchaser reserves the right to request an extension of the period of validity of all quotations which remain under consideration for award.
- 2.10.4 Upon notification by the Purchaser of such a request for a time extension, the Offerors shall have the right to:
 - (a) accept this extension of time in which case Offerors shall be bound by the terms of their quotation for the extended period of time and the Certificate of Quotation Validity extended accordingly; or
 - (b) refuse this extension of time and withdraw the quotation without penalty.
- 2.10.5 Offerors shall not have the right to modify their quotations due to a Purchaser request for extension of the quotation validity unless expressly stated in such request.

2.11 CANCELLATION OF REQUEST FOR QUOTATIONS

- 2.11.1 The Purchaser may cancel, suspend or withdraw for re-issue at a later date this RFQ at any time prior to Contract award. No legal liability on the part of the Purchaser for payment of any sort shall arise and in no event will any Offeror have cause for action against the Purchaser for the recovery of costs incurred in connection with preparation and submission of a quotation in response to this RFQ.

2.12 ELECTRONIC TRANSMISSION OF INFORMATION AND DATA

- 2.12.1 The Purchaser will endeavour to communicate answers to requests for clarification and amendments to this RFQ to the prospective Offerors by the fastest means possible, including the use of e-mail where the firms have forwarded the necessary address information. All Offerors are consequently strongly encouraged to provide accurate email addressing information and notify the Purchaser at the earliest practicable date should any changes occur.
- 2.12.2 Offerors are cautioned that the Purchaser will rely exclusively on electronic mail to manage all correspondence, amendments, etc., related to this RFQ.

SECTION III - QUOTATION PREPARATION INSTRUCTIONS

3.1 GENERAL

- 3.1.1 Quotations shall be prepared in accordance with the instructions set forth herein. Failure to comply with these instructions may result in the Offer being declared non-compliant.
- 3.1.2 Quotations and all related documentation shall be submitted in the English language.
- 3.1.3 Offerors shall prepare a complete quotation which comprehensively addresses all requirements stated herein. The quotation shall demonstrate the Offeror's understanding of the RFQ and his ability to provide all the deliverables and services listed in the Schedule of Supplies and Services (SSS). Quotations which are not complete will be declared non-compliant.
- 3.1.4 The Offeror shall not restate the RFQ requirements in confirmatory terms only. The Offeror must clearly describe what is being offered and how the Offeror will meet all RFQ requirements. Statements in confirmatory terms will only be sufficient for determining the quotation to be non-compliant.
- 3.1.5 Offerors shall classify their response in accordance with the classification of the RFQ.
- 3.1.6 Offerors are advised that the Purchaser reserves the right to incorporate the Offeror's Technical Proposal in whole or in part in the resulting Contract.

3.2 QUOTATION CONTENT

- 3.2.1 The complete Quotation shall consist of three distinct and separated parts each of which will be send as an individual electronic submission as described in the following subparagraphs. Detailed requirements for the structure and content of each of these packages are contained in these RFQ Instructions.
- 3.2.2 All e-mails submitted shall be less than 20MB and shall not be password-protected.

Part	Format and Quantity Details
I: Quotation Administration Package	<u>1 .zip File Submitted by Email not larger than 20MB total , which includes:</u> <ul style="list-style-type: none"> 1 Scanned PDF copies of the certificates with physical (non-digital) signatures of the prescribed certifications ✓ All of the required contents are outlined in Section 3.3
II: Price Proposal	<u>1 .zip File Submitted by Email, which includes:</u> <ul style="list-style-type: none"> 1 Excel file, using the Pricing Sheets template provided with the RFQ 1 PDF file of the Pricing Sheets "Offer Summary" tab ✓ All of the required contents are outlined in Section 3.4
III: Technical Proposal	<u>1 .zip File Submitted by Email, which includes:</u> <ul style="list-style-type: none"> One file which addresses each evaluation criterion as described in Sections 3.2.5, 3.5, 4.4 and in accordance with the requirements of Section 3.5.2 Annex: Bid Requirements Cross Reference Matrix (BRCM): 1 Excel file ✓ If necessary, the technical volume may be separated into more than one email. Maximum email size per each email is 20MB. ✓ All of the required contents are outlined in Section 3.4

- 3.2.3 The quotation volumes shall be sent via separate e-mails to the Quotation Delivery e-mail address as specified in Paragraph 2.3.2 and in accordance with Paragraph 3.2.2 above.
- 3.2.4 No information disclosing or contributing to disclose the quotation price shall be made part of the Technical Proposal. Failure to abide to this prescription shall result in the quotation being declared non-compliant.
- 3.2.5 As part of the Technical Proposal, the Offeror shall provide One (1) unpriced copy of the Pricing Sheets detailing the breakdown of labour, hours and equipment.
- 3.2.6 Documents submitted in accordance with paragraph 3.2.1 above shall be classified no higher than “NATO UNCLASSIFIED” material.
- 3.2.6.1 Partial Quotations on a Schedule and/or Quotations containing conditional statements will be declared non-compliant.
- 3.2.7 Where no specific format is mandated, electronic quotation documentation shall be delivered in PDF format without limitations of printing or “copy & paste”. The Purchaser reserves the right to request native formats electronic files of the proposal to facilitate the evaluation process.

3.3 PREPARATION OF THE ADMINISTRATIVE PACKAGE (VOLUME I)

- 3.3.1 Contents: Required documents submitted by email, containing one PDF file comprised of all of the required documents.
- 3.3.2 No information disclosing or contributing to disclose the quotation price shall be made part of the Administration Volume. Failure to abide to this prescription shall result in the quotation being declared non-compliant.
- 3.3.3 Volume I shall include the certificates set forth in the Annex to these RFQ Instructions, signed in the original by an authorised representative of the Offeror. The text of the certificates must not be altered in any way. The certificates are as follows:
 - B-1: Certificate of Legal Name of Offeror
 - B-2: Certificate of Independent Determination
 - B-3: Certificate of Quotation Validity
 - B-4: Certificate of Understanding
 - B-5: Certificate of Exclusion of Taxes, Duties and Charges
 - B-6: Acknowledgement of Receipt of RFQ Amendments (if applicable)
 - B-7: Disclosure of Requirements for NCI Agency Execution of Supplemental Agreements
 - B-8: Certification of NATO Member Country of Origin of Delivered Equipment, Services, Materials and Intellectual Property Rights
 - B-9: Comprehension and Acceptance of Contract General and Special Provisions.

- B-10: List of Prospective Sub-Contractors / Consortium members
- B-11: AQAP 2110 Compliance or ISO-9001:2015 Certification. The Offeror shall attach a copy of the company's AQAP 2110 compliance or ISO 9001:2015 certification.
- B-12: List of Key Personnel.
- B-13: Disclosure of Involvement of Former NCI Agency Employment
- B-14: Offeror Background IPR
- B-15: List of Subcontractor IPR
- B-16: Vendor Supply Chain Security Self-Attestation Statement

3.3.3.1 Certificate B-7, Disclosure of Requirements for NCI Agency Execution of Supplemental Agreements, Offerors shall note especially the following:

- 3.3.3.1.1 If supplemental agreements, such as End-User Certificates or Technical Assistance Agreements, are required by national regulations, a draft version of these must be submitted with the Offeror's quote. Supplemental agreements submitted after the RFQ Closing Date shall not be considered.
- 3.3.3.1.2 The terms of supplemental agreements, if necessary, are the Offerors / Contractors responsibility and shall be totally consistent with the terms of the (Prospective) Contract, and shall not duplicate, negate, or further interpret any provisions of this Contract. The terms of the (Prospective) Contract shall take precedence over the Supplemental Agreement.
- 3.3.3.1.3 A problem with the supplemental agreement in any of the areas mentioned previously in this provision may result in a determination that the Quotation is not compliant with the terms of the RFQ, and in rejection of the Quotation, or termination for default of the Contract if the supplemental agreement is submitted after Contract award.

3.3.3.2 Certificate B-10, the Contractor shall identify by name, project role, and country of origin, all sub-contractors whose sub-contract value is expected to equal or exceed EUR 125,000, if any. A list of consortium members shall also be completed and included. If there are no sub-contractors/consortium members involved, the Offeror shall state this separately. The subcontractors listed in this certificate shall be traceable in the Pricing Sheets.

3.3.3.3 Certificate B-11 Offerors shall provide documentary evidence that the Offeror possesses and maintains a current certification that is compliant with the requirements of Allied Quality Assurance Publication (AQAP) 2110, ISO 9001:2015, or an equivalent QA/QC regime.

- 3.3.3.3.1 If the Offeror is presenting a QA/QC regime that is claimed to be equivalent to AQAP 2110 or ISO 9001:2015, the burden of proof of such equivalency shall be on the Offeror and such evidence of equivalency shall be submitted with the Certificate at Annex B-11 in the Administration Package.
- 3.3.3.3.2 Failure to execute this Certificate, or failure to provide documentary evidence of compliance with this requirement may result in a determination of a non-compliant quotation.

- 3.3.3.3.3 The Offeror will be required to maintain a valid certification throughout the duration of the contract.
- 3.3.3.3.4 If the Offeror provides a certification that is scheduled to expire, during the solicitation phase or during the contract performance period, the Offeror will be required to provide evidence that a renewal process has begun and that a renewed certification will be obtained.
- 3.3.3.4 **Certificate B-17**, Offerors are required to read the CONSULTATION, COMMAND AND CONTROL BOARD (C3B) Technical and Implementation Directive on Supply Chain Security for COTS CIS Security Enforcing Products. This Directive may be provided to Offerors requesting the Restricted Documents Pack. Offerors can request a copy of mentioned Directive through the email listed in Section 2.5.2.1.
- 3.3.4 The Offeror shall send Volume I - Administrative Package via email to the Purchaser's email address specified in Section 2.3.2 above. This shall consist of One (1) .zip file containing the Administrative Package.
- 3.3.4.1 The email shall be entitled: "RFQ-CO-115511-UOMM - Official Quote for [company name] – Volume I - Administrative Package" where the Administration Package .zip file shall be contained.

3.4 PREPARATION OF THE PRICE QUOTATION (VOLUME II)

- 3.4.1 The Offeror shall prepare their Price Proposal by submitting one (1) email containing the completed Pricing Sheets provided with this RFQ under Book I - RFQ Instructions Annex C in both Excel and PDF formats. The Offeror shall propose an accurate and complete price quotation in completing the Schedule of Supplies and Services (SSS) as defined in these RFQ Instructions in both Excel and PDF formats.
- 3.4.2 The prices provided shall be intended as the comprehensive total price offered for the fulfilment of all requirements as expressed in the RFQ documentation including but not limited to those expressed in the SOW.
- 3.4.3 Offeror shall furnish Firm Fixed Prices for all required items in accordance with the format set forth in the Instructions for preparation of the Pricing Sheets.
- 3.4.4 Offerors are responsible for the accuracy of their Price Quotations. Price Quotations that have apparent computational errors may have such errors resolved in the Purchaser's favour or, in the case of gross omissions, inconsistencies or errors, may be determined to be non-compliant.
- 3.4.5 Offeror shall quote in their own national currency or in EUR, the host nation currency. Offeror may also submit Quotations in multiple currencies including other NATO member states' currencies under the following conditions:
 - (a) The currency is of a "Participating Country" in the project, and
 - (b) The Offeror can demonstrate, either through sub-contract arrangements or in its proposed work methodology, that it will have equivalent expenses in that currency. All major sub-contracts and their approximate anticipated value should be listed on a separate sheet and included with the Price Quotation.

- 3.4.6 The Purchaser, by virtue of its status under the terms of Article IX and X of the Ottawa Agreement, is exempt from all direct taxes (incl. VAT) and all customs duties on merchandise imported or exported. The Contractor, therefore, shall certify that the prices stipulated in this Contract do not include amounts to cover such direct taxes or customs duties.
- 3.4.7 The Contractor shall be responsible for ensuring that its respective Sub-contractors are aware that the Purchaser is exempt from taxes and customs duties. The Contractor (and its respective Sub-contractors) shall be responsible for complying with all applicable national and local legal and administrative procedures to ensure that authorities do not attempt to assess taxes and customs duties on goods and property imported or exported through NATO member nation frontiers under this Contract nor assess direct taxation (VAT) on goods sold to the NCI Agency under this Contract. Offerors are reminded of the requirement to complete the certification to this effect in Annex B-5.
- 3.4.8 Unless otherwise specified in the instructions for the preparation of Pricing Sheets, all prices quoted in the proposal shall be DDP (Delivered Duty Paid) to specified destination, in accordance with the International Chamber of Commerce INCOTERMS 2020 and shall also cover all packaging, packing, preservation, insurance and transportation charges. Prices quoted shall include all costs for items supplied and delivered to final destination.
- 3.4.9 The Offeror's attention is directed to the fact that Price Quotation shall contain no document and/or information other than the priced copies of the Pricing Sheets and SSS. Any other document of a contractual or technical nature will not be considered for evaluation and may be cause for a determination of non-compliance by the Purchaser.
- 3.4.10 When completing the Pricing Sheets, a unit price and total fixed price for each specified element needs to be supplied on each CLIN line item. Offerors are required to insert price information in all cells marked in yellow in the Pricing Sheets. Prices should not be grouped. The prices and quantities entered on the document shall reflect the total items required to meet the contractual requirements. The total price shall be indicated in the appropriate columns and in the currency quoted. If the price of a line item is expressed in different currencies, these shall be identified, and there shall be as many totals on that line item as there are currencies. In preparing the Price Quotation, Offeror shall ensure that the prices of the Sub-items total the price of the major item of which they constitute a part. The accuracy of the inputs of the Pricing Sheets is the responsibility of the Offeror. The Purchaser in its favour may resolve ambiguous computation of prices.
- 3.4.11 The Offeror shall furnish Firm Fixed Price quotations, for all proposed items. Partial quotations shall be rejected.
- 3.4.12 The Offeror understands that there is no obligation under this Contract for the Purchaser to exercise an optional increase of the quantities set forth in any line items, and that the Purchaser bears no liability should it decide not to exercise such Option. Furthermore, the Purchaser reserves the right to order another contractor through a new contract with other conditions for the additional quantities of any line item it might need.
- 3.4.13 The Contractor shall be liable for all other taxes, assessments, fees, licences, administrative charges or other Government assessments or charges which are

applicable to the performance of this Contract. It is the Contractor's responsibility to inform itself of its liability in each country where such liability may arise.

- 3.4.14 Price Proposals exceeding the deadlines for delivery and completion of works indicated in the Schedule of Supplies and Services may be declared non-compliant.
- 3.4.15 The Offeror shall identify for each CLIN all significant sub-contractors and provide required information about their prospective sub-contractors whose estimated value of the subcontract is expected to equal or exceed EUR 125,000 using the "List of Prospective Sub-Contractors" form attached to Book I Annex B-10.
- 3.4.16 The Offeror shall separately price the cost of Warranty. Zero values or the statement that the Quotation price includes the cost of warranty are not allowed.
- 3.4.17 The Offeror shall send Package II - Pricing Package via email to the Purchaser's email address specified in Section 2.3.2 above. This shall consist of One (1) zip file containing the Pricing Package.
- 3.4.17.1 The email provided shall be entitled: "RFQ-CO-115511-UOMM Official Quote for [company name] - Part II - Price Quotation" where the Pricing Package .zip file shall be contained.

3.5 PREPARATION OF THE TECHNICAL PROPOSAL (VOLUME III)

- 3.5.1 The Offeror shall submit their Technical Proposal as one (1) email. This email shall contain one (1) .zip file which addresses each criterion as described in Sections 3.2, and 4.4 and in accordance with the requirements of Section 3.5.2.
- 3.5.2 The Technical Proposal package shall include the following:
 - 3.5.2.1 Table of Contents. Offeror shall compile a detailed Table of Contents which lists not only section headings but also major sub-sections, and topic headings required set forth in these Instructions or implicit in the organisation of the Technical Proposal.
 - 3.5.2.2 Cross-Reference/Compliance Table. The Offeror shall include the completed Technical Proposal Cross-Reference Table at Annex E of Book I. The Offeror shall complete the Column marked "QUOTATION REFERENCE" of the Table, citing the appropriate section of the Technical Proposal that corresponds to each paragraph of these Instructions for the Preparation of the Technical Proposal. The completed table serves as an index for the Purchaser's Technical Evaluation Panel and also as an aide memoire to the Offeror to ensure that all the required information has been provided in the Technical Proposal.
 - 3.5.2.3 Project Implementation Plan (PIP). The Offeror shall submit a preliminary Project Implementation Plan in accordance with the requirements of the Statement of Work (SOW Section 3.2) for the Urgent Obsolescence Management Mitigation (UOMM) (Book II Part IV), which clearly describes how the Offeror intends to implement the totality of the project in compliance with the contractual requirements and the following specific requirements.
 - 3.5.2.3.1 PIP Section 1 – Project Overview: The Offeror shall provide the Project Overview which shall provide an executive summary overview of the offered capability. The Project Overview shall also summarise the main features of each of the sections of the Technical Proposal and shall indicate in broad detail how the Project will be executed during the full lifetime of the Project.

- 3.5.2.3.2 PIP Section 2 – Applicable Documents: listing all documents or standards referenced by the other sections of the PIP.
- 3.5.2.3.3 PIP Section 3 – Project Management Plan (PMP): defining how the Offeror intends to manage this project from contract signature through to Final System Acceptance and throughout any warranty periods.
 - 3.5.2.3.3.1 The PMP shall consider all aspects of project management and control detailed in the SOW Section 3.2.4 and demonstrate how all the critical dates defined in the contract will be met.
 - 3.5.2.3.3.2 The PMP shall include a Project Breakdown Structure (PBS) that shall contain the critical work elements (tasks) of the project and illustrate their relationships to each other and to the project as a whole.
- 3.5.2.3.4 PIP Section 4 – System Design, Integration and Implementation: The Offeror shall describe how the UOMM capability and underlying components will be implemented with sufficient technical detail for the Purchaser to determine compliance with the SOW. For this purpose the Offeror shall provide in its Quotation a draft Site Implementation Plan which shall demonstrate compliance with the Requirements as specified under SOW Sections 3.2.5 and 4.1, and indicate how the components and quantities of equipment and licenses in the SSS are to be deployed.
- 3.5.2.3.5 PIP Section 5 – Integrated Product Support (IPS): The Offeror shall describe the Integrated Product Support (IPS) aspects of the Quotation. This description shall address, with an adequate level of detail, the following: Offeror's IPS Organisation, Roles, Responsibilities and Procedures; Maintenance Concept; Logistic Support Analysis (LSA) & Reliability, Maintainability, Availability, Testability (RAMT); Technical Documentation and Data, Supply Support, Support and Test Equipment Lists; Training, including Manpower and Personnel Requirements; Planning and execution of Handling and Storage; Warranty; and Planning of Supply Chain Security as set forth in the SOW Section 5 and in accordance with the applicable Standards and Specifications required in SOW Sections 2 and 3.2.6. The description shall provide sufficient evidence to confirm that the Offeror will be able to meet the timelines in accordance with the requirements of the Schedule of Supplies and Services and the SOW.
- 3.5.2.3.6 PIP Section 6 – Quality Assurance and Quality Control: The Offeror shall cover the Quality Assurance and Quality Control aspects of the Project, as specified in the SOW Sections 3.2.7 and 6. This Section shall include the QA Plan (QAP), with details of how the Offeror shall establish, execute, document and maintain an effective Quality Assurance (QA) program, throughout the Contract lifetime.
- 3.5.2.3.7 PIP Section 7 – Configuration Management: In this Section, the Offeror shall describe how it can meet the Configuration Management requirements as specified in the SOW Section 7. In conformance with the required Standards and Specifications required in SOW Sections 2 and 3.2.8, this shall include a description of the unique Configuration Management framework, Baselines, the Product Lifecycle Management (PLM) tool, and the Configuration Management Database (CMDB).

- 3.5.2.3.8 PIP Section 8 – Testing and Acceptance: The Offeror shall describe how it can meet the UOMM testing requirements and its methodology for conducting all related activities as detailed in the SOW Sections 3.2.9 and 8. This includes the development of all test documentation required under this Contract, the conduct of all testing, the evaluation and documentation of the tests results by an Independent Verification and Validation (IV&V) as specified in the SOW Section 8.
- 3.5.2.3.9 PIP Section 9 – Documentation: The Offeror shall describe their Documentation Pack and proposed Project Portal as required in SOW Section 3.4 and in accordance with applicable Standards and Specifications detailed in SOW Sections 2 and 3.2.10 (including but not limited to ISO9001:2015). The Contractor shall provide details on when and how the documents will be delivered.
- 3.5.2.3.10 PIP Section 10 – Training: The Offeror shall describe how it can meet the Training requirements as specified in the SOW Sections 3.2.11, 5.6.
- 3.5.2.4 Project Master Schedule (PMS): that shall contain all contract events and milestones for the Project. As described in the SOW Section 3.3, the PMS shall show all contractual deliverables, their delivery dates, and the tasks associated with them, including the Purchaser's review stages. The PMS shall for each task identify the start and finish dates, duration, predecessors, constraints, and resources. The PMS shall provide network, milestone, and Gantt views, and identify the critical path for the overall project. Any PMS which does not align with the dates provided in the SSS may be determined to be non-compliant.
- 3.5.2.5 Corporate Experience: The Offeror shall provide at least one (1) executive summary describing the successful delivery of a similar project in a similar environment during the last five (5) years. For each project, the Contractor shall describe:
- 3.5.2.5.1 The domain or area (ideally the customer name), the size (contract value range), duration and challenges encountered with remediation;
- 3.5.2.5.2 The scope of work, demonstrating its capability to implement Urgent Obsolescence Management Capabilities similar to the requirements defined in SOW Section 4.1.
- 3.5.2.6 Key Personnel CVs: The Offeror shall provide the CV of the proposed Project Manager, Technical Lead, Quality Assurance Representative (QAR), Integrated Product Support Manager (IPSM).
- 3.5.2.6.1 For the Project Manager, the Offeror shall provide details about the qualifications, evidence of six (6) years' experience of successfully delivering requirements of a similar scope, duration, complexity and value and experience of applying formal project management methodologies (such as PRINCE2).
- 3.5.2.6.2 For the Technical Lead, the Offeror shall provide details about the qualifications, evidence of seven (7) years' experience in engineering positions associated with the review, design, development, evaluation, planning and operation of electrical or electronic components, subsystems, or systems for government or commercial use, membership of a recognised professional body and evidence of seven (7) years' experience in system

design and integration of networking and communication component parts similar to those detailed in the Statement of Work.

- 3.5.2.6.3 For the Quality Assurance Representative (QAR), the Offeror shall provide details about the qualifications, evidence of seven (7) years' experience in working with quality control methods and tools and have a broad knowledge of NATO Standards (e.g. STANAG 4107 Ed. 11), processes and procedures applicable to Quality Assurance (QA) and Quality Control (QC) in the industry.
- 3.5.2.6.4 For the Integrated Product Support Manager (IPSM), the Offeror shall provide details about the qualifications, evidence of ten (10) years' experience in Supportability Engineering for HW/SW intensive systems, preferably in the Defense and Electronic sector. The IPSM shall have a systems engineering background or a supportability engineering equivalent certification with deep knowledge of the IPS related NATO standards, handbooks, ISOs/IEC and ASD (Aerospace & Defence) Suite (S1000D, S2000M, S3000L) and tools. The IPSM shall have experience in IPS elements and processes (e.g. LSA – Logistic Support Analysis, RAMT – Reliability, Availability, Maintainability and Testability, Training, Documentation etc.) and Configuration Management standards and procedures (e.g. STANAG 4427 Ed. 3 and ISO 10007)
- 3.5.2.7 Purchaser Furnished Equipment (PFE) Management: in accordance with SOW Section 4.2, the Offeror shall provide details on its approach to preventing projects from stalling following delay in the provision of PFE.
- 3.5.3 The Offeror shall send Volume III – Technical Package via email to the Purchaser's email address specified in Section 2.3.2 above. This shall consist of One (1) .zip file containing the Technical Package and One (1) unpriced copy of the Pricing Sheets as per Section 3.2.3 above.
- 3.5.3.1 The email provided shall be entitled: "RFQ-CO-115511-UOMM - Official Quote for [company name] - Part III - Technical Proposal" where the Technical Package .zip file shall be contained.

SECTION IV - QUOTATION EVALUATION

4.1 GENERAL

- 4.1.1 The evaluation of Quotations will be made by the Purchaser solely on the basis of the requirements in this RFQ.
- 4.1.2 The evaluation of Quotations and the determination as to the compliance or technical adequacy of the supplies and services offered will be based only on that information furnished by the Offeror and contained in its Quotation. The Purchaser shall not be responsible for locating or securing any information which is not included in the Quotation.
- 4.1.3 To ensure that sufficient information is available, the Offeror shall furnish with its Quotation all information appropriate to provide a complete description of the work which will be performed and/or the supplies to be delivered. The information provided shall be to a level of detail necessary for the Purchaser to determine exactly what the Offeror proposes to furnish and whether the offer meets the technical, administrative and contractual requirements of this RFQ. Significant omissions and/or cursory submissions may result in a determination of non-compliance without recourse to further clarification.
- 4.1.4 During the evaluation, the Purchaser may request clarification of the Quotation from the Offeror, and the Offeror shall provide sufficient detailed information in connection with such requests as to permit the Purchaser to make a final determination based upon the facts. The purpose of such clarifications will be to resolve ambiguities in the Quotation and to permit the Offeror to state its intentions regarding certain statements contained therein. The Offeror is not permitted any cardinal alteration of the Quotation regarding technical matters and shall not make any change to its price quotation at any time nor restate the Statement of Work (SOW).
- 4.1.5 The Offeror's prompt response to the Purchaser's RFQ clarification requests is important and therefore failure to provide the requested clarifications within the time-limits set forth in the specific Clarification Requests may cause the Quotation to be deemed non-compliant.
- 4.1.6 The evaluation will be conducted in accordance with the Use of Basic Ordering Agreements (BOAs) by the NATO Communications and Information Agency (NCI Agency) set forth in the NATO document AC/4-D(2019)0004 (INV).
- 4.1.7 The administrative compliance of the Quotations will be evaluated first. Quotations that are declared administratively non-compliant may be rejected without further evaluation. Following evaluation for administrative compliance, evaluation will be carried out in the following two areas: Volume II - Price, Volume III- Technical. Should areas of Administrative non-compliance be identified in the Pricing or Technical evaluation this shall be treated in accordance with Section 4.2 below.
- 4.1.8 All administrative compliant Quotations will be reviewed for price compliance and the identified lowest offer will be reviewed for technical compliance. Any Contract resulting from this RFQ will be awarded to the Offeror whose offer, as evaluated by the Purchaser, is the lowest priced, technically compliant quotation and in compliance with the requirements of this RFQ.

4.2 ADMINISTRATIVE CRITERIA

- 4.2.1 Prior to commencement of the Price and Technical evaluation, Quotations will be reviewed for compliance with the Quotation Submission Requirements of this RFQ. These are as follows:
- (a) The Quotation was received by the RFQ Closing Date and Time,
 - (b) The Quotation was packaged and marked properly (Paragraphs. 3.2 to 3.3),
 - (c) The Quotation is provided in the English language,
 - (d) The Administrative Package contains all the requested signed originals of the required Certificates at Annex B hereto (Paragraph 3.3).
- 4.2.2 A Quotation that fails to conform to the above requirements may be declared non-compliant and may not be evaluated further by the Purchaser.
- 4.2.3 If it is discovered, during either the Price or Technical evaluation, that the Offeror has taken exception to the Terms and Conditions of the Prospective Contract, or has qualified and/or otherwise conditioned its Quotation on a modification or alteration of the Terms and Conditions or the language of the Statement of Work, the Offeror may be determined to have submitted a non-compliant Quotation.

4.3 PRICE CRITERIA

- 4.3.1 The Offeror's Price Quotation will be first assessed for compliance against the following standards:
- 4.3.1.1 The Price Quotation meets the requirements for preparation and submission of the Price Quotation set forth in the Quotation Preparation Section and the Instructions for preparation of the Pricing Sheets (Annex C) in particular.
 - 4.3.1.2 Adequacy, accuracy, traceability and completeness of detailed pricing information.
 - 4.3.1.2.1 The Offeror has furnished Firm Fixed Prices for all items listed. Not having provided a price for all items as required per the Pricing Sheets, i.e. to fill out all yellow fields, may render the Quotation non-compliant. Prices cannot be embedded/included in other prices.
 - 4.3.1.2.2 All pricing data, i.e., quantities, unit prices, has been provided as reflected in the Pricing Sheets.
 - 4.3.1.2.3 Quotation prices include all costs for items supplied, delivered, and supported.
 - 4.3.1.2.4 All prices have been accurately entered into appropriate columns and accurately totalled.
 - 4.3.1.2.5 The Offeror has provided accurate unit prices (where required) and a total price for each line item.
 - 4.3.1.2.6 The Offeror has provided accurate unit prices and a total price of each of the sub-items it added (if any).

- 4.3.1.2.7 The currency of all line items has been clearly indicated.
- 4.3.1.2.8 The Offeror has quoted in its own national currency or in the Host Nation currency, Euros. Where multiple currencies including other NATO member states' currencies are quoted, the conditions of Section III, Paragraph 3.4.5 shall be met.
- 4.3.1.2.9 The Offeror has indicated that in accordance with the treaties governing the terms of business with NATO, it excluded from its prices all taxes, duties and customs charges from which the Purchaser has been exempted.
- 4.3.1.2.10 Price quotes for each individual item(s), and totalled prices are accurate and realistic (based on historic data, and/or market and competitive trends in the specified industrial sector(s)).
- 4.3.1.2.11 Detailed pricing information has been provided and is adequate, accurate, traceable, and complete.
- 4.3.1.2.12 The Price Quotation meets requirements for price realism as described below in Paragraph 4.3.5.
- 4.3.2 A Quotation which fails to meet the compliance standards defined in this section may be declared non-compliant and may not be evaluated further by the Purchaser.
- 4.3.3 Basis of Price Comparison to determine lowest compliant Quotation**
 - 4.3.3.1 The Purchaser will convert all prices quoted into EURO for purposes of comparison and computation of price scores. The exchange rate to be utilised by the Purchaser will be the average of the official buying and selling rates of the European Central Bank at close of business on the last working day preceding the RFQ Closing Date.
 - 4.3.3.2 The price comparison will be based on the Offered Grand Total Firm Fixed Price which includes all **CLINs** in the Pricing Sheets.
 - 4.3.4 **Inconsistencies and discrepancies in Quotation price quotation.** In case of inconsistencies, discrepancies and/or contradictory pricing information in the different parts of the Quotation price submission and notwithstanding the possibility for the Purchaser, at its sole discretion to obtain clarification from the Offeror, for the purpose of determining the total price of the Quotation, the following order of precedence shall apply:
 - 4.3.4.1 PDF copy of the completed Pricing Sheets
 - 4.3.4.1.1 Schedule of Supplies and Services Total to be Evaluated Quotation Price as indicated by the Offeror
 - 4.3.4.1.2 Total of the Quotation calculated from the indicated Total Prices(s) indicated per CLIN(s)
 - 4.3.4.2 Microsoft Excel copy of the completed Pricing Sheets
 - 4.3.4.2.1 Schedule of Supplies and Services Total to be Evaluated Quotation Price as indicated by the Offeror

4.3.4.2.2 Total of the Quotation calculated from the indicated Total Prices(s) indicated per CLIN(s)

4.3.5 Price Realism

4.3.5.1 Should an Offeror submit a price quotation so low that it is not a realistic reflection of the objective cost of performance of the associated technical proposal, this may be considered by the Purchaser to be an unrealistic offer and may be determined to be non-compliant.

4.3.5.2 Indicators of an unrealistically low Quotation may include, but are not limited to, the following:

4.3.5.2.1 Labour Costs that, when amortised over the expected or proposed direct labour hours, indicate average labour rates far below those prevailing in the Offeror locality for the types of labour proposed.

4.3.5.2.2 Direct Material costs that are considered to be too low for the amounts and types of material proposed, based on prevailing market prices for such material.

4.3.5.2.3 Numerous Line Item prices for supplies and services that are provided at no cost or at nominal prices.

4.3.5.3 If the Purchaser has reason to suspect that a Offeror has artificially debased its prices in order to secure contract award, the Purchaser will request clarification of the Quotation in this regard and the Offeror shall provide explanation on one of the following basis:

4.3.5.3.1 An error was made in the preparation of the Price Quotation. In such a case, the Offeror must document the nature of the error and show background documentation concerning the preparation of the Price Quotation that makes a convincing case that a mistake was made by the Offeror. In such a case, the Offeror shall petition the Purchaser to both remain in the competition and accept the Contract at the offered price, or to withdraw from the competition.

4.3.5.3.2 The Offeror has a competitive advantage due to prior experience or industrial/technological processes that demonstrably reduce the costs of Offeror performance and therefore the price offered is realistic. Such an argument must support the technical proposal offered and convincingly and objectively describe the competitive advantage and the net savings achieved by this advantage over standard market practices and technology.

4.3.5.3.3 The Offeror recognises that the submitted Price Quotation is unrealistically low compared to its cost of performance and, for business reasons, the Offeror is willing to absorb such a loss. Such a statement can only be made by the head of the business unit submitting the Quotation and will normally be made at the level of Chief Operating Officer or Chief Executive Officer. In such a case, the Offeror shall estimate the potential loss and show that the financial resources of the Offeror are adequate to withstand such reduction in revenue.

4.3.5.4 If an Offeror fails to submit a comprehensive and compelling response on one of the basis above, the Purchaser may determine the Quotation submitted as non-

compliant. If the Offeror responds on the basis of the above and requests to withdraw from the competition, the Purchaser may, depending on the nature and gravity of the mistake, allow the Offeror to withdraw.

- 4.3.5.5 If the Purchaser accepts the Offeror's explanation of mistake in Section 4.3.5.3.1 and allows the Offeror to accept the Contract at the offered price, or the Purchaser accepts the Offeror's explanation pursuant to Section 4.3.5.3.3 above, the Offeror shall agree that the supporting pricing data submitted with its Quotation will be incorporated by reference in the resultant Contract. The Offeror shall agree as a condition of Contract signature, that the pricing data will be the basis of determining fair and reasonable pricing for all subsequent negotiations for modifications of or additions to the Contract and that no revisions of proposed prices will be made.
- 4.3.5.6 If the Offeror presents a convincing rationale pursuant to Section 4.3.5.3.2 above, no additional action will be warranted. The Purchaser, however, reserves its right to reject such an argument if the rationale is not compelling or capable of objective analysis. In such a case the Quotation may be determined to be non-compliant.

4.4 TECHNICAL CRITERIA

- 4.4.1 Upon determination of the lowest-priced Quotation as described above, the Quotation shall be evaluated to confirm compliance with the following technical criteria associated with the respective sections of the Technical Proposal.

4.4.2 1) Technical Proposal Table of Contents and Cross Reference Compliance Table

- 4.4.2.1 **Aim** – The purpose of this criterion is to ensure the Offeror has provided a Technical Proposal addressing each element of section 3.5.2.1 (Table of Contents) and section 3.5.2.2 (Cross Reference/Compliance Table) of the Book I – RFQ Instructions.

- 4.4.2.2 **Criterion** – The Offeror shall ensure that its Technical Proposal includes and addresses each element of section 3.5.2.1 and section 3.5.2.2 of the Book I – RFQ Instructions.

4.4.2.3 Document References

- 4.4.2.3.1 RFQ Instructions. Section 3.5.2.1
- 4.4.2.3.2 RFQ Instructions, Section 3.5.2.2
- 4.4.2.3.3 RFQ Instructions ANNEX E – COMPLIANCE TABLE

4.4.2.4 Pass/Fail Criteria

- 4.4.2.4.1 Pass – The Offeror has included each element from section 3.5.2.1 and section 3.5.2.2 of the Book I – RFQ Instructions in their Technical Proposal.
- 4.4.2.4.2 Fail – The Offeror has not included each element from section 3.5.2.1 and section 3.5.2.2 of the Book I – RFQ Instructions in their Technical Proposal.

4.4.3 2) Project Overview and Applicable Documents

- 4.4.3.1 **Aim** – The purpose of this criterion is to ensure the Offeror has provided a Technical Proposal addressing each element of section 3.5.2.3.1 and section 3.5.2.3.2 of the Book I – RFQ Instructions.

- 4.4.3.2 **Criterion** – The Offeror shall ensure that its Technical Proposal includes and addresses each element of section 3.5.2.3.1 and section 3.5.2.3.2 of the Book I – RFQ Instructions.

4.4.3.3 Document References

- 4.4.3.3.1 RFQ Instructions, Section 3.5.2.3.1
- 4.4.3.3.2 RFQ Instructions, Section 3.5.2.3.2
- 4.4.3.3.3 SOW Sections 3.2.2 and 3.2.3

4.4.3.4 Pass/Fail Criteria

- 4.4.3.4.1 Pass – The Offeror has included each element from section 3.5.2.3.1 and section 3.5.2.3.2 of the Book I – RFQ Instructions in their Technical Proposal.
- 4.4.3.4.2 Fail – The Offeror has not included each element from section 3.5.2.3.1 and section 3.5.2.3.2 of the Book I – RFQ Instructions in their Technical Proposal.

4.4.4 3) Project Management Plan (PMP)

4.4.4.1 **Aim** – The purpose of this criterion is for the Purchaser to understand the Offeror's approach to delivering the Project Management requirements of the Project Management Plan (PMP) detailed in the Statement of Work (SOW) Section 3.2.4.

4.4.4.2 **Criterion** – At no longer than ten (10) pages in length, the Offeror shall detail the section 3 of the PIP, meeting the requirements specified in the Statement of Work (SOW) Section 3.2.4.

4.4.4.3 Document References

4.4.4.3.1 RFQ Instructions, Section 3.5.2.3.3

4.4.4.3.2 SOW Section 3.2.4

4.4.4.4 Pass/Fail Criteria

4.4.4.4.1 Pass – The Offeror has provided a proposal which clearly addresses how the requirements of SOW Section 3.2.4 will be delivered.

4.4.4.4.2 Fail – The Offeror has not answered the question or the Offeror has not met the requirements specified in the SOW Section 3.2.4.

4.4.5 4) System Design, Integration and Implementation

4.4.5.1 **Aim** – The purpose of this criterion is for the Purchaser to understand the Offeror's approach to delivering the System Design, Integration and Implementation requirements of the Project Implementation Plan (PIP) detailed in the Statement of Work (SOW) Section 3.2.5 and Section 4.1.

4.4.5.2 **Criterion** – At no longer than thirty (30) pages in length, the Offeror shall provide a PIP section 4 and Site Implementation Plan detailed in the Statement of Work (SOW) Section 3.2.5 and Section 4.1.

4.4.5.3 Document References

4.4.5.3.1 RFQ Instructions, Section 3.5.2.3.4

4.4.5.3.2 SOW Sections 3.2.5 and 4.1

4.4.5.4 Pass/Fail Criteria

4.4.5.4.1 Pass – The Offeror's Technical Proposal contains a PIP section 4 which clearly explains how the requirements specified in the Document References above shall be met by the Offeror. The Offeror's PIP section 4 clearly demonstrates how the work under PIP section 4 shall be delivered; indicating how the components and quantities of equipment and licences in the SSS, and the Urgent Obsolescence Management Capabilities are deployed in the Offeror's proposal and plans.

4.4.5.4.2 Fail – The Offeror has not submitted a response to this criterion, or the Offeror's Technical Proposal does not contain a PIP section 4 explaining how the requirements specified in the Document References above shall be met by the Offeror.

4.4.6 5) Integrated Product Support (IPS)

4.4.6.1 **Aim** – The purpose of this criterion is for the Purchaser to understand the Offeror's approach to delivering the IPS requirements of the Project as detailed in the Statement of Work (SOW) Section 3.2.6 and Section 5.

4.4.6.2 **Criterion** – At no less than ten (10) pages and not more than thirty (30) pages in length, the Offeror shall provide a PIP section 5 explaining how the requirements specified in the Document References below shall be met.

4.4.6.3 Document References

4.4.6.3.1 RFQ Instructions, Section 3.5.2.3.5

4.4.6.3.2 SOW Sections 2, 3.2.6 and 5

4.4.6.4 Pass/Fail Criteria

4.4.6.4.1 Pass – The Offeror's Technical Proposal contains a PIP section 5 which clearly explains how the requirements specified in the Document References above shall be met by the Offeror.

4.4.6.4.2 Fail – The Offeror has not submitted a response to this criterion, or the Offeror's Technical Proposal does not contain a PIP section 5 explaining how the requirements specified in the Document References above shall be met by the Offeror.

4.4.7 6) Quality Assurance and Quality Control

4.4.7.1 **Aim** – The purpose of this criterion is for the Purchaser to understand the Offeror's approach to delivering the Quality Assurance and Quality Control requirements of the Project Implementation Plan (PIP) detailed in the Statement of Work (SOW) Sections 3.2.7 and 6.

4.4.7.2 **Criterion** – At not less than three (3) pages and not longer than ten (10) pages in length, the Offeror shall provide a PIP section 6 explaining how the requirements specified in the Document References below shall be met.

4.4.7.3 Document References

4.4.7.3.1 RFQ Instructions, Section 3.5.2.3.6

4.4.7.3.2 SOW Sections 2, 3.2.7 and 6

4.4.7.4 Pass/Fail Criteria

4.4.7.4.1 Pass – The Offeror's Technical Proposal contains a PIP section 6 which clearly explains how the requirements specified in the Document References above shall be met by the Offeror.

4.4.7.4.2 Fail – The Offeror has not submitted a response to this criterion, or the Offeror's Technical Proposal does not contain a PIP section 6 explaining how the requirements specified in the Document References above shall be met by the Offeror.

4.4.8 7) Configuration Management

4.4.8.1 **Aim** – The purpose of this criterion is for the Purchaser to understand the Offeror's approach to delivering the Configuration Management requirements of the Project Implementation Plan (PIP) detailed in the Statement of Work (SOW) Section 3.2.8 and Section 7.

- 4.4.8.2 **Criterion** – At no less than three (3) pages and not longer than ten (10) pages in length, the Offeror shall provide a PIP section 6 explaining how the requirements specified in the Document References below shall be met.

4.4.8.3 Document References

- 4.4.8.3.1 RFQ Instructions, Section 3.5.2.3.7
- 4.4.8.3.2 SOW Sections 2, 3.2.8 and 7

4.4.8.4 Pass/Fail Criteria

- 4.4.8.4.1 Pass – The Offeror's Technical Proposal contains a PIP section 7 which clearly explains how the requirements specified in the Document References above shall be met by the Offeror.
- 4.4.8.4.2 Fail – The Offeror has not submitted a response to this criterion, or the Offeror's Technical Proposal does not contain a PIP section 7 explaining how the requirements specified in the Document References above shall be met by the Offeror.

4.4.9 8) Testing and Acceptance

- 4.4.9.1 **Aim** – The purpose of this criterion is for the Purchaser to understand the Offeror's approach to delivering the Testing and Acceptance requirements of the Project Implementation Plan (PIP) detailed in the Statement of Work (SOW) Section 3.2.9 and Section 8.

- 4.4.9.2 **Criterion** – At no longer than twenty (20) pages in length, the Offeror shall provide a PIP section 8 explaining how the requirements specified in the Document References below shall be met.

4.4.9.3 Document References

- 4.4.9.3.1 RFQ Instructions, Section 3.5.2.3.8
- 4.4.9.3.2 SOW Sections 3.2.9 and 8

4.4.9.4 Pass/Fail Criteria

- 4.4.9.4.1 Pass – The Offeror's Technical Proposal contains a PIP section 8 which clearly explains how the requirements specified in the Document References above shall be met by the Offeror.
- 4.4.9.4.2 Fail – The Offeror has not submitted a response to this criterion, or the Offeror's Technical Proposal does not contain a PIP section 8 explaining how the requirements specified in the Document References above shall be met by the Offeror.

4.4.10 9) Documentation

- 4.4.10.1 **Aim** – The purpose of this criterion is for the Purchaser to understand the Offeror's approach to delivering the Documentation and Project Portal requirements of the Project Implementation Plan (PIP) detailed in the Statement of Work (SOW) Section 3.2.10.

- 4.4.10.2 **Criterion** – At no longer than ten (10) pages in length, the Offeror shall provide a PIP section 9 explaining how the requirements specified in the Document References below shall be met.

4.4.10.3 Document References

- 4.4.10.3.1 RFQ Instructions, Section 3.5.2.3.9

4.4.10.3.2 SOW Sections 2, 3.2.10 and 3.4

4.4.10.4 Pass/Fail Criteria

4.4.10.4.1 Pass – The Offeror's Technical Proposal contains a PIP section 9 which clearly explains how the requirements specified in the Document References above shall be met by the Offeror.

4.4.10.4.2 Fail – The Offeror has not submitted a response to this criterion, or the Offeror's Technical Proposal does not contain a PIP section 9 explaining how the requirements specified in the Document References above shall be met by the Offeror.

4.4.11 10) Training

4.4.11.1 **Aim** – The purpose of this criterion is for the Purchaser to understand the Offeror's approach to delivering the Training requirements of the Project Implementation Plan (PIP) detailed in the Statement of Work (SOW) Section 3.2.11 and Section 5.6.

4.4.11.2 **Criterion** – At no longer than five (5) pages in length, the Offeror shall provide a PIP section 9 explaining how the requirements specified in the Document References below shall be met.

4.4.11.3 Document References

4.4.11.3.1 RFQ Instructions, Section 3.5.2.3.10

4.4.11.3.2 SOW Sections 3.2.11 and 5.6

4.4.11.4 Pass/Fail Criteria

4.4.11.4.1 Pass – The Offeror's Technical Proposal contains a PIP section 10 which clearly explains how the requirements specified in the Document References above shall be met by the Offeror.

4.4.11.4.2 Fail – The Offeror has not submitted a response to this criterion, or the Offeror's Technical Proposal does not contain a PIP section 10 explaining how the requirements specified in the Document References above shall be met by the Offeror.

4.4.12 11) Project Master Schedule (PMS)

4.4.12.1 **Aim** – The purpose of this criterion is for the Purchaser to understand the Offeror's approach to delivering the PMS requirements of the Project Implementation Plan (PIP) detailed in the Statement of Work (SOW) Section 3.3 and by the dates provided in the Schedule of Supplies and Services (SSS).

4.4.12.2 **Criterion** – The Offeror shall provide a PMS containing a preliminary Schedule and explain how the requirements and deadlines specified in the Document References below shall be met. The Offeror shall include a preliminary Plan on a Page (PoaP)

4.4.12.3 Document References

4.4.12.3.1 RFQ Instructions, Section 3.5.2.4

4.4.12.3.2 SOW Section 3.3

4.4.12.4 Pass/Fail Criteria

4.4.12.4.1 Pass – The Offeror's Technical Proposal includes a PMS which provides a preliminary Schedule clearly explaining how the requirements specified in the Document References above shall be met and delivered by the Offeror by the dates provided in the SSS. The proposal shall also include a PoaP.

4.4.12.4.2 Fail – The Offeror has not submitted a response to this criterion, or the Offeror's Technical Proposal does not include a PMS which provides a preliminary PMS clearly explaining how the requirements specified in the Document References above shall be met and delivered by the Offeror by the dates provided in the SSS. A PoaP is not included or acceptable.

4.4.13 12) Corporate Experience

4.4.13.1 **Aim** – The purpose of this criterion is to provide confidence to the Purchaser that the Offeror has the necessary corporate experience of delivering successfully similar requirements to those in the Statement of Work (SOW).

4.4.13.2 **Criterion** – At no longer than two (2) pages in length, the Offeror shall detail its corporate experience of delivering similar requirements (as a prime or subcontractor) in a similar environment in the last five (5) years.

4.4.13.3 Document References

4.4.13.3.1 RFQ Instructions, Section 3.5.2.5

4.4.13.3.2 SOW Section 4.1

4.4.13.4 Pass/Fail Criteria

4.4.13.4.1 Pass – The Offeror's Technical Proposal contains at least one (1) example of successfully delivering a similar requirement in a similar environment (as a prime or subcontractor) in the last five (5) years.

4.4.13.4.2 Fail – The Offeror has not submitted a response to this criterion, or the Offeror's Technical Proposal does not demonstrate any previous experience in delivering similar requirements (as a prime or subcontractor) in a similar environment in the last five (5) years.

4.4.14 13) Project Manager's Experience

4.4.14.1 **Aim** – The purpose of this criterion is to provide confidence to the Purchaser that the Offeror's Project Manager has the necessary experience in managing similar projects and can meet the requirements defined in the Statement of Work.

4.4.14.2 **Criterion** – At no longer than two (2) pages in length, the Offeror shall provide a CV for their offered Project Manager detailing their individual experience in accordance with the requirements specified in the Document Reference below.

4.4.14.3 Document Reference

4.4.14.3.1 RFQ Instructions, Section 3.5.2.6.1

4.4.14.3.2 SOW Section 3.1.3

4.4.14.4 Pass/Fail Criteria

4.4.14.4.1 Pass – The Offeror's Technical Proposal contains a Project Manager's CV which clearly explains how the requirements specified in the Document Reference above shall be met by the Offeror.

- 4.4.14.4.2 Fail – The Offeror has not submitted a response to this criterion, or the Offeror's Technical Proposal does not contain a Project Manager's CV which clearly explains how the requirements specified in the Document Reference above shall be met by the Offeror.

4.4.15 14) Technical Lead's Experience

- 4.4.15.1 **Aim** – The purpose of this criterion is to provide confidence to the Purchaser that the Offeror's Technical Lead has the necessary experience of delivering similar requirements and can meet the requirements defined in the Statement of Work.
- 4.4.15.2 **Criterion** – At no longer than two (2) pages in length, the Offeror shall provide a CV for their offered Technical Lead detailing their individual experience in accordance with the requirements specified in the Document Reference below.

4.4.15.3 Document Reference

- 4.4.15.3.1 RFQ Instructions, Section 3.5.2.6.2
- 4.4.15.3.2 SOW Section 3.1.4

4.4.15.4 Pass/Fail Criteria

- 4.4.15.4.1 Pass – The Offeror's Technical Proposal contains a Technical Lead's CV which clearly explains how the requirements specified in the Document Reference above shall be met by the Offeror.
- 4.4.15.4.2 Fail – The Offeror has not submitted a response to this criterion, or the Offeror's Technical Proposal does not contain a Technical Lead's CV which clearly explains how the requirements specified in the Document Reference above shall be met by the Offeror.

4.4.16 15) Quality Assurance Representative (QAR)

- 4.4.16.1 **Aim** – The purpose of this criterion is to provide confidence to the Purchaser that the Offeror's QAR has the necessary experience of delivering similar requirements and can meet the requirements defined in the Statement of Work.
- 4.4.16.2 **Criterion** – At no longer than two (2) pages in length, the Offeror shall provide a CV for their offered QAR detailing their individual experience in accordance with the requirements specified in the Document Reference below.

4.4.16.3 Document Reference

- 4.4.16.3.1 RFQ Instructions, Section 3.5.2.6.3
- 4.4.16.3.2 SOW Section 3.1.6

4.4.16.4 Pass/Fail Criteria

- 4.4.16.4.1 Pass – The Offeror's Technical Proposal contains a QAR's CV which clearly explains how the requirements specified in the Document Reference above shall be met by the Offeror.
- 4.4.16.4.2 Fail – The Offeror has not submitted a response to this criterion, or the Offeror's Technical Proposal does not contain a QAR's CV which clearly explains how the requirements specified in the Document Reference above shall be met by the Offeror.

4.4.17 16) Integrated Product Support Manager (IPSM)

4.4.17.1 **Aim** – The purpose of this criterion is to provide confidence to the Purchaser that the Offeror's IPSM has the necessary experience of delivering similar requirements and can meet the requirements defined in the Statement of Work.

4.4.17.2 **Criterion** – At no longer than two (2) pages in length, the Offeror shall provide a CV for their offered IPSM detailing their individual experience in accordance with the requirements specified in the Document Reference below.

4.4.17.3 Document Reference

4.4.17.3.1 RFQ Instructions, Section 3.5.2.6.4

4.4.17.3.2 SOW Section 3.1.7

4.4.17.4 Pass/Fail Criteria

4.4.17.4.1 Pass – The Offeror's Technical Proposal contains a IPSM's CV which clearly explains how the requirements specified in the Document Reference above shall be met by the Offeror.

4.4.17.4.2 Fail – The Offeror has not submitted a response to this criterion, or the Offeror's Technical Proposal does not contain a IPSM's CV which clearly explains how the requirements specified in the Document Reference above shall be met by the Offeror.

4.4.18 17) Purchaser Furnished Equipment (PFE) Management

4.4.18.1 **Aim** – The purpose of this criterion is for the Purchaser to understand the Offeror's approach to preventing projects from stalling and mitigate losses/costs following delay in the provision of PFE.

4.4.18.2 **Criterion** – At no longer than two (2) pages in length, the Offeror shall detail its corporate approach to proactively progressing and meeting the aims/requirements of projects and mitigating losses/costs following delays in providing PFE.

4.4.18.3 Document Reference

4.4.18.3.1 RFQ Instructions, Section 3.5.2.7

4.4.18.3.2 SOW Section 4.2

4.4.18.4 Pass/Fail Criteria

4.4.18.4.1 Pass – The Offeror has detailed their corporate approach to collaboratively and proactively meet the aims/requirements of projects following delays in providing PFE by discussing how the Project schedule could be re-profiled, how losses are mitigated and costs reduced.

4.4.18.4.2 Fail – The Offeror has not provided a response to this criterion.

4.4.19 Any content provided over the page limit specified for each question will not be subject to evaluation.

4.4.20 If an Offeror's Technical Proposal is awarded a 'Fail' for any of the criteria listed in Section 4.4 above, their Proposal will be deemed technically non-compliant.

ANNEX A – Clarification Request Forms

INSERT COMPANY NAME HERE

INSERT SUBMISSION DATE HERE

ADMINISTRATIVE/CONTRACTUAL				
Serial Nr	RFQ Section Ref.	OFFEROR'S QUESTION	NCI AGENCY ANSWER	Status*
A.1				
A.2				
A.3				

* Status: Is Amendment to RFQ required as a direct result of the Clarification Request?



NATO UNCLASSIFIED

RFQ-CO-115511-UOMM
Book I – RFQ Instructions
Annex A – Clarification Requests Forms

INSERT COMPANY NAME HERE

INSERT SUBMISSION DATE HERE

PRICE				
Serial Nr	RFQ Section Ref.	OFFEROR'S QUESTION	NCI AGENCY ANSWER	Status*
P.1				
P.2				
P.3				

* Status: Is Amendment to RFQ required as a direct result of the Clarification Request?

NATO UNCLASSIFIED



NATO UNCLASSIFIED

RFQ-CO-115511-UOMM
Book I – RFQ Instructions
Annex A – Clarification Requests Forms

INSERT COMPANY NAME HERE

INSERT SUBMISSION DATE HERE

TECHNICAL				
Serial Nr	RFQ Section Ref.	OFFEROR'S QUESTION	NCI AGENCY ANSWER	Status*
T.1				
T.2				
T.3				

* Status: Is Amendment to RFQ required as a direct result of the Clarification Request?

NATO UNCLASSIFIED

**ANNEX B-1 - CERTIFICATE OF LEGAL NAME OF OFFEROR**

This Quotation is prepared and submitted on behalf of the legal corporate entity specified below:

FULL NAME OF CORPORATION: _____

DIVISION (IF APPLICABLE): _____

SUB DIVISION (IF APPLICABLE): _____

OFFICIAL MAILING ADDRESS: _____

E-MAIL ADDRESS: _____

FAX NO.: _____

BOA NO.: _____

POINT OF CONTACT (POC) REGARDING THIS QUOTATION:

NAME: _____

POSITION: _____

TELEPHONE: _____

E-MAIL ADDRESS: _____

ALTERNATIVE POC:

NAME: _____

POSITION: _____

TELEPHONE: _____

E-MAIL ADDRESS: _____

DATE

SIGNATURE OF AUTHORISED REPRESENTATIVE

PRINTED NAME

TITLE

ANNEX B-2 - CERTIFICATE OF INDEPENDENT DETERMINATION

1. Each Offeror shall certify signing this Quotation shall also certify that:

Each Offeror shall certify that in connection with this procurement:

- a. This quotation has been arrived at independently, without consultation, communication or agreement, for the purpose of restricting competition, with any other Offeror or with any competitor;
- b. The contents of this Quotation have not been knowingly disclosed by the Offeror and will not knowingly be disclosed by the Offeror prior to award, directly or indirectly to any other Offeror or to any competitor, and;
- c. No attempt has been made, or will be made by the Offeror to induce any other person or firm to submit, or not to submit, a Quotation for the purpose of restricting competition.

2. Each person signing this Quotation shall also certify that:

- a. They are the person in the Offeror's organisation responsible within that organisation for the decision as to the quotation and that they have not participated and will not participate in any action contrary to 1(a) through 1(c) above, or;
- b. (i) They are not the person in the Offeror's organisation responsible within that organisation for the quotation but that they have been authorised in writing to act as agent for the persons responsible for such a decision in certifying that such persons have not participated, and will not participate in any action contrary to 1(a) through 1(c) above, and as their agent does hereby so certify, and;
(ii) They have not participated and will not participate in any action contrary to 1(a) through 1(c) above.

.....
Date

.....
Signature of Authorised Representative

.....
Printed Name and Title

.....
Company

NOTE: IF THE OFFEROR DELETES OR MODIFIES SUBPARAGRAPH (1B) OF THIS ANNEX, THE OFFEROR MUST FURNISH WITH ITS QUOTATION A SIGNED STATEMENT SETTING FORTH IN DETAIL THE CIRCUMSTANCES OF THE DISCLOSURE.



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ANNEX B-3 - CERTIFICATE OF QUOTATION VALIDITY

I, the undersigned, as an authorised representative of the firm submitting this quotation, do hereby certify that the pricing and all other aspects of our Quotation will remain valid for a period of six (6) months from the RFQ Closing Date of this Request for Quotation.

.....
Date

.....
Signature of Authorised Representative

.....
Printed Name and Title

.....
Company

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ANNEX B-4 - CERTIFICATE OF UNDERSTANDING

I certify that

.....
.....(*Company Name*) has read and
fully understands the requirements of this Request for Quotation (RFQ) and that the
Quotation recognises these requirements in total.

I also certify to the best of my expert knowledge that this Quotation is within the "state of
art" boundaries as they exist at the time of quotation for this project.

.....
Date

.....
Signature of Authorised Representative

.....
Printed Name and Title

.....
Company



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ANNEX B-5 - CERTIFICATE OF EXCLUSION OF TAXES, DUTIES AND CHARGES

I hereby certify that the prices offered in the price quotation of this Quotation exclude all taxes, duties and customs charges from which the Purchaser has been exempted by international agreement.

.....
Date

.....
Signature of Authorised Representative

.....
Printed Name and Title

.....
Company

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ANNEX B-6 - ACKNOWLEDGEMENT OF RECEIPT OF RFQ AMENDMENTS

I confirm that the following Amendments to Request for Quotation No RFQ-CO-115511-UOMM have been received and the Quotation as submitted reflects the content of such Amendments:

Amendment Number	Date of Issue by the Purchaser	Date of Receipt by the Offeror

.....
Date

.....
Signature of Authorised Representative

.....
Printed Name and Title

.....
Company

**ANNEX B-7 - DISCLOSURE OF REQUIREMENTS FOR NCI AGENCY EXECUTION
OF SUPPLEMENTAL AGREEMENTS**

I, the undersigned, as an authorised representative of
.....(Company Name), certify the following statement (*Check
the applicable statement below*):

- ☐ I do not have any supplemental agreements to disclose for the performance of this contract [*cross out points 1 to 6 of this certificate*].
 - ☐ I do have supplemental agreements to disclose for the performance of this contract (*complete points 2 and 3 below in a separate attachment to this certificate*).
1. All supplemental agreements, defined as agreements, documents and/or permissions outside the body of the Contract but required by my Government, and the governments of my sub-Contractors, to be executed by the NCI Agency as a condition of my firm's performance of the Contract, have been identified, as part of the Quotation.
 2. Examples of the terms and conditions of these agreements are attached hereto. The anticipated restrictions to be imposed on NATO, if any, have been identified in our offer along with any potential conflicts with the terms, conditions and specifications of the Prospective Contract, see (*complete, if any*). These anticipated restrictions and potential conflicts are based on our knowledge of and prior experience with such agreements and their implementing regulations. We do not certify that the language or the terms of these agreements will be exactly as we have anticipated.
 3. The processing time for these agreements has been calculated into our delivery and performance plans and contingency plans made in the case that there is delay in processing on the part of the issuing government(s), see (*complete, if any*).
 4. We recognise that additional supplemental agreements, documents and permissions presented as a condition of Contract performance or MOU signature after our firm would be selected as the successful Offeror may be cause for the NCIA to determine the submitted quotation to be non-compliant with the requirements of the RFQ.
 5. We accept that should the resultant supplemental agreements issued in final form by the government(s) result in an impossibility to perform the Contract in accordance with its schedule, terms or specifications, the Contract may be terminated by the Purchaser at no cost to either Party.

.....
Date

.....
Signature of Authorised Representative

.....
Printed Name and Title

.....
Company



**ANNEX B-8 - CERTIFICATION OF NATO MEMBER COUNTRY ORIGIN OF
DELIVERED EQUIPMENT, SERVICES, MATERIALS AND
INTELLECTUAL PROPERTY RIGHTS**

The Offeror hereby certifies that, if awarded the Contract pursuant to this solicitation, it will perform the contract subject to the following conditions:

- (a) none of the work, including project design, labour and services shall be performed other than by firms from and within participating NATO member countries;
- (b) no material or items of equipment down to and including identifiable sub-assemblies shall be manufactured or assembled by a firm other than from and within a participating NATO member country (a sub-assembly is defined as a portion of an assembly consisting of two or more parts that can be provided and replaced as an entity)*; and
- (c) the intellectual property rights to all design documentation and related system operating software shall reside in NATO member countries, and no license fees or royalty charges shall be paid by the Contractor to firms, individuals or governments other than within the NATO member countries.

.....
Date

.....
Signature of Authorised Representative

.....
Printed Name and Title

.....
Company

*This definition purposely excludes components and/or parts (as defined in AcodP-1), which are not subject to this certification.



ANNEX B-9 - Comprehension and Acceptance of CONTRACT General and Special Provisions

The Offeror hereby certifies that it has reviewed the Contract Special Provisions set forth in the Prospective Contract, Book II of this Request for Quotation (RFQ) and the Contract Provisions set forth in the Basic Ordering Agreement signed with the NCI Agency. The Offeror hereby provides its confirmation that it fully comprehends the rights, obligations and responsibilities of the Contractor as set forth in the Articles and Clauses of the Prospective Contract. The Offeror additionally certifies that the Quotation submitted by the Offeror is without prejudice, qualification or exception to any of the Terms and Conditions and it will accept and abide by the stated Special Contract Provisions if awarded the contract as a result of this RFQ.

.....
Date

.....
Signature of Authorised Representative

.....
Printed Name and Title

.....
Company

**ANNEX B-10 - LIST OF PROSPECTIVE SUB-CONTRACTORS/CONSORTIUM
MEMBERS¹**

Name and Address of Sub-Contractor, incl. country of origin/registration	Primary Location of Work	Items/Services to be Provided	Estimated Value of Sub-Contract

If no sub-Contractors/consortium members are involved, state this here:

.....
.....
.....
.....

.....
Date

.....
Signature of Authorised Representative

.....
Printed Name and Title

.....
Company

¹ In accordance with section 3.4.15 of Book I, the Offeror shall identify in this Certificate any subcontractors whose estimated value of the subcontract is expected to equal or exceed €125,000.00.



ANNEX B-11 - CERTIFICATE OF AQAP 2110 OR ISO 9001:2015 COMPLIANCE

I hereby certify that (*Company Name*) is fully compliant with the AQAP 2110 or ISO 9001:2015 Quality Assurance Standards and Procedures, is currently so certified, and will remain certified throughout the duration of the contract.

A copy of the quality certification is **attached herewith**.

.....
Date

.....
Signature of Authorised Representative

.....
Printed Name and Title

.....
Company



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ANNEX B-12 - LIST OF KEY PERSONNEL

Name	Position
	Project Manager (PM)
	Technical Lead (TL)
	Quality Assurance Representative (QAR)
	Integrated Product Support Manager (IPSM)

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**ANNEX B-13 – DISCLOSURE OF INVOLVEMENT OF FORMER NCI AGENCY
EMPLOYMENT**

The Offeror hereby certifies that, in preparing its Quotation, the Offeror did not have access to solicitation information prior to such information been authorized for release to Offerors (e.g., draft statement of work and requirement documentation).

The Offeror hereby acknowledges the post-employment measures applicable to former NCI Agency Personnel as per the NCI Agency Code of Conduct.

The Offeror hereby certifies that its personnel working as part of the company's team, at any tier, preparing the Quotation:

- Have not held employment with NCI Agency within the last two years.
- Has obtained a signed statement from the former NCI Agency personnel below, who departed the NCI Agency within the last two years, that they were not previously involved in the project under competition (as defined in the extract of the NCI Agency Code of Conduct provided below):

Employee Name	Former NCIA Position	Current Company Position

The Offeror also hereby certifies that it does not employ and/or receive services from former NCI Agency Personnel at grades A5 and above or ranks OF-5 and above, who departed the NCI Agency within the last 12 months. This prohibitions covers negotiations, representational communications and/or advisory activities.

Date

Signature of Authorised Representative

Printed Name

Title

Company

Excerpt of NCI Agency AD. 05.00, Code of Conduct dated May 2017**Article 14 PROCUREMENT AND CONTRACTORS**

- 14.1 NCI Agency Personnel are required to maintain unquestionable integrity and impartiality in relation to procurements initiated by the NCI Agency.
- 14.2 NCI Agency Personnel shall not disclose any proprietary or contract related information regarding procurement directly or indirectly to any person other than a person authorized by the NCI Agency to receive such information. NCI Agency Personnel shall not disclose any documentation related to a procurement action to any third party without a need to know¹ (e.g., draft statement of work, statement of requirements) unless this is expressly provided under NATO Procurement Regulations or authorized in writing by the Director of Acquisition. During an on-going selection, NCI Agency Personnel shall not disclose any information on the selection procedure unless authorized by the Chairman of the award committee/board. The NCI Agency Personnel concerned will ensure that proper access controls are put in place to prevent disclosure of procurement information that has not yet been authorized for release for outside distribution, including draft statements of work and requirement documentations.
- 14.3 NCI Agency Personnel will not participate in a source selection if an offer has been provided by a friend, family member, a relative, or by a business concern owned, substantially owned, or controlled by him/her or by a friend, family member or a relative. NCI Agency Personnel appointed as part of an evaluation shall report such links to the Director of Acquisition immediately upon becoming aware of it.
- 14.4 Contractors and consultants shall not be allowed to participate in the drafting of the statement of work or in the source selection process unless they and their company/employer will be excluded from competition of the related contract. The same will apply to contractors and consultants involved in the definition and development of requirements.
- 14.5 Contractors will be given specific and coherent statements of work, providing precise explanation of how she/he is going to be employed. Tasks to be performed and minimum qualifications are to be well defined from the start. In addition, supervisors will ensure that contractors do not occupy managerial positions within the Agency.
- 14.6 NCI Agency Personnel shall not enter into authorized commitments in the name of NCI Agency or NATO unless specifically authorized. NCI Agency Personnel must abstain from making promises or commitment to award or amend a contract or otherwise create the appearance of a commitment from the NCI Agency unless properly authorized by the NCI Agency.

- 14.7 NCI Agency Personnel shall not endorse directly or indirectly products from industry. Therefore, NCI Agency Personnel shall not name or make statements endorsing or appearing to endorse products of specific companies.
- 14.8 Industry partners will need to abide with the post-employment measures under this Directive upon submission of their Quotations / proposals to the NCI Agency. As part of the selection process, industry will be requested to agree with an ethical statement.

15 INDUSTRY INITIATIVES

- 15.1 Industry initiatives may include loans, displays, tests or evaluation of equipment and software, requesting NCI Agency speakers at industry gatherings and conferences, inviting speakers from industry to NCI Agency events, consultancy or studies of technical or organizational issues, etc. These initiatives are usually at no cost to the NCI Agency and take place at a pre-contractual phase or before the development of requirements and specifications. While there are benefits associated with the early involvement of industry in the definition of requirements and specifications, this also raises the potential for unfair treatment of potential competitors.
- 15.2 Industry initiatives which go beyond routine interaction in connection with on-going contracts must be reported to and coordinated by the NCI Agency Acquisition Directorate for approval. Industry initiatives shall be properly documented and governed by written agreements between the NCI Agency and the company concerned where relevant. Such agreements may contain provisions describing the nature of the initiative, the non-disclosure of NCI Agency/NATO information, NCI Agency ownership of any resulting work, the NCI Agency's right to release such work product to future competitors for any follow-on competition or contract, the requirement that any studies must provide non-proprietary solutions and/or an acknowledgement that the participating companies will not receive any preferential treatment in the contracting process.
- 15.3 Any authorized industry initiatives must be conducted in such a way that it does not confer an unfair advantage to the industry concerned or create competitive hurdles for potential competitors.

16 POST EMPLOYMENT MEASURES

- 16.1 The NCI Agency will not offer employment contracts to former NCI Agency Personnel who departed less than 2 years earlier, unless prior approval by the General Manager has been received.
- 16.2 Former NCI Agency Personnel will not be accepted as consultants or commercial counterpart for two (2) years after finalization of their employment at NCI Agency, unless the General Manager decides otherwise in the interest of the Agency and as long as NATO rules on double remuneration are observed. Such decision shall be recorded in writing. Commercial counterparts include owners or majority shareholders, key account managers, or staff member, agent or consultant of a company and/or subcontractors seeking business at any tier with the NCI Agency in relation to a procurement action in

which the departing NCI Agency staff member was involved when they were under the employment of the NCI Agency. As per the Prince 2 Project methodology, a Project is defined as a “temporary organization that is created for the purpose of delivering one or more business products according to an agreed business case”. For the purpose of this provision, involvement requires (i) drafting, review or coordination of internal procurement activities and documentation, such as statement of work and statement of requirement; and/or (ii) access to procurement information that has not yet been authorized for release for outside distribution, including draft statements of work and requirement documentations; and/or (iii) being appointed as a representative to the Project governance (e.g., Project Board) with access to procurement information as per (ii) above; and/or (iv) having provided strategic guidance to the project, with access to procurement information as per (ii) above.

- 16.3 In addition to Section 17.2 above, former NCI Agency Personnel at grades A5 and above or ranks OF-5 and above are prohibited during twelve months following the end of their employment with the NCI Agency to engaging in negotiations, representational communications and/or advisory activities with the NCI Agency on behalf of a private entity, unless this has been agreed in advance by the NCI Agency General Manager and notified to the ASB.
- 16.4 NCI Agency Personnel leaving the Agency shall not contact their former colleagues in view of obtaining any information or documentation about procurement activities not yet authorized' release. NCI Agency Personnel shall immediately report such contacts to the Director of Acquisition.
- 16.5 The ASB Chairman will be the approving authority upon recommendation by the Legal Adviser when the NCI Agency Personnel concerned by the above is the NCI Agency General Manager and will notify the ASB.
- 16.6 NCI Agency Personnel leaving the Agency shall sign a statement that they are aware of the post-employment measures set out in this Directive.
- 16.7 The post-employment measures set out in this Directive shall be reflected in the NCI Agency procurement documents, such as IFBs, and contract provisions.

**ANNEX B-14 - OFFEROR BACKGROUND IPR**

The Offeror Background IPR specified in the table below will be used for the purpose of carrying out work pursuant to the Contract.

ITEM	DESCRIPTION

The Offeror has and will continue to have, for the duration of the Contract, all necessary rights in and to the Background IPR specified above.

The Background IPR stated above complies with the terms specified in Article 30 of the NCI Agency, Part III - General Provisions.

**ANNEX B-15 - LIST OF SUBCONTRACTOR IPR**

The Subcontractor IPR specified in the table below will be used for the purpose of carrying out work pursuant to the Contract.

ITEM	DESCRIPTION

The Offeror has and will continue to have, for the duration of the Contract, all necessary rights in and to the IPR specified above necessary to perform the Offeror's obligations under the Contract.

The Subcontractor IPR stated above complies with the terms specified in Article 30 of the NCI Agency, Part III - General Provisions.

**ANNEX B-16 – VENDOR SUPPLY CHAIN SECURITY SELF-ATTESTATION
STATEMENT**

I hereby as *[Insert Company Name]* affirm that the security of the supply chain for the product *[list the product(s) below]*

has been assessed and assessed against the requirements laid down in directive AC/322-D(2017)0016 (INV), named “NATO SUPPLY CHAIN SECURITY REQUIREMENTS FOR COMMERCIAL OFF THE SHELF COMMUNICATION AND INFORMATION SYSTEMS SECURITY ENFORCING PRODUCTS”.

I endorse this supply chain security statement for the product listed in the first paragraph of this certificate which covers the following items:

- Supply Chain Security Program Governance
- Security in Manufacturing and Operations
- Security in Logistics
- NATO Information Protection
- Vendor Physical and Personnel Security
- Security in Service Management
- Security in Incident Management
- 3rd Party Supplier Management

I can supply supporting evidence if required.

Date

Signature of Authorised Representative

Printed Name

Title

Company



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Annex C – Pricing Sheets

ANNEX C – PRICING SHEETS

[Provided under separate MS Excel File:

“RFQ-CO-115511-UOMM – Book I Annex C – Pricing Sheets”

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ANNEX D – INSTRUCTIONS FOR THE PREPARATION OF PRICING SHEETS

1. Offerors are required, in preparing their Price Quotation to utilise the Pricing Sheets following the instructions detailed in Section III – Quotation Preparation Instructions and CLIN Pricing Sheet instructions within the Pricing Sheets itself.
2. The Offeror must complete and submit the Pricing Sheets with their Price Breakdown per CLIN – one (1) sheet is required for each Major CLIN (1, 2, 3, etc.).
3. The prices entered on the Pricing Sheets shall reflect the total items required to meet the contractual requirements.
4. The total price shall be indicated in the appropriate columns and in the currency quoted.
5. The total evaluated price shall be the price of the basic Contract.
6. If the price of a CLIN is expressed in different currencies, these shall be identified, and there shall be as many Pricing Sheets for that CLIN as there are currencies.
7. In preparing the Price Quotation, the Offeror shall ensure that the prices of the Sub-items total the price of the major item of which they constitute a part. Pricing for lower level items shall add to the total for the Sub-CLINs, and the Sub-CLIN totals shall add to the CLIN total. The Purchaser in its favour may resolve ambiguous computation of prices. The Offeror shall identify the sub-CLIN, per line item, in each detailed Quoting Sheet section, i.e. Materials, Labour, Subcontract Labour, Travel etc., that is being priced.
8. Prices shall not include any provision for taxes or duties for which the Purchaser is exempt.
9. The Offeror shall not introduce any changes or deviations to the Schedule of Supplies and Services (SSS) as Published by the Purchaser.

ANNEX E – COMPLIANCE TABLE

Offeror shall complete column “QUOTATION REFERENCE” with Quotation references that locate the technical proposal documentation required by the RFQ, e.g. section, paragraph, table (if applicable), page number etc. One copy each of the duly completed Cross Reference/Compliance Table is to be included in the Quotation Technical Proposal package. The Quotation shall follow the instructions in Section 3.5, and will be evaluated according to the instructions in Section 4.4.

RFQ Instructions Requirement Ref.	SOW Requirement Ref	REQUIREMENT DESCRIPTION	Evaluation Criterion Ref.	QUOTATION REFERENCE
3.5.2.1 Table of Contents	N/A	The Offeror shall compile a detailed Table of Contents which lists not only section headings but also major sub-sections, and topic headings required set forth in these Instructions or implicit in the organisation of the Technical Proposal.	4.4.2	<i>Offeror to complete</i>
3.5.2.2 Cross-Reference / Compliance Table	N/A	The Offeror shall include the completed Technical Proposal Cross-Reference Table at Annex E of Book I. The Offeror shall complete the Column marked “QUOTATION REFERENCE” of the Table, citing the appropriate section of the Technical Proposal that corresponds to each paragraph of these Instructions for the Preparation of the Technical Proposal. The completed Table serves as an index for the Purchaser's Technical Evaluation Panel and also as an aide memoire to the Offeror to ensure that all the required information has been provided in the Technical Proposal.	4.4.2	

RFQ Instructions Requirement Ref.	SOW Requirement Ref	REQUIREMENT DESCRIPTION	Evaluation Criterion Ref.	QUOTATION REFERENCE
3.5.2.3 3.5.2.3.1 PIP Section 1 – Project Overview	3.2.2	The Offeror shall submit a preliminary Project Implementation Plan in accordance with the requirements of Section 3.2 of the Statement Of Work (SOW) for the Urgent Obsolescence Management (UOM) (Book II Part IV), which clearly describes how the Offeror intends to implement the totality of the project in compliance with the contractual requirements and the following specific requirements. The Offeror shall provide the Project Overview which shall provide an executive summary overview of the offered capability. The Project Overview shall also summarise the main features of each of the sections of the Technical Proposal and shall indicate in broad detail how the Project will be executed during the full lifetime of the Project.	4.4.3	
3.5.2.3.2 PIP Section 2 – Applicable Documents	3.2.3	The Offeror shall list all documents or standards referenced by the other sections of the PIP.	4.4.3	
3.5.2.3.3 PIP Section 3 – Project Management Plan (PMP)	3.2.4	The Offeror shall describe how the Offeror intends to manage this project from contract signature through Final System Acceptance and throughout any warranty periods. The PMP shall consider all aspects of project management and control detailed in the Section 3.2.4 of the SOW and demonstrate how all the critical dates defined in the contract will be met.	4.4.4	

RFQ Instructions Requirement Ref.	SOW Requirement Ref	REQUIREMENT DESCRIPTION	Evaluation Criterion Ref.	QUOTATION REFERENCE
3.5.2.3.4 PIP Section 4 – System Design, Integration and Implementation	3.2.5 4.1	The Offeror shall describe how the UOM capability and underlying components will be implemented with sufficient technical detail for the Purchaser to determine compliance with the SOW. For this purpose the Offeror shall provide in its Quotation a draft System Design Specification (SDS) which shall demonstrate compliance with the Requirements as specified under Section 3.2.5 of the SOW and indicate how the components and quantities of equipment and licenses in the SSS are to be deployed.	4.4.5	
3.5.2.3.5 PIP Section 5 – Integrated Product Support	2 3.2.6 5	The Offeror shall describe the Integrated Product Support (IPS) aspects of the Quotation including an exhaustive description of the proposed Integrated Product Support offering. This description shall address, with an adequate level of details, the following: Contractor's IPS Organisation, Roles, Responsibilities and Procedures; Maintenance Concept; LSA & RAMT; Technical Documentation and Data, Supply Support, Support and Test Equipment Lists; Training, including Manpower and Personnel Requirements; Planning and execution of Handling, Storage; Warranty; and Planning of Supply Chain Security as set forth in Section 3.2.6 of the SOW and in accordance with the applicable Standards and Specifications required in SOW Section 2. The description shall provide sufficient evidence to confirm that the Offeror will be able to meet the timelines in accordance with the requirements of the Schedule of Supplies and Services and the SOW.	4.4.6	

RFQ Instructions Requirement Ref.	SOW Requirement Ref	REQUIREMENT DESCRIPTION	Evaluation Criterion Ref.	QUOTATION REFERENCE
3.5.2.3.6 PIP Section 6 – Quality Assurance and Quality Control	2 3.2.7 6	The Offeror shall describe the Quality Assurance and Quality Control aspects of their proposal including how the contents of SOW Section 3.2.7 and SOW Section 6 shall be met alongside adherence to the applicable Standards and Specifications required in SOW Section 2. The description shall include the general processes, methods and procedures in place in the Contractor organization to deliver quality work, artefacts, studies and documents as required in the SOW, including sub-Contractors and COTS elements management and integration.	4.4.7	
3.5.2.3.7 PIP Section 7 – Configuration Management	2 3.2.8 7	In this Section, the Offeror shall describe how it can meet the Configuration Management requirements as specified in Section 3.2.8 of the SOW. In conformance with the required Standards and Specifications required in SOW Section 7, this shall include a description of the unique Configuration Management framework, Baselines, the Product Lifecycle Management (PLM) tool, and the Configuration Management Database (CMDB).	4.4.8	
3.5.2.3.8 PIP Section 8 – Testing and Acceptance	3.2.9 8	The Offeror shall describe how it can meet the UOMM testing requirements and its methodology for conducting all related activities as detailed in Sections 3.2.9 and Section 8 of the SOW. This includes the development of all test documentation required under this Contract, the conduct of all testing, the evaluation and documentation of the tests results by an Independent Verification and Validation (IV&V).	4.4.9	
3.5.2.3.9 PIP Section 9 – Documentation	2 3.2.10 3.4	The Offeror shall describe their Documentation Pack and proposed Project Portal as required in SOW Sections 3.2.10 and 3.4 and in accordance with applicable Standards and Specifications detailed on SOW Section 2 (including but not limited to ISO9001:2015). The Contractor shall provide details on when and how the documents will be delivered.	4.4.10	

RFQ Instructions Requirement Ref.	SOW Requirement Ref	REQUIREMENT DESCRIPTION	Evaluation Criterion Ref.	QUOTATION REFERENCE
3.5.2.3.10 PIP Section 10 – Training	3.2.11 5.6	The Offeror shall in this section demonstrate how it can meet the Training requirements as specified in Section 3.2.11 and Section 5.6 of the SOW.	4.4.11	
3.5.2.4 Project Master Schedule (PMS):	3.3	The Offeror shall provide a PMS that contains all contract events and milestones for the Project as described in Section 3.3 of the SOW, the PMS shall show all contractual deliverables, their delivery dates, and the tasks associated with them, including the Purchaser's review stages. The PMS shall for each task identify the start and finish dates, duration, predecessors, constraints, and resources. The PMS shall provide network, milestone, and Gantt views, and identify the critical path for the overall project. Any PMS which does not align with the dates provided in the SSS may be determined to be non-compliant.	4.4.12	
3.5.2.4 Corporate Experience	4.1	The Offeror shall provide at least one (1) executive summary describing the successful delivery of a similar project in a similar environment during the last five (5) years. For each project, the Contractor shall describe: <ul style="list-style-type: none"> - The domain or area (ideally the customer name), the size (contract value range), duration and challenges encountered with remediation; - The scope of work, demonstrating its capability to implement Urgent Obsolescence Management Capabilities similar to the requirements defined in Section 4.1 of the SOW. 	4.4.13	

RFQ Instructions Requirement Ref.	SOW Requirement Ref	REQUIREMENT DESCRIPTION	Evaluation Criterion Ref.	QUOTATION REFERENCE
3.5.2.6 Key Personnel CVs	3.1.3 3.1.4 3.1.6 3.1.7	<p>The Offeror shall provide the CV of the proposed Project manager and the Technical Lead.</p> <ul style="list-style-type: none"> - For the Project Manager, the Offeror shall provide details about the qualifications, evidence of six (6) years' experience of successfully delivering requirements of a similar scope, duration, complexity and value and experience of applying formal project management methodologies (such as PRINCE2). - For the Technical Lead, the Offeror shall provide details about the qualifications, evidence of seven (7) years' experience in engineering positions associated with the review, design, development, evaluation, planning and operation of electrical or electronic components, subsystems, or systems for government or commercial use, membership of a recognised professional body and evidence of seven (7) years' experience in system design and integration of networking and communication component parts similar to those detailed in the Statement of Work. - For the Quality Assurance Representative (QAR), the Offeror shall provide details about the qualifications, evidence of seven (7) years' experience in working with quality control methods and tools and have a broad knowledge of NATO Standards (e.g. STANAG 4107 Ed. 11), processes and procedures applicable to Quality Assurance (QA) and Quality Control (QC) in the industry. - For the Integrated Product Support (IPS) Manager, the Offeror shall provide details about the qualifications, evidence of ten (10) years' experience in Supportability Engineering for HW/SW intensive systems, preferably in the Defense and Electronic sector. The IPS Manager shall have a systems engineering background or a supportability engineering equivalent certification with deep knowledge of the IPS related NATO standards, handbooks, ISOs/IEC and ASD (Aerospace & Defence) Suite 	4.4.14 4.4.15 4.4.16 4.4.17	



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RFQ Instructions Requirement Ref.	SOW Requirement Ref	REQUIREMENT DESCRIPTION	Evaluation Criterion Ref.	QUOTATION REFERENCE
3.5.2.7 Purchaser Furnished Equipment (PFE) Management:	4.2	In accordance with SOW Section 4.2, the Offeror shall provide details on approach to preventing projects from stalling and mitigate losses/costs following delay in the provision of PFE.	4.4.18	

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CP120 - WP0.3 - Urgent Obsolescence Management - Mitigation									
Network Intrusion Detection/Prevention Systems (NIPS) and Full Packet Capture (FPC)									
CLIN	Description	SOW Reference	Delivery Destination	Unit of measure	Quantity	Unit Price	Total Firm Fixed Price	Notes	Delivery Schedule EDC +
1	Project Management Activities								
1.1	PMS	3.3	NCIA	Lot	1			Monthly throughout the project	EDC + 4 to 44 weeks
1.2	PMS PoaP	3.3.7	NCIA	Lot	1			Monthly throughout the project	EDC + 4 to 44 weeks
1.3	Kick-Off meeting	3.6.3	NCIA	Task	1			One instance	EDC + 1 week
1.4	Project Status Report (PSR)	3.6.1	NCIA	Lot	1			Monthly throughout the project	EDC + 4 to 44 weeks
1.5	Project Review Meeting (PRM)	3.6.5	NCIA	Task	1			Monthly throughout the project	EDC + 4 to 44 weeks
1.6	Risk Log	3.7.5	NCIA	Lot	1			Monthly throughout the project	EDC + 4 to 44 weeks
1.7	Issue Log	3.8	NCIA	Lot	1			Monthly throughout the project	EDC + 4 to 44 weeks
1.8	Quality Assurance Plan (QAP)	6.6	NCIA	Lot	1			Initial Documentation pack	EDC + 4 weeks
1.9	Documentation Plan (DP)	3.2.10	NCIA	Lot	1			Initial Documentation pack	EDC + 4 weeks
1.10	Lessons Learned and Identified Report	4.4.3.3.4	NCIA	Lot	1			Submitted as part of FSA	EDC + 44 weeks
	TOTAL CLIN 1								
2	Design								
2.1	System Requirements Review	6.5.3	NCIA	Task	1				EDC + 2 weeks
2.2	PIP	3.2, 3.2.4, 3.7, 3.8	NCIA	Lot	1				EDC + 4 weeks
2.3	Site Implementation Plan Strategy (SIPS)	3.2.5.3	NCIA	Lot	1				EDC + 4 weeks
2.4	Site Implementation Specification (SIS)	4.1.5.1, 4.1.6.4, 4.1.7.6, 4.1.8.4, 4.1.9.1, 4.2.1	NCIA	Lot	28				EDC + 44 weeks
2.5	Integrated Product Support Plan (IPSP)	5.1.4	NCIA	Lot	1				EDC + 4 weeks
2.6	Configuration Management Plan (CMP)	7.1.3	NCIA	Lot	1				EDC + 14 to 44 weeks
2.7	Requirements Traceability Matrix (RTM)	8.7	NCIA	Lot	1				EDC + 6 weeks
2.8	Master Test Plan (MTP)	8.4	NCIA	Lot	1				EDC + 6 weeks
2.9	Event Test Plan (ETP)	8.5	NCIA	Lot	28				EDC + 6 weeks
2.10	Preliminary Design Review	4.4.2.1	NCIA	Task	1				EDC + 6 weeks
2.11	Critical Design Review	4.4.2.2	NCIA	Task	1				EDC + 10 weeks
2.12	Update of System level documentation	4.4.3.3, 4.4.4, 4.5	NCIA	Lot	28				EDC + 44 weeks
2.13	As Built Documentation (ABD) and Interface Control Documents (ICD)	5.5.5	NCIA	Lot	28				EDC + 14 to 44 weeks
	TOTAL CLIN 2								
3	Installation, integration and testing								
3.1	Site Survey Reports validated	4.5.2.5	NCIA	Lot	28				EDC + 10 weeks
3.2	Test Readiness Review (TRR)	8.1	NCIA	Task	28				EDC + 20 to 44 weeks
3.3	Site Acceptance Testing (SAT)	8.2	NCIA	Task	28				EDC + 20 to 44 weeks
3.4	Provisional Site Acceptance (PSA) - NODCERS	4.4.3.2	NCIA	Task	1				EDC + 20 weeks
3.5	Provisional Site Acceptance (PSA) - Mons	4.4.3.2	NCIA	Task	1				EDC + 25 weeks
3.6	Provisional Site Acceptance (PSA) - Tier-3 sites	4.4.3.2	NCIA	Task	27				EDC + 44 weeks
3.7	Full Site Acceptance (FSA)	4.4.3.3	NCIA	Task	1				EDC + 44 weeks
	TOTAL CLIN 3								
4	Integrated Product Support (IPS)								
4.1	S1000D	5.5.2	NCIA	Lot	1				EDC + 14 to 44 weeks
4.2	S2000M	5.4.1, 5.4.6, 5.4.7, 5.5.3, 5.5.3.4	NCIA	Lot	1				EDC + 14 to 44 weeks
4.3	S3000L	5.3.1, 5.3.2, 5.3.3, 5.3.8, 5.3.11, 5.5.3, 5.5.3.4	NCIA	Lot	1				EDC + 14 to 44 weeks
4.4	Support Equipment	B4.3	NCIA	Lot	28				EDC + 14 to 44 weeks
	TOTAL CLIN 4								
5	Training								
5.1	Training Needs Analysis	5.6.8	NCIA	Task	1			Centralised approach	EDC + 6 to 10 weeks
5.2	Training Plan	5.6.9, 5.6.11	NCIA	Lot	1				EDC + 10 weeks
5.3	Training Plan on a Page (PoaP)	5.6.11	NCIA	Lot	1				EDC + 10 weeks
5.4	Training Operators, Admins and Site Support	5.6	NCIA	Task	28			Session delivered at every site	EDC + 20 to 44 weeks
	TOTAL CLIN 5								
6	Warranty								
6.1	Warranties (FSA --> FSA + 12m)	5.14	NCIA	Task	1			Professional Services and Hardware maintenance	EDC + 96 weeks
	TOTAL CLIN 6								

RFQ-CO-115511-UOMM

URGENT OBSOLESCENCE MANAGEMENT – MITIGATION (UOMM) FOR CIS SECURITY SERVICES

NETWORK INTRUSION DETECTION/PREVENTION SYSTEMS (NIPS) AND FULL PACKET CAPTURE (FPC)

(TECHNOLOGY REFRESH)



NATO Communications and Information Agency
Agence OTAN d'information et de communication

BOOK II, PART IV

STATEMENT OF WORK

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SECTION 1 – INTRODUCTION

1.1 Background Information

- 1.1.1 NATO's current Cyber Defense posture is based upon the NATO Computer Incident Response Capability (NCIRC) – Full Operational Capability (FOC). The NCIRC FOC scope was defined in the Strategic Commands' Statement of Operational Requirement (SOR) (reference [NCIRC SOR]). NCIRC FOC is a Cyber Defense capability, deployed in a 'hub-and-spoke' architecture. The NCIRC FOC capability is now subsumed within the NATO Cyber Security Centre (NCSC) portfolio of services.
- 1.1.2 Tier-2 infrastructure is the pillar on which some NCSC services are based for network, security, servers, workstations, and virtualization, and storage, backup and monitoring requirements. It also supports the sum of all capacity and performance requirements of those subsystems.
- 1.1.3 Tier-2 infrastructure includes the following:
 - 1.1.3.1 Network Intrusion Detection/Prevention Systems (NIPS) provide NCSC with the capability to identify potential cyber-attacks on NATO networks and to log information about this malicious activity. The sensors are managed by the Defense Centre Central Management Capability. The NIPS Tier-2 Central Management infrastructure has already been upgraded to the latest version and is therefore not included in the scope of this SOW.
 - 1.1.3.2 Full Packet Capture System (FPC) provides to the NCSC the capability to capture and store locally on the respective Tier-3 sites a record of the network traffic at various critical points, which can then be queried from the central Tier-2 management infrastructure. The FPC Tier-2 infrastructure has already been upgraded to the latest version and is therefore not included in the scope of this SOW.
 - 1.1.3.3 Tier-3 infrastructure includes the following:
 - 1.1.3.3.1 Tier-3 Full Packet Capture System (FPC) provides to the NCSC the capability to capture, store and analyse locally on the respective Tier-3 sites a record of the network traffic at various critical points. This data can also be transferred to Tier-2 for further processing.
 - 1.1.3.3.2 Tier-3 Enclave encompasses all infrastructure and hosting components necessary to instantiate the requisite Tier-3 sensors and subsystems, and to facilitate their interaction with Tier-2, and their central management. With the exception of CSO Neuilly-sur-Seine (Paris), Tier-3 Enclaves have been deployed at all defined sites, on all available Security Domains - NATO Unclassified (NU), NATO RESTRICTED (NR) and NATO SECRET (NS).

1.2 Expectations Overview

- 1.2.1 This Statement of Work (SOW) describes requirements the NCI Agency is seeking in the deployment of cyber security equipment to replace equipment and systems that have reached End of Life (EoL) or End of Support (EoS). This project is referred to as Urgent Obsolescence Management Mitigation (UOMM).
- 1.2.2 These systems are part of the existing NCSC services, which are operated centrally at Supreme Headquarters Allied Powers Europe (SHAPE) in Casteau (Mons), Belgium. This includes components deployed both at the NCSC operations base in SHAPE as well as at various NATO sites.
- 1.2.3 The primary objective of this project is to ensure Continuity of Service (CoS) and support by refreshing the existing components of the NCSC capability that have reached EoL. Further work to uplift the architecture of the NCSC capability is anticipated later. As such, this project does not foresee significant redesign of any NCSC capabilities.

1.3 Contract scope

- 1.3.1 Partial refresh of the currently deployed Cisco SourceFire Network Intrusion Prevention System which will include:
- Hardware replacement of sensors and appliances.
 - Change of installation mode from inline to passive connection to the packet broker
 - Implementation services to support deployment and migration activities across the sites detailed below
 - Update of system documentation
- 1.3.2 Full refresh of the currently deployed RSA NetWitness Network System (for full network packet capture) which will include:
- Hardware replacement of all appliances and storage without change to existing system design
 - Implementation services to support deployment and migration activities across the sites detailed below
 - Update of system documentation
- 1.3.3 The Contractor shall be responsible for the totality of the implementation of the schedule, which meets the requirements set forth in this SOW, including overall installation and

integration, testing and acceptance throughout the Contract's Period of Performance.

1.3.3.1 The schedule must be agreed by the Purchaser sufficiently in time, taking into account constraints on site access and local activities which may conflict, travel limitations and resources at not only the site specifically but also with the Purchaser in general. The schedule may have to flex and respond to any changing situations.

1.3.4 The deployment of the sites shall be split into three phases as defined as follows:

- Phase 1: NCIRC Operational Deployment Support and Exercise Reference System (NODCERS), Casteau (Mons)
- Phase 2: Deployment of Tier-3 capability in Casteau (Mons)
- Phase 3: Three parallel deployment teams which are segregated as follows:

Team 1	Team 2	Team 3
Norfolk – USA	Lago Patria – ITA	Capellen – LUX
Brunssum – NLD	Izmir – TUR	Betzdorf – LUX
Geilenkirchen – DEU	The Hague – NLD	Northwood – UK
Ramstein – DEU	Poggio Renatico* – ITA	Uedem* – DEU
Neuilly-sur-Seine (Paris) – FRA	La Spezia* – ITA	Halbergmoss (Munich)* – DEU
Evere (Brussels)* – BEL	Torrejon* – SPA	Bydgoszcz* – POL
Aix en Provence* – FRA	Monsanto* – POR	Stavanger* – NOR

1.3.4.1 The sites listed above are split into two priorities; those marked with an * are to be considered less urgent.

1.3.4.2 The Contractor may propose a deployment schedule which differs from that listed above for those sites considered less urgent. The sites can be moved between teams.

1.3.5 The deployed solution shall fully integrate with the already updated Tier-2 Central Management facility in Casteau (Mons).

1.3.6 The Purchaser may during the period prior to the contract award, or even prior to scheduled Tier-3 deployment, be obligated to independently deploy Tier-3 equipment to any of the sites listed above based upon Operational necessity. In such case, the supplier shall still be required to attend the site to ensure all aspects of site deployment have been completed appropriately.

1.3.7 The Purchaser shall provide all equipment and spares as Purchaser Furnished Equipment (PFE), and will be responsible for all logistics and Tempest testing of those components

deemed necessary.

- 1.3.8 The Purchaser shall expect the Contractor to evaluate the pre-existing Site Survey Reports, and engage in any activity to re-validate the report content to the extent that the Supplier shall accept full accountability for the detail at each site in advance of deploying the solution.

1.4 Standards for interpretation of the SOW

- 1.4.1 Context information supporting the requirements definition are provided using the term “may”. “Shall” statements are contractually binding; “May” statements are non-mandatory, or they imply intent on the part of the Purchaser.
- 1.4.2 The order of the SoW requirements is not intended to specify the order in which they must be carried out unless explicitly stated. The SoW defines all the activities the Contractor’s process should cover, i.e. the Contractor’s process description and plans should include where and when these occur.
- 1.4.3 With this SoW, the term “including” is never meant to be limiting.

SECTION 2 – REFERENCES

2.1 NATO Standardization Agreements (STANAGS) and Publications

- 2.1.1 STANAG 2506 – Allied Joint Movement and Transportation doctrine
- 2.1.2 STANAG 4107 Ed. 11, Mutual Acceptance of Government Quality Assurance and Usage of the Allied Quality Assurance Publications (AQAPs) – and underpinning AQAPs;
- 2.1.3 STANAG 4280 - NATO Levels of Packaging;
- 2.1.4 STANAG 4281 Ed. 3 – NATO Standard Marking for Shipment and Storage;
- 2.1.5 STANAG 4427 Ed. 3 - Configuration Management in System Life Cycle Management – and underpinning Allied Configuration Management Publications (ACMPs);
- 2.1.6 STANAG 4728 Ed. 2 – System Life Cycle Management;
- 2.1.7 ALP-10 Ed. 3 – Allied Logistics Publications;
- 2.1.8 STANAG 6001, Language Proficiency Levels.

2.2 NATO Security Documents

- 2.2.1 C-M (2002)49, Security within the North Atlantic Treaty Organization, including COR1 to COR12 dated September 2015.
- 2.2.2 AD 070-001, ACO Security Directive, dated Jan 19
- 2.2.3 NATO Security Committee and NATO C3 Board – Primary Directive on INFOSEC, 6 December 2010.
- 2.2.4 INFOSEC Management Directive for Communication and information Systems (CIS), 19 October 2006
- 2.2.5 NATO Security Committee – Guidelines for the Security Approval or Security Accreditation of CIS, 9 October 2003
- 2.2.6 NATO Security Committee – Guidelines for Security Risk Assessment and Risk Management of CIS, 26 February 2003

- 2.2.7 NATO Security Committee – Guidelines for the Structure and Content of Security Operating Procedures (SecOps) for CIS, 19 October 2006
- 2.2.8 NATO Consultation, Command and Control Board, Directive for the Interconnection of Communication and Information Systems, 23 February 2011
- 2.2.9 NATO – Technical and Implementation Directive on Supply Chain Security for COTS CIS Security Enforcing Products - AC/322-D(2017)0016
- 2.2.10 NCIRC Service Performance Evaluation Gate 6 v2.0

2.3 NCI Agency Policy Documentation

- 2.3.1 Agency Directive AD 06.00.03 Risk Management, latest published version
- 2.3.2 PDED 06.01.03 Govern Risk Management, latest published version
- 2.3.3 SOP for Project Documentation Management
- 2.3.4 Agency Instruction AI 06.04.08 – Comments Collector, version 4.0.x
- 2.3.5 Agency Instruction AI 16.31.03 – Requirements for the Preparation of IPSP
- 2.3.6 Agency Instruction AI 16.31.10 – Spare Parts Modelling
- 2.3.7 Agency Instruction AI 16.31.07 – GD (Guidance Document) for ASD-AIA-ATA S1000D TechPubs
- 2.3.8 Agency Instruction AI 16.31.07 Annex A – S1000D Issue 5.0 Business Rules Decision Point (BRDP) Index
- 2.3.9 Agency Instruction AI 16.31.12 – WSG (Writing Style Guide) for ASD-AIA-ATA S1000D TechPubs
- 2.3.10 Agency Instruction AI 16.31.13 – ISG (Illustration Style Guide) for ASD-AIA-ATA S1000D TechPubs
- 2.3.11 Agency Instruction AI 16.31.04 – Requirements for the preparation of TRNP

2.3.12 Agency Instruction AI 16.31.04 Annex A – Training POAP (Plan On A Page)

2.3.13 Agency Instruction AI 16.31.04 Annex B – Training Feedback Form

2.3.14 Agency Instruction AI 16.31.04 Annex C – Training Evaluation Report Form

2.3.15 Agency Instruction AI 16.32.04 – ABL Template

2.3.16 Agency Instruction AI 16.32.05 – PBL Template

2.3.17 Agency Instruction AI 16.32.02 – Preparation of ECP forms

2.3.18 Agency Instruction AI 16.32.02 Annex A – ECP Form

2.3.19 Agency Instruction AI 16.32.03 – Preparation of RFC forms

2.3.20 Agency Instruction AI 16.32.03 Annex A – RFC Form

2.4 International Standards and Specifications

2.4.1 ISO 9001:2015 – Quality Management Systems

2.4.2 ISO 10007 – Configuration Management in Systems Life Cycle Management

2.4.3 ISO 15288:2015 – System and Software Engineering

2.4.4 IEEE Standard 15288.2:2014 – IEEE Standard for Technical Reviews and Audits on Defense Programs

2.4.5 ISO/IEC/IEEE 29119-1:2013 Software and systems engineering – Software testing – Part 1: Concepts and definitions;

2.4.6 ISO/IEC/IEEE 29119-2:2013 Software and systems engineering – Software testing – Part 2: Test processes;

2.4.7 ISO/IEC/IEEE 29119-3:2013 Software and systems engineering – Software testing – Part 3: Test documentation;

- 2.4.8 ISO/IEC/IEEE 29119-4:2015 Software and systems engineering – Software testing – Part 4: Test techniques;
- 2.4.9 ISO/IEC 25010-2011, Systems and software engineering – Systems and software Quality Requirements and Evaluation (SQuaRE) – System and software quality models;
- 2.4.10 IEC 61078:2016 – Reliability Block Diagrams
- 2.4.11 IEC 60812: 2018 – Failure Modes and Effects Analysis (FMEA and FMECA)
- 2.4.12 IEC 62550:2017 – Spare Parts provisioning
- 2.4.13 ASD S1000D Issue 5.0 – International Specification for the Procurement and Production of Technical Publications
- 2.4.14 ASD S2000M Issue 6.0 – International Specification for Material Management
- 2.4.15 ASD S3000L Issue 1.1 – International Procedure Specification for Logistic Support Analysis (LSA)
- 2.4.16 INCOTERMS 2020 – International Chamber of Commerce: International Commercial Terms.

2.5 MIL Standards and Handbooks

- 2.5.1 MIL-STD-882E – Systems Safety
- 2.5.2 MIL-HDBK-338B – Electronic Reliability Design Handbook
- 2.5.3 MIL-HDBK-470A – Designing and Developing Maintainable Products and Systems
- 2.5.4 MIL-STD-1629A – Procedures for Performing a Failure Mode, Effects, and Criticality Analysis
- 2.5.5 AR 700-82/SECNAVINST 4410.23/AFMAN 21-106 – SMR Coding

2.6 SECAN Doctrine and Information Publication

- 2.6.1 SDIP-27 NATO TEMPEST REQUIREMENTS AND EVALUATION PROCEDURES (NATO CONFIDENTIAL, November 2005).

2.6.2 SDIP-29 Facility Design Criteria and Installation of Equipment for the Processing of Classified Information (NATO RESTRICTED, January 2006).

2.6.3 SDIP 30 Installation of Electrical Equipment for Processing of Classified Information ((NATO RESTRICTED, November 2002).

2.7 Health and Safety (H&S) Directives and Standards

2.7.1 The hardware and its installation provided by the Contractor shall meet requirements stipulated in following publications or in their national equivalents for North America deliveries (including but not limited to following publications), as applicable:

2.7.1.1 Directive 2001/95/EC of the European Parliament and of the Council of 3 December 2001 on general product safety.

2.7.1.2 Directive 2014/30/Eu of The European Parliament and of The Council of 26 February 2014 – electromagnetic compatibility.

2.7.1.3 Directive 2014/35/Eu of The European Parliament and of The Council of 26 February 2014 – 'low voltage directive'.

2.7.1.4 RoHS-2 Directive [2011/65/EU] shall be applied to all individual components of the hardware. 2015/863 RoHS 2 amendment shall be applied for products placed on the market on or after 22 July 2019.

2.7.1.5 IEC 60950 series: Information technology equipment – Safety.

2.7.1.6 IEC 61508 Functional safety of electrical/electronic/programmable electronic safety-related systems.

2.7.1.7 IEC 62821 series: Electric cables - Halogen-free, low smoke, thermoplastic insulated and sheathed cables of rated voltages up to and including 450/750V.

2.7.1.8 IEC 61000 series – Electromagnetic compatibility (EMC).

2.7.1.9 IEC 60529 – Degrees of protection provided by enclosures (IP Code).

2.7.1.10 EN 61340-5-1:2016 Electrostatics. Protection of electronic devices from electrostatic phenomena

2.7.1.11 MIL-STD-1472G, DoD Design Criteria Standard, Human Engineering, dated 2012.

- 2.7.2 The above list of standards does not relieve the Contractor from the obligation to comply with other applicable National Standards in countries to which the hardware shall be provided.
- 2.7.3 The Contractor shall note that additional applicable publications, which may introduce detailed H&S measures, are also listed in other sections of the SOW.

SECTION 3 – PROJECT MANAGEMENT

3.1 Project Organization

3.1.1 Purchaser Project Organization and Responsibilities

3.1.1.1 The Project will be managed and subject to review by the Purchaser who will be represented by the NCIA Project Management Team (PMT). The PMT will include NCIA functional elements, including ACQ Contracting Officer and IPS Officer. It will be chaired by the NCIA Project Manager (PM).

3.1.1.2 The PMT will be responsible for reviewing the deliverables for the supervision of the implementation and for acceptance of the system. The PMT will constitute the interface with the Contractor.

3.1.2 Contractor's Responsibilities, Organization and Personnel

3.1.2.1 The Contractor shall establish a project management organization for the purpose of performing and managing the efforts necessary to satisfactorily discharge their responsibilities under this Contract.

3.1.2.2 The Contractor shall also provide the necessary manpower and resources to conduct and support the management and administration of their operations to meet the overall objectives of the contract.

3.1.2.3 The Contractor shall apply the PRINCE2 project management methodology to the planning and delivery of the capability under this Contract.

3.1.2.4 Contractor shall provide highlight reports and attend project progress meetings as required.

3.1.2.5 During project execution, the project shall be controlled in accordance with the approved Project Implementation Plan (PIP). As part of the monitoring and control function, the Contractor shall advise the Purchaser at all times of potential problems and schedule risks.

3.1.2.6 Both the Contractor Project Manager and the Contractor Technical Lead identified below shall be considered as Key Personnel in accordance with the Special Provisions of this Contract. Because of their role in coordinating with the Purchaser, all Key Personnel must be fluent in English.

3.1.3 Contractor Project Manager (CPM)

3.1.3.1 The Contractor shall designate a CPM, who will direct and coordinate the activities of the Contractor's project team.

3.1.3.2 The CPM shall be the Contractor's primary contact for the Purchaser's PM and shall conduct all major project design, test, and status reviews.

3.1.3.3 The CPM shall be prepared at all times to present and discuss the status of Contract activities with the Purchaser's PM, Contracting Officer (CO), or Technical Lead (TL).

3.1.3.4 Contractor PM Qualifications

3.1.3.4.1 The CPM shall have at least six years' experience as the PM for an effort of similar scope, duration, complexity and cost, including the application of a formal project management methodology such as PRINCE2.

3.1.4 Contractor Technical Lead

3.1.4.1 The Contractor shall designate a Technical Lead (TL) for the project. The TL shall lead the analysis, design, development, integration, and follow-on efforts of the Contractor.

3.1.4.2 Contractor TL Qualifications

3.1.4.2.1 The TL shall possess a Master's degree in engineering or computer science or shall have equivalent work experience. The TL shall: have at least seven years in engineering positions associated with the review, design, development, evaluation, planning and operation of electrical or electronic components, subsystems, or systems for government or commercial use.; be a member of recognized professional body; have at least seven years in system design and integration of networking and communication component parts similar to those being utilised for the purpose of this contract.

3.1.5 Contractor Test Director

3.1.5.1 The Contractor shall designate a Test Director for all test activities conducted under this Contract. The Test Director shall direct test planning, design and tools selection, establish guidelines for test procedures and reports, and co-ordinate with the Purchaser on test support requirements and manage the Contractor test resources.

3.1.5.2 Contractor Test Director Qualifications

3.1.5.2.1 The Test Director shall have at least five years' experience in the design and execution of

communication information systems tests.

3.1.6 Contractor Quality Assurance Representative

3.1.6.1 The Contractor shall designate a qualified individual to serve as the Contractor Quality Assurance Representative (CQAR), who will act as the Quality Assurance Manager for activities under this Contract. The CQAR shall report to a separate manager within the Contractor's organization at a level equivalent to or higher than the PM.

3.1.6.2 CQAR Qualifications

3.1.6.2.1 The Quality Assurance Manager shall have at least seven years' experience in working with quality control methods and tools and have a broad knowledge of NATO Standards (e.g. STANAG 4107 Ed. 11), processes and procedures applicable to Quality Assurance (QA) and Quality Control (QC) in the industry. The CQAR shall be independent from the project team and be involved in any project review, acceptance and delivery.

3.1.7 Contractor Integrated Product Support (IPS) Manager

3.1.7.1 The IPS Manager shall have at least ten years' experience in Supportability Engineering for HW/SW intensive Systems, preferably in the Defense and Electronic sector.

3.1.7.2 Contractor IPS Manager Qualifications

3.1.7.2.1 The IPS Manager shall have a systems engineering background or a supportability engineering equivalent certification with deep knowledge of the IPS related NATO standards, handbooks, ISOs/IEC and ASD (Aerospace & Defence) Suite (S1000D, S2000M, S3000L) and tools. The IPS manager shall have experience in all IPS elements and processes (e.g. LSA – Logistic Support Analysis, RAMT – Reliability, Availability, Maintainability and Testability, Training, Documentation etc.) and Configuration Management standards and procedures (e.g. STANAG 4427 Ed. 3 and ISO 10007).

3.2 Project Implementation Plan (PIP)

3.2.1 Scope of the PIP

3.2.1.1 The Contractor shall submit a Draft PIP that describes how the Contractor shall implement project/contract administration, including details of the controls that shall be applied to supervise Sub-Contractor performance. The plan shall also define the details of liaison amongst the Purchaser, the Contractor and any Sub-Contractors. The Draft PIP shall be

furnished with the quotation and its related documentation shall be the primary guideline in developing the PIP to be provided in accordance with the requirements set forth therein. Pending the approval of the PIP, the bid Draft PIP shall constitute the documentation to which reference shall be made on any question that may arise in the preparation of the PIP. After approval by the Purchaser, any new version of the PIP shall constitute the unique Contractor's reference for the project implementation.

3.2.1.2 The PIP shall consider all project implementation aspects, which include management provisions, facilities, schedules, personnel assignments, external relationships and project control. The PIP shall be in sufficient detail to allow the Purchaser to assess the Contractor's plans and capabilities in implementing the entire project in conformance with the requirements specified. The PIP to be prepared by the Contractor shall include as a minimum the following sections:

Section 1:	Project Overview
Section 2:	Applicable Documents
Section 3:	Project Management
Section 4:	System Design and Implementation
Section 5:	Integrated Product Support
Section 6:	Quality Assurance and Quality Control
Section 7:	Configuration Management
Section 8:	Testing and Acceptance
Section 9:	Documentation
Section 10:	Training

3.2.2 Project Overview

3.2.2.1 Section 1 of the Draft PIP shall contain a Project overview, which shall provide an executive summary overview of the UOMM capability, summarising the main features of each of the PIP sections and indicate how the Project will be executed during the full lifetime of the Project.

3.2.3 Applicable Documents

3.2.3.1 Section 2 of the Draft PIP shall contain the list of documents or standards referenced by the other sections of the Draft PIP.

3.2.4 Project Management

3.2.4.1 Section 3 of the Draft PIP shall provide the Project Management Plan (PMP), which shall include:

3.2.4.1.1 The management structure of the Contractor's team.

- 3.2.4.1.2 A list of Key Personnel assigned to the Contractor's team and their respective roles, responsibilities and authority, as well as their qualifications, experiences and security clearances.
- 3.2.4.1.3 The PMP shall identify all major Contractor operating units and any Sub-Contractors and suppliers involved in the delivery of the capability, and a description of the portion of the overall effort or deliverable item for which they are responsible.
- 3.2.4.1.4 The PMP shall include a Project Breakdown Structure (PBS) that shall contain the critical work elements (tasks) of the project and illustrate their relationships to each other and to the project as a whole.
- 3.2.4.1.5 The PBS shall be represented either as a hierarchical list, or mind map.
- 3.2.4.1.6 The PMP shall include the details of the Contractor's methodology for Project Control, including Project Reporting (Section 3.6.1) and Project Meetings (Section 3.6.2).
- 3.2.4.1.7 The PMP shall include the details of the Contractor's Risk Management approach.
- 3.2.4.1.8 The PMP shall include the details of the Contractor's Issue Management approach.
- 3.2.4.1.9 The PMP shall include the contact details of all Contractor and Sub-Contractor personnel.
- 3.2.4.1.10 The PMP shall include a current and maintained Calendar for all Contractor and Sub-Contractor resources, identifying any periods of leave, National or Official holidays.

3.2.5 System Design, Integration and Implementation

- 3.2.5.1 Section 4 of the Draft PIP shall cover the System Design, Integration and Implementation aspects of the Project.
- 3.2.5.2 The Contractor shall include all the areas as detailed in Section 4 of this SOW and present how the functional, performance and technical specifications of this SOW shall be met.
- 3.2.5.3 The Contractor shall include a Site Implementation Plan, detailing the strategy that will be followed to enable the successful implementation of capabilities at a site to achieve Preliminary System Acceptance.

3.2.6 Integrated Product Support

3.2.6.1 Section 5 of the Draft PIP shall cover the IPS aspects of the Project.

3.2.6.2 This Section shall detail the Contractor's approach to meeting the IPS requirements, as specified in Section 5 of this SOW.

3.2.6.3 Section 5 shall include the Integrated Product Support Plan (IPS Plan, refer to 5.1).

3.2.7 Quality Assurance and Quality Control

3.2.7.1 Section 6 of the Draft PIP shall cover the Quality Assurance and Quality Control aspects of the Project, as specified in Section 6 of this SOW.

3.2.7.2 This Section shall include the QA Plan (QAP), with details of how the Contractor shall establish, execute, document and maintain an effective Quality Assurance (QA) program, throughout the Contract lifetime.

3.2.8 Configuration Management

3.2.8.1 Section 7 of the Draft PIP shall cover the Configuration Management aspects of the Project.

3.2.8.2 This Section shall include the Configuration Management Plan, as specified in Section 7 of this SOW.

3.2.9 Testing and Acceptance

3.2.9.1 Section 8 of the Draft PIP shall define the Contractor's Master Test Plan (MTP).

3.2.9.2 The MTP shall include a description of the allocation of personnel, testing strategy and the schedule to accomplish all the test and acceptance activities, up to and including Final System Acceptance (FSA), as specified in Section 8 of this SOW.

3.2.10 Documentation

3.2.10.1 Section 9 of the Draft PIP shall define all Documentation being delivered by the Contractor and all referenced documentation.

3.2.11 Training

3.2.11.1 Section 10 of the Draft PIP shall define the Contractor's Training Plan.

3.2.11.2 The Training Plan shall include a description of the allocation of personnel, training strategy and the schedule to accomplish all the training activities, as specified in 5.6 of this SOW.

3.3 Project Master Schedule (PMS)

3.3.1 The Contractor shall establish and maintain a Project Master Schedule (PMS) that contains all contract events and milestones for the Project.

3.3.2 The Contractor shall ensure all planned deliverables are completed in accordance with the Schedule of Supplies and Services (SSS) and that all deliverables are completed on or before the Effective Date on Contract (EDC) plus (+) dates in accordance with the SSS.

3.3.3 The PMS shall show all contractual deliverables, the work associated with them, and their delivery dates.

3.3.4 The PMS shall not be cluttered with events or tasks internal to the Contractor, unless they are of major importance to the Project.

3.3.5 The PMS shall be provided in Microsoft Project format. For each task, the PMS shall identify the start and finish dates, duration, predecessors, constraints, and resources.

3.3.6 The PMS shall provide network, milestone, and Gantt views, and identify the critical path for the overall project.

3.3.7 The Contractor shall produce a PMS Plan on a Page (PMSPPOAP) representing the whole project as detailed in the PMS.

3.3.8 The PMSPPOAP shall be produced in Microsoft Visio Format, and be updated on a monthly basis as part of the Project Status Reporting cycle.

3.4 Documentation

3.4.1 The Contractor shall submit all documents listed in the following table based on the timelines defined as EDC+NN weeks.

Serial	Name	Description	SOW Reference	To be completed by	Format
1	DPIP	Draft Project Implementation Plan	3.2	BID	DOCX
2	PMP	Project Management Plan	3.2.4	EDC+2 weeks	DOCX
3	RISK*	Risk Log	3.7	EDC+2 weeks	XLSX**
4	ISSUE*	Issue Log	3.8	EDC+2 weeks	XLSX**
5	PMS*	Project Management Schedule	3.3	EDC+2 weeks Updated monthly	MPP
6	PMS-POAP*	Project Management Schedule Plan on a Page	3.3.7	EDC+2 weeks Updated monthly	VSDX
7	PIP*	Project Implementation Plan	3.2	EDC+4 weeks and reviews	DOCX
8	SIPS	Site Implementation Plan Strategy	3.2.5.3	EDC+4 weeks	DOCX
9	IPSP	Integrated Product Support Plan	5.1.4	EDC+4 weeks	DOCX XLSX
10	QAP	Quality Assurance Plan	6.6	EDC+4 weeks	DOCX
11	CMP	Configuration Management Plan	7.1.3	EDC+4 weeks	DOCX XLSX
12	TRNP*	Training Plan	5.6.9, 5.6.11	Draft: EDC+4 weeks Final: CDR	DOCX XLSX
13	TP-POAP*	Training Plan on a Page	5.6.11	Draft: EDC+4 weeks Final: CDR	DOCX XLSX
14	TNA	Training Needs Analysis	5.6.8	Draft: PDR Final: CDR	DOCX XLSX
15	DP	Documentation Plan	3.2.10	EDC+4 weeks	DOCX
16	ABL*	Allocated Baseline	7.1.7, 7.1.10	Initial: PDR Final: CDR	CMDB dump XLSX
17	PBL*	Product Baseline	7.1.8, 7.1.10	Initial: CDR First formal: CDR + 4W	CMDB dump XLSX
18	SDIP	System Design and Implementation Plan	3.2.5	EDC+6 weeks	DOCX
19	MTP	Master Test Plan	8.4	EDC+6 weeks	DOCX
20	ETP	Event Test Plan	8.5	EDC+6 weeks	DOCX
21	RTM	Requirements Traceability Matrix	8.7	EDC+6 weeks	XLSX
22	S1000D IETPs*	S1000D IETPs	5.5.2	Draft at PSA – 8 W Final at PSA – 1W	XML
23	S2000M Tailoring	S2000D Tailoring	5.4.6, 5.4.7	PDR	XML DOCX XLSX
24	S3000L Tailoring	S3000L Tailoring	5.3.2, 5.3.3	PDR	XML DOCX XLSX

Serial	Name	Description	SOW Reference	To be completed by	Format
25	S2000M and S3000L Tailoring Purchaser approval	S2000M and S3000L Tailoring Purchaser approval (tailoring and decision in the Support Case)	5.5.3.4	CDR	DOCX XLSX
26	TR-Templates	Training Templates and Formats	5.6.13	CDR and revisions	DOCX PPTX PDF
27	S2000M Data*	Provisioning Material Data (part of the Support Case)	5.4.1, 5.4.6, 5.5.3	CDR + 4W and revisions	XML XLSX
28	S3000L Data*	LSA/RMA Data (part of the Support Case)	5.3.1, 5.3.2, 5.3.8, 5.3.11, 5.5.3	CDR + 4W and revisions	XML
29	Site inventory (includes SWDL)*	Site inventory (includes SWDL)	5.5.4	Initial: SiAT – 1W Final: PSA – 1W	XLSX DOCX
30	TR-MAT*	Training Material	5.6.12-5.6.22	Initial: Training Start – 8W Final: Training Start – 2W	DOCX PPTX PDF SCORM
31	ABDs and ICDs*	As Built Documentation (ABD) and Interface Control Documents (ICD)	5.5.5	PSA – 4W	DOCX, XLSX VSD, PDF
32	TR	Test Report	8.8	1 week after each test event	DOCX
33	SIP	Site Implementation Plan	4.4.3.1.2	4 weeks before each site deployment	DOCX
34	SIS	Site Implementation Specification (updated and validated)	4.2.1	The (updated and validated) SIS will be submitted as a Draft 4 weeks before each site deployment. Final 2 weeks after each site deployment	DOCX
35	SSR	Site Survey Report (updated and validated)	4.5.2.8	The (updated and validated) SSR will be submitted 4 weeks before each site deployment (or 2 weeks after a site survey event if required)	DOCX
36	SAT	Tier 3 Site Acceptance Test (Plan and procedures)	8.2	4 weeks before each site deployment	DOCX
37	Defect Report / Off-Specification Report	Defect Report / Off-Specification Report (evidence documents)	8.3.1	1 week before TVVA Event	DOCX
38	Dry Run Report/Engineering report	Dry Run Report/Engineering report (evidence documents)	8.3.1	1 week before TVVA Event	DOCX
39	PSA Protocol	PSA Protocol (collection of evidence documents)	4.4.3.2	PSA – 1W	Various formats
40	FSA Protocol	FSA Protocol (collection of evidence documents)	4.4.3.3	FSA – 1W	Various formats

Serial	Name	Description	SOW Reference	To be completed by	Format
41	Lessons Learned Report	Lessons learned and Identified report	4.4.3.3.4	FSA – 1W	DOCX
42	LLD *	Low Level Design Architecture	8.3.1	2 weeks before TVVA Event	DOCX, XLSX, VSD, PDF
43	Test Completion Report	Test Completion Report (evidence documents)	8.3.1	1 week after TVVA event	DOCX

- 3.4.2 Documents marked with an asterisk* are living documents and shall be updated throughout the life of the project.
- 3.4.3 File formats marked with double asterisk ** may be managed as SharePoint forms on the portal rather than the format defined in the table – subject to approval by the Purchaser Project Manager.
- 3.4.4 Documents shall be mastered in the SharePoint Portal provisioned by the Purchaser.
- 3.4.5 All documents shall conform to the file naming and versioning standards identified in Section 6.7 of this SOW.
- 3.4.6 Exceptions to the documents naming convention defined in 3.4.5 shall apply to S1000D, S2000M and S3000L data/exports and CMDDB (Configuration Management Database) exports, based on the capabilities of the relevant Contractor data/product management tools.
- 3.4.7 Any formal submission of any document on the portal will not be recognized unless an email is submitted to the Project Managers and Contracting Officers of both parties (Purchaser and Contractor).
- 3.4.8 Document reviews must adopt Track Changes (for Microsoft Word documents). Review comments for other file formats will be managed as separate files

3.5 Documentation Review and Acceptance

- 3.5.1 The Purchaser shall review each Document in detail for a period of up to 10 working days after submission on to the Portal. During this review period, the Contractor shall make available to the Purchaser technical and contractual support as necessary to enable the Purchaser to perform the review. At the end of this period, the Purchaser will provide the Contractor with a detailed review.
- 3.5.2 Within 10 working days of receiving the Purchaser's review of a document, the Contractor

shall incorporate all the modifications, additions and expansions required by the Purchaser. The Purchaser, provided that all comments are incorporated, shall then formally accept the document.

- 3.5.3 The Purchaser reserves the right to request one additional cycle of review for each document should the Contractor not incorporate all the modifications, additions and expansions required by the Purchaser. Any delays to the project will be the responsibility of the Contractor.
- 3.5.4 The Purchaser reserves to the right to exercise Articles defined in the Special Provisions should the second review cycle of a document be incomplete.
- 3.5.5 The Purchaser reserves the right to require the Contractor to make further changes to any document, to correct any errors detected during the implementation or to reflect any technical or contractual changes necessary as a result of any supplemental agreement made to the contract.
- 3.5.6 The approval of the PIP by the Purchaser signifies that the Purchaser agrees to the Contractor's approach in meeting the requirements. This approval in no way relieves the Contractor from their responsibilities to achieve the contractual and technical requirements of this contract. The requirements of the Contract supersede any statement in the PIP in case of any conflict, ambiguity or omission.

3.6 Project Controls

3.6.1 Project Status Reports (PSR)

- 3.6.1.1 The Contractor shall provide a Project Status Report (PSR), five (5) working days prior to the Project Review Meeting (PRM) as detailed in Section 3.6.5.
- 3.6.1.2 Failure to submit the PSR onto the project portal 5 working days prior to the PRM may result in a delay of the PRM – any additional costs or expenses as a result of this delay will be borne by the Contractor.
- 3.6.1.3 The PSR shall include the following items:
 - Summary of project activities during the preceding month, as well as including the status of current and pending activities
 - Progress of stage plan, exception plan(s), and schedule status, highlighting any changes since the preceding report
 - Description of any identified issues and high risk areas with proposed solutions and

corrective actions

- Test(s) conducted and results
- Proposed changes in Contractor personnel
- Summary of Change Requests requested or approved
- Plans for activities during the following reporting period, identifying all dependencies
- Risk and Issues log update
- COVID and BREXIT movement restrictions and update

3.6.1.4 The Purchaser shall by mutual agreement with the Contractor amend the content, format and regularity of the PSR throughout the life of the project.

3.6.2 Project Meetings

3.6.2.1 Except otherwise stated in the Contract, the following provisions shall apply to all meetings to be held under the Contract.

3.6.2.2 Meetings shall take place at NCI Agency premises in Casteau (Mons). However, at the discretion of the Purchaser PM, alternative locations or virtual meetings may be permitted.

3.6.2.3 The Contractor shall submit a meeting request and meeting agenda 5 working days prior to any meeting. However, at the discretion of the Purchaser PM, meetings may be arranged with shorter notice.

3.6.2.4 The Contractor shall take meeting minutes, submit them in draft version to the Purchaser for approval within 3 working days of the meeting, on the Project Portal as well as notifying by email.

3.6.2.5 The Purchaser will respond within 3 working days of receipt of the draft minutes, and subject to Purchaser approval, the Contractor will finalized the minutes in the portal.

3.6.2.6 The participants shall not regard these minutes as a mechanism to change the terms, conditions or specifications of the Contract, or as a vehicle to alter the design or configuration of equipment or systems. Any such changes shall only be made by authorized mechanisms as set forth in the Contract.

3.6.2.7 Any documentation, even in draft format, that may be useful to the Purchaser in preparing for meetings and ensuring efficient discussions during the meetings shall be provided to the Purchaser no later than 2 working days before the meeting.

3.6.3 Project Kick-Off Meeting

3.6.3.1 The CPM shall participate in the UOMM project kick-off meeting with the Purchaser's Project Team no later than two weeks after EDC. The meetings shall be held at the Purchaser's facility in Casteau (Mons), and shall be arranged by the Purchaser.

3.6.3.2 The Contractor shall propose which resources shall be in attendance (including Sub-Contractor personnel). This must be agreed by the Purchaser PM in advance 2 weeks prior to the meeting.

3.6.3.3 The Contractor (and Sub-Contractor) Project personnel shall introduce themselves, and explain which project deliverables they are accountable for and what work they are responsible for.

3.6.3.4 The CPM shall explain how the Contractor intends to manage the implementation and deployment approach to the sites.

3.6.3.5 The Contractor's Technical Lead resources shall introduce how the Contractor intends to fulfil the technical implementation work (as described in Section 4.1). This shall include the Site Survey aspects.

3.6.3.6 The Contractor's IPS resource shall introduce how the Contractor intends to fulfil the IPS scope of work (as described in Section 5).

3.6.3.7 The Contractor's Test Director shall introduce how the Contractor intends to fulfil the Testing scope of work (as described in Section 8).

3.6.4 Design Review Meetings

3.6.4.1 The Contractor shall co-ordinate the Design Reviews.

3.6.4.2 Meetings shall take place at NCI Agency premises in Casteau (Mons). However, at the discretion of the Purchaser PM, alternative locations or virtual meetings may be permitted.

3.6.4.3 In addition to the scope and requirements for design reviews as described in Section 4, the Contractor shall provide the following, if applicable, at all design reviews:

- Changes to the PMS

- Risk assessment of proposed changes, and an update of the Risk Log and Issue Logs

3.6.5 Project Review Meetings

3.6.5.1 The Contractor shall coordinate and hold Project Review Meetings (PRM) with the Purchaser.

3.6.5.2 The PRMs shall be held at least once a month throughout the Period of Performance, and one every three (3) months during the Warranty period.

3.6.5.3 The Contractor shall provide a PSR, five (5) working days prior to each PRM, as per Section 3.6.1.

3.6.5.4 The Contractor shall submit a meeting request and meeting agenda 5 working days prior to the PRM.

3.6.5.5 Project delivery problems shall be identified, discussed and escalated with the Purchaser PM promptly, and shall not be held until PRMs.

3.6.5.6 The PRMs shall be conducted in one of the Purchaser's sites or the Contractor's sites and the location shall be subject to the Purchaser PM's approval. Casteau (Mons) shall be considered the primary location to conduct the PRMs. However, the location of PRMs may vary and, where possible, be scheduled with other project meetings.

3.6.5.7 The PRM shall be held on the first Tuesday of each month. Deviation from this is subject to approval by the Purchaser PM.

3.6.5.8 The Contractor shall conduct a PRM once a month throughout the Contract period of performance and once a quarter during the warranty period (if required). This cadence may increase or decrease if deemed necessary by the Purchaser.

3.6.6 Other Meetings

3.6.6.1 The Purchaser shall host all other meetings unless there is a specifically agreed need to review material, witness technical demonstrations or testing, or perform any other activity outside of the Purchaser's premises, as part of the meeting.

3.6.6.2 The Contractor shall identify to the Purchaser's PM any other meetings with NATO personnel required to support this Contract.

3.6.6.3 Upon approval by the Purchaser's PM, the Contractor shall schedule, organize, and conduct such meetings.

3.7 Risk Management

3.7.1 The Contractor shall establish and maintain an overall Risk Management process for the project.

3.7.2 This Risk Management process shall identify all risks (management, technical, schedule, and cost risks), evaluate each risk, and select a proposed response for each risk.

3.7.3 Evaluating each risk shall result in the risk being rated as High, Medium, or Low, based on its probability and impact.

3.7.4 For each risk, the proposed response shall be selected from the following list:

3.7.4.1 Prevention: Terminate the risk by doing things differently and thus removing the risk, where it is feasible to do so. Countermeasures are put in place that either stop the threat or problem from occurring or prevent it from having any impact on the project or business.

3.7.4.2 Reduction: Treat the risk by taking action to control it in some way where the action either reduces the likelihood of the risk developing or limits the impact on the project to acceptable levels.

3.7.4.3 Acceptance: Tolerate the risk – e.g. if nothing can be done at a reasonable cost to mitigate it or the likelihood and impact of the risk occurring are at an acceptable level.

3.7.4.4 Contingency: plan and organize actions to come into force as and when the risk occurs.

3.7.4.5 Transference: Pass the management of the risk to a third party (e.g. insurance policy or penalty clause), such that the impact of the risk is no longer an issue for the health of the project.

3.7.5 The Risk Management data shall be presented in a Risk Log.

3.7.5.1 The Contractor shall create a Risk Log in the SharePoint Portal, and shall be responsible for maintaining the log throughout the project.

3.7.5.2 The Risk Log shall be a table listing the risks, and shall include the following information:

- Risk identifier: unique code to allow grouping of all information on this risk
- Description: brief description of the risk
- Risk category (e.g. commercial, legal, technical)
- Impact: effect on the project if this risk were to occur
- Probability: estimate of the likelihood of the risk occurring
- Proximity: how close in time is the risk likely to occur
- Countermeasure(s): what actions have been taken/will be taken to counter this risk
- Owner: who has been appointed to keep an eye on this risk
- Author: who submitted the risk
- Date identified: when was the risk first identified
- Date of last update: when was the status of this risk last checked
- Status: e.g. dead, reducing, increasing, no change

3.8 Issue Management

- 3.8.1 An issue is anything that could have an effect on the Project, either detrimental or beneficial (change request, problem, error, anomaly, risk occurring, query, change in the project environment). An Issue Log shall be established, to record and track all issues and their status.
- 3.8.2 The Contractor shall create an Issue Log in the SharePoint Portal, and shall be responsible for maintaining the log throughout the project.
- 3.8.3 The Issue Log shall be a table and shall comprise the following information:
- Project Issue Number
 - Project Issue Type (Request for change, Off-specification, general issue such as a question or a statement of concern)
 - Author
 - Date identified
 - Date of last update
 - Description
 - Action item
 - Responsible (individual in charge of the action item)
 - Suspense date (Suspense date for the action item)

- Priority
- Status

3.9 Independent Verification, Validation and Quality (IVVQ)

- 3.9.1 The Purchaser will engage with the IVVQ Service Line for this project. The main objective of the IVVQ activities will be the evaluation of the performance of the Contractor and the verification of the work being performed under the related effort, in particular evaluation of Contractor deliverables and testing activities.
- 3.9.2 IVVQ will also monitor, assess, and report on the Contractor's performance in order to identify, as early as possible, perceived problem areas.
- 3.9.3 The Contractor shall transfer to IVVQ all information deemed necessary to perform the IVVQ activities, on his own initiative or on request by IVVQ or the Purchaser.

3.10 Project Portal

- 3.10.1 The Contractor shall also maintain a Project Portal (provided by the Purchaser) on which all relevant (classified up to NATO RESTRICTED) UOMM project documentation and datasets shall be maintained. The Contractor shall be able to access the Portal using the Purchaser provided REACH laptops (refer to the contract's special provision entitled Reach Capability) or any other approved device/mechanism for the exchange of NATO RESTRICTED information.
- 3.10.2 The Contractor shall make available to the Purchaser access to the Issue Log, Risk Log, Project Master Schedule, and other datasets and tools required by this SOW on the Project Portal.
- 3.10.3 The Contractor shall make available the Project Websites to allow the Purchaser access to the finished and in-progress items, including design specifications and documentation. The Contractor shall use version control for all documentation published in the project portal.
- 3.10.4 The portal shall include all contractor-provided technical documentation.
- 3.10.5 The portal shall include other documents as directed by the Purchaser's PM, CO or NQAR.
- 3.10.6 The documents posted to the portal shall clearly indicate the version number inside the document.

- 3.10.7 The Contractor shall keep the portal up to date, in support of access by the users, or the Purchaser, through the warranty period, and any subsequent extensions.

SECTION 4 – SCOPE OF WORK

4.1 Contractor Activities and Deliverables

4.1.1 The scope of work can be simply defined as three key elements:

4.1.1.1 Implementation of capability to NODCERS as detailed in this document.

4.1.1.2 Implementation of capability to Tier-3 sites as detailed in this document.

4.1.1.3 Creation of the Service and Support capabilities for NODCERS, Tier-3 and Tier-2.

4.1.2 The Equipment (HW, SW and licences) will be provided as Purchaser Furnished Equipment. The Purchaser is responsible for the shipping of the equipment to the sites (based on instruction from the Contractor). All Site Survey Reports and Site Implementation Specification documentation will be provided by the Purchaser.

4.1.3 Technical Implementation

4.1.3.1 Operational NIPS deployments

Ref	Location	Domain	Country
1	SHAPE Tier 3, Casteau (Mons)	NR/NS	Belgium
2	Public Internet Access (PIA), SHAPE, Casteau (Mons)	NR	Belgium
3	NCIRC Tier 2, Casteau (Mons)	NR/NS	Belgium
4	NODCERS, Casteau (Mons)	NS	Belgium
5	Joint Force Command (JFC), Brunssum	NR/NS	Netherlands
6	NATO AWACS Programme Management Agency (NAPMA), Brunssum	NR	Netherlands
7	NATO SECRET Point of Presence (PoP), a.k.a., PTC, Brunssum	NS	Netherlands
8	NCIA, The Hague	NR/NS	Netherlands
9	NATO Supply Procurement Agency (NSPA), Capellen	NR	Luxembourg
10	Joint Force Command (JFC), Lago Patria	NR/NS	Italy
11	Public Internet Access (PIA), Lago Patria	NR	Italy
12	NATO HQ, Evere (Brussels)	NS	Belgium
13	NATO Eurofighter Typhoon Management Agency (NETMA), Halbergmoos (Munich)	NR	Germany
14	NATO SECRET Point of Presence (PoP), Northwood	NS	UK
15	NATO Helicopter Management Agency (NAHEMA), Aix en Provence	NR	France
16	LANDCOM, Izmir	NR/NS	Turkey

Ref	Location	Domain	Country
17	Allied Command Transformation (ACT) HQ, Norfolk	NR/NS	USA
18	NATO SECRET Point of Presence (PoP) Node, Norfolk	NS	USA
19	NATO Science & Technology Organization (STO), Collaboration Support Office (CSO), Neuilly-sur-Seine (Paris)	NR	France

4.1.3.2 Operational FPC deployments

Ref	Location	Domain	Country
1	SHAPE Tier 3, Casteau (Mons)	NR/NS	Belgium
2	Public Internet Access (PIA), SHAPE, Casteau (Mons)	NR	Belgium
3	NCIRC Tier 2, Casteau (Mons)	NR/NS	Belgium
4	NODCERS, Casteau (Mons)	NS	Belgium
5	Joint Force Command (JFC), Brunssum	NR/NS	Netherlands
6	NATO SECRET Point of Presence (PoP), a.k.a., PTC, Brunssum	NS	Netherlands
7	NATO AWACS Programme Management Agency, Brunssum	NR	Netherlands
8	NCIA, The Hague	NR/NS	Netherlands
9	NATO Supply Procurement Agency (NSPA), Capellen	NR/NS	Luxembourg
10	NATO Supply Procurement Agency (NSPA), Betzdorf	NR	Luxembourg
11	Joint Force Command (JFC), Naples	NR/NS	Italy
12	Public Internet Access (PIA), Naples	NR	Italy
13	Deployable Air Command and Control Centre (DACCC), Poggio Renatico	NR/NS	Italy
14	Centre for Maritime Research and Experimentation (CMRE), La Spezia	NR	Italy
15	NATO HQ, Evere (Brussels)	NR/NS	Belgium
16	AIRCOM, Ramstein	NR/NS	Germany
17	Combined Air Operations Centre (CAOC), Uedem	NR/NS	Germany
18	NATO Airborne Early Warning (NAEW), Geilenkirchen	NR/NS	Germany
19	NATO Eurofighter Typhoon Management Agency (NETMA), Halbergmoos (Munich)	NR	Germany
20	Joint Analysis Lesson Learned Centre (JALLC), Monsanto	NR/NS	Portugal
21	Combined Air Operations Centre (CAOC), Torrejon	NR/NS	Spain
22	MARCOM, Northwood	NR/NS	UK
23	NATO SECRET Point of Presence (PoP), Northwood	NS	UK
24	NATO Helicopter Management Agency (NAHEMA), Aix en Provence	NR	France
25	Joint Warfare Centre (JWC), Stavanger	NR/NS	Norway
26	Joint Force Training Centre (JFTC), Bydgoszcz	NR/NS	Poland

Ref	Location	Domain	Country
27	LANDCOM, Izmir	NR/NS	Turkey
28	Allied Command Transformation (ACT), Norfolk	NR/NS	USA
29	NATO SECRET Point of Presence (PoP), Norfolk	NS	USA
30	NATO Science & Technology Organization (STO), Collaboration Support Office (CSO), Neuilly-sur-Seine (Paris)	NR	France

4.1.4 The Contractor shall ensure the maintenance of operational NCIRC services via the work undertaken at the sites listed in 4.1.3.1 and 4.1.3.2.

4.1.5 **NCIRC Operational Deployment Support & Exercise Reference System (NODCERS)**

4.1.5.1 The operational Tier 2 central management servers for both the NIPS and FPC systems have recently been upgraded to the supported versions of hardware and software. This change has not yet been reflected in the reference system known as NODCERS.

4.1.5.2 The Contractor shall deploy and configure a virtual NIPS FMC central management capability in the virtualized environment on NODCERS.

4.1.5.3 The Contractor shall replicate the configuration of the newly deployed Tier 2 NATO SECRET (NS) operational Firepower Management Console (FMC) 4600 to the virtual FMC installed in NODCERS.

4.1.5.4 The Contractor shall deploy and configure a NetWitness Admin server based on software version 11.6 into the virtualized environment on NODCERS.

4.1.5.5 The Contractor shall replicate the configuration of the newly deployed Tier 2 NS operational NetWitness Admin server to the new Virtual Machine (VM) in NODCERS.

4.1.5.6 The Contractor shall deploy and configure a NetWitness Event Stream Analysis (ESA) server, based on software version 11.6, into the virtualized environment on NODCERS.

4.1.5.7 The Contractor shall replicate the configuration of the newly deployed Tier 2 NS operational NetWitness ESA server to the new VM in NODCERS.

4.1.5.8 The Contractor shall deploy and configure a NetWitness Broker¹ server, based on software version 11.6, into the virtualized environment on NODCERS.

¹ Note that the NetWitness Broker is a component of the NetWitness Platform software and should not be confused the Netscout Packet Brokers mentioned elsewhere in the SOW.

- 4.1.5.9 The Contractor shall deploy and configure the Firepower 2115 NIPS appliance into the simulated Tier 3 enclave on NODCERS.
- 4.1.5.10 The Contractor shall bring the Firepower 2115 NIPS under the control of the virtualized FMC and deploy the appropriate configuration.
- 4.1.5.11 The Contractor shall deploy a physical Series 6 NetWitness Decoder, running software version 11.6, into the simulated Tier-3 enclave on NODCERS.
- 4.1.5.12 The Contractor shall deploy the NetWitness Decoder Storage Appliance and connect it to the Decoder.
- 4.1.5.13 The NetWitness Decoder and Storage shall be brought under the control of the new NetWitness Admin server in NODCERS and the configuration pushed to simulate the operational environment.
- 4.1.5.14 The Decoder shall be connected to the monitoring port of the existing Netscout Packet Broker installed in the simulated Tier 3 enclave on NODCERS.
- 4.1.5.15 The Contractor shall deploy a physical Series 6 Netwitness Concentrator, running software version 11.6, into the simulated Tier enclave on NODCERS. The Contractor shall deploy the Netwitness Concentrator Storage Appliance and connect it to the Concentrator.
- 4.1.5.16 The NetWitness Concentrator shall be brought under the control of the new NetWitness Admin server and the configuration pushed to simulate the operational environment.
- 4.1.5.17 The virtual NetWitness Broker shall be configured to simulate the role of the NetWitness Broker in the operational environment. Note that in the operational environment Brokers are normally only required to interface to multiple Concentrators. In NODCERS the NetWitness Broker will only interface to a single Concentrator.

4.1.6 Firepower NIPS Appliance Deployment

- 4.1.6.1 The Contractor shall deploy the NIPS hardware on the designated enclaves at each physical site and perform all requisite upgrade and migration activities to facilitate operation of the NIPS.
- 4.1.6.2 The Contractor shall install the new NIPS sensors configured for passive monitoring and connected to the monitoring tool ports of the existing Netscout packet brokers as shown in

Figure 1.

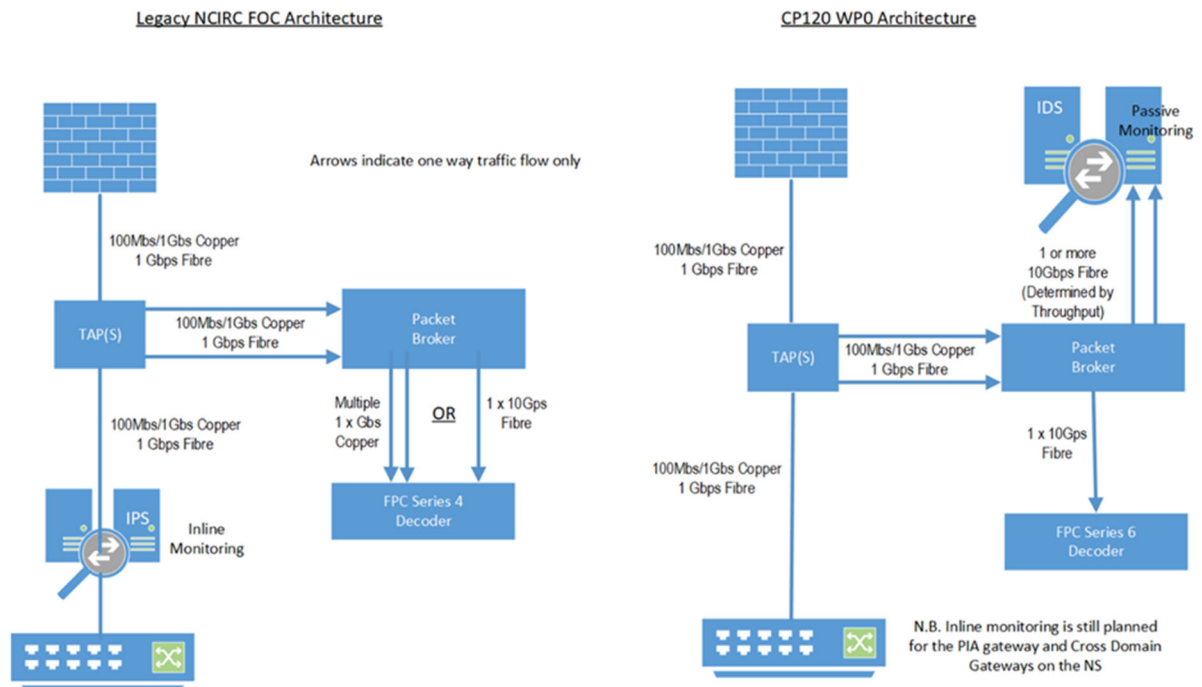


Figure 1 - Change of NIPS Architecture

4.1.6.3 The Contractor shall decommission the legacy NIPS and remove it from the rack.

4.1.6.4 The Contractor shall provide new cabling to facilitate the bypass of the decommissioned NIPS. Note that the existing in-line configuration shall be maintained at a number of Purchaser specified gateways. The gateways are PIAs, PTC nodes plus sites that have an ISP (The Hague, Norfolk, Northwood, Halbergmoss (Munich), Aix en Provence, Stavanger, Capellen, Betzdorf and Neuilly-sur-Seine (Paris)).

4.1.6.5 Note that where the NIPS to be replaced is deployed in inline mode, an outage will need to be coordinated with the site to remove the legacy device. The Purchaser shall support the Contractor in the coordination and execution of the site outages.

4.1.6.6 The Contractor shall update the configuration of the existing Netscout/VSS packet brokers to interface to the new NIPS using a 10Gbps connection, where possible². Including the installation of any new connectivity modules (SFP, SFP+) as required. The connectivity modules will be provided by the purchaser as PFE.

4.1.6.7 The Contractor shall update the configuration of the existing Netscout/VSS packet brokers to

² Some sites have a VSS V16 Packet Broker that does not support 10Gbps connections

integrate with the new NIPS. Including the installation of any new connectivity modules (SFP, SFP+) as required. The connectivity modules will be provided by the purchaser as PFE.

4.1.6.8 The Contractor shall configure the Cisco FireSight (Real-time User Awareness) functionality at each Tier 3 site.

4.1.6.9 The Contractor shall integrate the NIPS appliances with the NCIRC service monitoring solution based on SolarWinds.

4.1.6.10 The Firepower appliances are provisioned with dual redundant power supplies. They shall be configured to send an alert via the management connection if one of the power supplies fails.

4.1.6.11 SSH access to each NIPS shall be configured and secured with key material issued as PFE by the NATO PKI.

4.1.6.12 The Contractor shall replace the self-signed certificate, used to access the NIPS via HTTPS, with a certificate issued as PFE by the NATO PKI.

4.1.6.13 The contractor shall generate Certificate Signing Requests (CSRs) on the NIPS appliances and forward them to NCIA Watchkeepers.

4.1.7 **NetWitness Full Packet Capture Deployment.**

4.1.7.1 The RSA central management (Event Stream Analysis, Admin and Broker) servers have already been deployed and configured running software version 11.6. They will be provided as PFE by the customer.

4.1.7.2 The Contractor shall deploy the RSA NetWitness concentrator, decoder and hybrid appliances, along with the appropriate attached storage, at each physical site in accordance with the breakdown in Annex A - Bill of Materials.

4.1.7.3 The Contractor shall configure the management port of each physical appliance and connect it to the management switch.

4.1.7.4 The Contractor shall connect the Decoder traffic monitoring ports to the local Packet Broker. Depending on the site this will be either a single 10Gbps port or multiple 1Gbps ports.

4.1.7.5 The Contractor shall perform all requisite upgrade and migration activities to facilitate

operation of the FPC. The migration of the packets and metadata from the legacy Decoder and Concentrator appliances to the newly deployed appliances is excluded from this requirement.

- 4.1.7.6 Where possible (no constraints of space, power and cooling) the legacy FPC appliances shall be left installed and accessible from Tier-2.
- 4.1.7.7 The Contractor shall install new virtual NetWitness Tier-3 Brokers at the sites listed in A.10.
- 4.1.7.8 The Contractor shall install the latest GeoIP database to all Decoders, The Database shall be provided as PFE in MMDB format.
- 4.1.7.9 The Contractor shall connect all of the RSA NetWitness appliance Integrated Dell Remote Access Controller (iDRAC) ports to the local enclave switch and configure the iDRAC service.
- 4.1.7.10 The Contractor shall integrate the new FPC Concentrators, Decoders with the NCIRC Security Incident Information and Event Management (SIEM) based on Splunk Enterprise Security (ES).
- 4.1.7.11 The Contractor shall replicate the existing mechanism to allow PCAPs to be downloaded directly from the Splunk PCAP Management Dashboard.
- 4.1.7.12 The Contractor shall replicate the existing configuration of the Decoders, Concentrators and NetWitness Brokers to forward system log messages to Splunk via syslog.
- 4.1.7.13 The Contractor shall integrate the new FPC appliances and virtual Brokers with the NCIRC monitoring solution based on SolarWinds.
- 4.1.7.14 SSH access to the FPC appliances and virtual machines shall be configured and secured with key material issued as PFE by the NATO PKI.
- 4.1.7.15 For each FPC component (Decoder, Concentrator and NetWitness Broker) the Contractor shall replace the self-signed certificate (used for the https based management GUI) with a certificate from the NATO PKI.
- 4.1.7.16 The contractor shall generate Certificate Signing Requests (CSRs) on the FPC appliances and virtual machines and forward them to NCIA Watch keepers.
- 4.1.7.17 The Contractor shall integrate the FPC system with the Purchaser's Malware Information Sharing Platform (MISP). This shall facilitate regular automated searches of the historical

FPC data stores for possible indicators of compromise as recorded in the MISIP database.

4.1.8 Additional Considerations for the Data Center Sites

4.1.8.1 With the exception of the Data Center sites, the tasks described in this SOW involve the replacement of the existing FPC appliances, bypassing and decommissioning the existing NIPS and connecting the new NIPS to the existing Packet Broker, as described in the previous sections. The number of replacement devices will be the same or less than the current deployment.

4.1.8.2 At the main Data Center sites of Casteau (Mons) and Lago Patria the number of FPC appliances will significantly increase.

4.1.8.3 The Contractor shall connect the new NIPS to the Packet Brokers using four 10Gbps links.

4.1.8.4 At Casteau (Mons) and Lago Patria, the Contractor shall create a design to consolidate the existing currently distinct Public Internet Access (PIA), Tier-3 site, Packet Transport Component (PTC) node and Data Center enclaves.

4.1.8.5 The consolidation shall include but not be limited to the following:

4.1.8.5.1 A reduction in the number of Tier 3 Juniper VPN/Firewall devices.

4.1.8.5.2 Combination of the existing Netscout Packet Brokers to act as a single entity, using the proprietary Netscout vMesh capability.

4.1.8.5.3 Decommissioning of the existing 24 port enclave management switches.

4.1.8.5.4 Installation and configuration of new PFE 48 port enclave management switches.

4.1.8.5.5 A reduction in the number of equipment racks, if possible.

4.1.9 Additional elements of the CSO Neuilly-sur-Seine (Paris) Installation

4.1.9.1 The CSO Neuilly-sur-Seine (Paris) installation includes the installation of new NIPS and FPC as described in previous sections but, as this is a new NCIRC FOC site, additional equipment (Juniper Firewall and Ixia Packet Broker) will also need to be installed and configured as described in the following paragraphs.

- 4.1.9.2 The Contractor shall install and configure the new Juniper SRX380 Firewall.
- 4.1.9.3 The Contractor shall configure a VPN between the Juniper Firewall and the Tier 2 Juniper VPN Gateway in Casteau (Mons), using NATO PKI certificates to facilitate authentication and encryption.
- 4.1.9.4 The Contractor shall configure spare 1Gbps ports on the Juniper Firewall to create a management LAN for the newly installed systems (NIPS, FPC and Packet Broker).
- 4.1.9.5 The Contractor shall configure Cisco FireSight (Real-time User Awareness) functionality of the NIPS.
- 4.1.9.6 The Contractor shall Install and Configure the NetWitness FPC Hybrid as described in section 4.1.7.
- 4.1.9.7 The Contractor shall install and configure new Cisco Firepower NIPS as described in section 4.1.6.
- 4.1.9.8 The Contractor shall install and configure the Ixia Packet Broker.
- 4.1.9.9 The Contractor shall connect the Packet Broker to the Hybrid appliance and configure it to forward packets.
- 4.1.9.10 The Contractor shall configure filtering rules as directed by the customer.

4.2 Purchaser Furnished Elements (PFE)

- 4.2.1 The Purchaser will provide the Data Pack which will include NR material relating to the FPC and NIPS design documents and a sample Site Specific Site Installation Specification (SIS) document.
- 4.2.2 The Contractor shall request of the Purchaser all Operational PKI certificates to be readied within NCIRC in advance of site installation, and installed ahead of activation.
- 4.2.3 The RSA NetWitness virtual Broker software will be provided as PFE.
- 4.2.4 The RSA NetWitness Event Stream Analysis software for the reference system will be provided as PFE.
- 4.2.5 Software and licenses for all RSA NetWitness components will be provided as PFE.

4.2.6 All hardware listed in the BOM tables in Annex A will be provided as PFE.

4.2.7 The Contractor shall confirm the Purchaser proposed delivery dates represented in the below table.

#	PFEs	DELIVERY DATE
1	Data Pack - Data pack as per 3.4	EDC + 2 weeks
2	PKI Certificates needed for NCIRC NS enclave	As requested
3	Access to all relevant NCIRC documentation referred to in this SOW	EDC + 2 weeks
4	REACH capability (maximum 5)	One month following each request
5	DB-IP GeolP database	As requested
6	Hardware and Software as detailed in Annex A	As requested

4.3 Schedule Implementation

4.3.1 The Contractor shall carry out all installation and implementation activities necessary to enhance NCIRC FOC services at all specified sites.

4.3.2 The Contractor shall perform the following actions:

4.3.2.1 Define the current operating levels, operational ceiling and required ceiling extensions of all capabilities affected by the augmentation of Tier-3.

4.3.2.2 Updates to current designs where adaptations are necessary, defining these adaptations.

4.3.2.3 Production of test plans, test execution and defect resolution as per section 8.1.

4.3.2.4 Preparing implementation plan for all adaptations.

4.3.2.5 Prepare and execute the release and deployment of Software Release Units or Packages.

4.3.2.6 Unpacking and installing the supplies in Purchaser provided facilities.

4.3.2.7 Identification, status reporting, auditing, and control of Configuration Items and Baselines.

4.3.2.8 Define, create and deliver Operation, Maintenance and Support data and documentation.

4.3.2.9 Prepare and conduct the Handover/Takeover of products and support responsibilities from the Project Implementation team to the NCIRC Operations Teams.

4.4 Delivery Gates

4.4.1 The Contractor shall observe the Delivery Gates throughout the project.

4.4.1.1 The objective of the gates are to formally collate all deliverables and ensure they are completed and accepted by the Purchaser.

4.4.1.2 Each Gate will have entry criteria, and exit criteria.

4.4.1.3 Entry Criteria will be defined in accordance with the deliverables of the associated activities. Once all the entry criteria has been achieved, the contractor shall formally state their readiness for the gate to the Purchaser PM.

4.4.1.4 When planning their activities, the Contractor shall assume the Purchaser requires no less than five (5) working days to process the readiness statement and supporting material for each gate entry and exit criteria.

4.4.1.5 Although at the discretion of the Contractor, submission of entry criteria shall be made when the product is deemed complete and ready for assessment by the Contractor.

4.4.1.6 The Contractor shall be responsible for the production and submission of every deliverable document.

4.4.1.7 The exit criteria will be defined for each gate. Exit criteria will consist of a subset of the deliverables for the gate being accepted by the Purchaser as meeting the quality as defined and agreed during the project kick-off phase.

4.4.1.8 Until the Purchaser confirms acceptance of all the exit criteria deliverables, the gate will not be passed.

4.4.1.9 Once all entry criteria have been accepted by the Purchaser, the Purchaser shall request a Gate Acceptance Meeting to confirm acceptance.

4.4.1.10 The Contractor shall not progress to the next gate of a delivery lifecycle until the prior gate has been successfully passed.

4.4.1.11 Design Delivery gates are detailed as follows:

- Preliminary Design Review (PDR)
- Critical Design Review (CDR)

4.4.1.12 Implementation gates are detailed as follows, and shall apply to each site as a separate entity, unless explicitly agreed to by the Purchaser PM:

- Site Implementation Gate
- Activation Gate (Preliminary Site Acceptance)
- Acceptance Gate (Final System Acceptance)

4.4.2 Design Delivery Gates

4.4.2.1 The Preliminary Design Review (PDR) shall include the following:

- Initial Requirements Traceability Matrix
- Initial CI breakdown (Allocated Baseline - ABL)
- Interpretation of ambiguous requirements and clear-off of any inconsistency
- Initial Tailoring of S2000M and S3000L Specifications
- Draft Training Needs Analysis (TNA)
- Draft System Design and Implementation Plan

4.4.2.2 The Critical Design Review (CDR) shall cover the following:

- Complete Requirements Traceability Matrix (RTM)
- Detailed CI breakdown (Final Allocated Baseline - ABL and initial Product Baseline - PBL)
- Training Templates and Formats
- Final Training Needs Analysis (TNA) including the Training POAP
- Agreed tailoring of S2000M and S3000L Specifications
- Credentials to access Contractors' portals/support resources

- Baselined System Design and Implementation Plan
- Accepted validated Site Survey Reports and acceptance of completion of all site survey based activities.
- Start of the formal ECP Processing (i.a.w. STANAG 4427 Ed. 3): any configuration change shall be subject to formal ECP process and approval by the purchaser

4.4.3 Implementation gates

4.4.3.1 Site Implementation Gates

4.4.3.1.1 The objective of the Implementation gates are to ensure that Site Implementation is conducted appropriately within the project lifecycle. Each site implementation gate will be held a minimum of twenty (20) working days prior to implementation.

4.4.3.1.2 Entry Criteria are defined as:

- The Contractor shall confirm to the Purchaser which equipment must be shipped as PFE to each site.
- Notification is confirmed from the site and Purchaser PM that the implementation schedule is acceptable.
- SIS is submitted for approval
- Site Implementation Plan
- Site Acceptance Testing Plan
- Site Activation Plan
- IPS and CM data and documentation
 - Provisioning Material Data (i.a.w. S2000M Specification), incremental in the Support Case
 - LSA/RMA data (i.a.w. S3000L Specification), incremental in the Support Case
 - Product baseline for SiAT start
- The deliverables for the Implementation gate are:
 - Equipment installation
 - Equipment configuration and integration
 - T3 SiAT Testing
 - SIS

- Event Test Plan
- T3 SiAT Report
- Draft Maintenance/Support and Operation Documentation (IETPs)
- Draft Training Material
- Service Update Activation Checklist

4.4.3.1.3 Exit Criteria are defined as:

- All documentation is accepted
- Site and Purchaser PM accept the Site Implementation Entry Criteria are completed
- Confirmation from Purchaser PM that shipping of equipment is underway.

4.4.3.2 Site Activation Gate – Provisional System Acceptance (PSA)

4.4.3.2.1 The acceptance of PSA will only be granted once all activities within the Implementation and Site Acceptance Testing Gates (Section 4.4.3.1) have been achieved along with the following check list/documents container (PSA Protocol):

- Installation, Integration and testing of the specific Site completed and accepted
- Post SiAT PBL, Site Inventory, SWDL delivered and accepted and PCA completed
- Test Data records signed
- Site elements properly identified and labelled
- IETPs (i.a.w. S1000D) delivered and accepted
- Site Training Material delivered and accepted
- Site level training completed and accepted
- SW Licenses and data delivered and accepted
- Only minor deficiencies left for HW, SW, Documentation (fixes to be implemented during the period PSA-FSA)
- As-Built Documentation (ABD) and Interface Control Documentation (ICD) delivered and accepted
- CMDB delivered and accepted (Incrementally, per Site)
- LSA/RMA data (i.a.w. S3000L) and Provisioning Material Data (i.a.w. S2000M) delivered and accepted (for the site)
- Services restored and accepted as per original SLA

4.4.3.2.2 After the last PSA has been achieved, the FSA will be granted once all major deficiencies for the activities required in the relevant phase have been resolved as referenced at the Installation and Implementation Gate.

4.4.3.2.3 The time elapsed between the last PSA and the FSA shall not be more than thirty (30) working days.

4.4.3.3 **Site Acceptance Gate – Final System Acceptance (FSA)**

4.4.3.3.1 The Contractor shall commence FSA upon the acceptance, by the Purchaser, of all deliverables (services, documents) within all sites PSAs (Section 4.4.3.2) along with the following check list/documents container (FSA Protocol):

- Minor deficiencies from PSAs and major deficiencies raised in the PSA- FSA period recorded and fixed.
- ECPs recorded and latest PBL delivered and accepted
- Purchaser Acceptance of all Service Update Acceptance Gates of the project
- Purchaser Acceptance of the FSA Meeting Report
- Approved Fielded Products List (AFPL) and Configuration Control Process (CCP)

4.4.3.3.2 The Contractor shall conduct a two-day FSA Project Service Performance Review (SPR), to be conducted on NODCERS and Tier-3, demonstrating via scenarios the updated services accepted at the respective site in accordance with the SPR. The Contractor shall deliver a SPR Report one week after the completion of the SPR for Purchaser review.

4.4.3.3.3 The Contractor shall provide to the Purchaser a Lessons Identified and Learned Report.

4.4.3.3.4 The Contractor shall conduct an FSA meeting, 1 day's duration, where Acceptance evidence of all activities, deliverables and services of the project will be provided for final review to the Purchaser for final Acceptance, therefore, to start system-level warranty.

4.4.4 **Site Inventory**

4.4.4.1 The Contractor shall create and maintain one Inventory List per site as per requirements provided in the IPS section and, in particular, in paragraphs 5.5, 5.7.13 and 7.

4.4.4.2 The inventories shall be exportable from the Contractor PLM-based CMDB as an MS-Excel file for delivery to the Purchaser on hardcopy and electronic media.

4.4.4.3 The Contractor shall update the NCIRC FOC Software Distribution List by delivering the detailed and complete SWDL as defined and detailed in 5.10.

4.5 Schedule Service Update

4.5.1 On the completion of the above referenced work, the Contractor shall update all affected NCIRC FOC Business Services defined in the NCIRC FOC Service Catalogue.

4.5.2 Site Survey and Site Survey Reports

4.5.2.1 No site surveys are envisaged in the scope of this Statement of Work.

4.5.2.2 The Contractor shall receive all Site Survey Reports (SSR) as Purchaser Furnished Equipment (PFE).

4.5.2.3 The Contractor shall validate the content of each SSR as current and correct by whatever means they determine.

4.5.2.4 If the Contractor elects to perform a site survey, then they shall comply with sections 4.5.2.6, 4.5.2.7 and 4.5.2.8.

4.5.2.4.1 The objective of the site survey is to determine an agreed and acceptable baseline understanding of the site prior to installation of UOMM components.

4.5.2.5 The Contractor shall submit a validated and updated SRR four (4) weeks prior to any site deployment.

4.5.2.6 Site Surveys

4.5.2.6.1 The Contractor may visit Purchaser facilities by exception and at own cost, at which it is required to install elements of the Schedule; survey physical, logistical, and system configuration requirements to support UOMM site installation and activation; and interview site personnel involved in UOMM site installation, training, activation, and use.

4.5.2.6.2 The Contractor shall ensure that each SSR produced enables the Purchaser an accurate review of the design issued by the Contractor.

4.5.2.6.3 The Contractor shall ensure that the SSR identifies all necessary agent deployment methodologies and capabilities, routing, firewalls, Operating System (OS) and internal Operating System (IOS) entities that require changes to facilitate sensor deployment.

- 4.5.2.6.1 The Contractor shall ensure that the SSR identifies all the networks and subnets with accurate approximation (within 10%) of client devices, network equipment and services, against or on which sensors will be deployed. This shall be recorded by sensor type, network IP address, network subnet, and end device hostname and host type.
- 4.5.2.6.2 The Contractor shall be responsible for the site survey activity, including adequate passage and clearance onto and within each site.
- 4.5.2.6.3 The site survey shall verify the provided detailed design and identify if there are any design or implementation issues which have not been documented or described.
- 4.5.2.6.4 The Contractor shall conduct the site survey with Purchaser representatives as agreed with the Purchaser PM.
- 4.5.2.6.5 The Contractor shall provide the site Point Of Contact (PoC) with details of all equipment requested to be taken on site for the purposes of the site survey.
- 4.5.2.6.6 The Contractor shall only take cleared equipment on site for the site survey.
- 4.5.2.6.7 The Contractor shall give at least 10 working-day notice to coordinate in advance with the Purchaser access to any classified spaces which require an escort.
- 4.5.2.6.8 The Contractor shall produce the SSR to be used to address the following:
- Co-ordination of site installation periods.
 - Survey of the physical plant (server rooms, site layout, networking elements, etc.) and identification if additional power or civil works are required.
 - Coordination of the installation with the site, identifying all responsibilities, tasks, their sequence and required resources (e.g. space, personnel, and data).
 - Identification of the exact shipment addresses and NATO Points of Contact (POCs) for subsequent equipment delivery.
 - Identification and documentation of any minor elements not addressed in other project documentation.
 - Identification and documentation of training requirements and audience for the NCIRC staff.
 - Coordination of a proposed work schedule and migration strategy with the site,

including identification of unique technical and design issues to be considered during implementation.

4.5.2.6.9 The Contractor shall validate the type and quantity all equipment pertaining to the provision of UOMM components requested in this SOW.

4.5.2.7 Site Survey Report Template

4.5.2.7.1 The Contractor shall adopt the Purchaser SSR template if required.

4.5.2.8 Site Survey Report (SSR)

4.5.2.8.1 Should the Contractor perform a Site Survey, then the following paragraphs must be followed regarding the production of the SSR.

4.5.2.8.2 The Contractor shall identify all facilities support issues, including modifications or additions required, within one week after the site survey.

4.5.2.8.3 This notification shall be in the electronic form of a documented report to the Purchaser, accompanied by engineering drawings, checklists, or any other supporting information. This will be known as the Site Survey Report (SSR).

4.5.2.8.4 The SSR will be in a fully editable format, including all drawings and plans.

4.5.2.8.5 The Contractor shall provide a SSR detailing its findings from the site survey, identifying all required Purchaser and Contractor actions to prepare for, conduct, or support a site's installation, transition, and activation.

4.5.2.8.6 The Contractor shall provide the SSR not later than 10 working days following the completion of the site survey.

4.5.2.8.7 Sites support issues that represent Medium or High risk items shall be highlighted in the Project Review Meetings for the period in which they are identified.

4.5.2.8.8 At the time of the site survey, the Contractor shall coordinate with the Site and the Purchaser, any additional space, air-conditioning and power requirements. The Purchaser will be required to provide sufficient space, air conditioning and power for the Contractor-delivered equipment.

4.5.2.8.9 The Contractor shall identify any civil works dependencies required to complete the project, as a part of the site survey.

4.5.2.8.10 The SSR will be reviewed by the Purchaser within ten (10) working days of receipt. The standard documentation review process will be adopted as per Section 3.5.

SECTION 5 – INTEGRATED PRODUCT SUPPORT

5.1 Introduction

- 5.1.1 This Section details all Integrated Product Support (IPS) requirements of this project, covering the Through-Life Supportability aspects that the contractor shall implement for the Cyber Security System Refresh (CSSR) capability including the selected/activated options, if any.
- 5.1.2 In order to deliver the required services and materials (if any), the Contractor shall implement the requirements of this SOW and use the provided templates and instructions that the Purchaser will make available with the bid or at EDC at the latest.
- 5.1.3 Although the Contractor's work defined in Section 0 will rely on PFEs provided by NCI Agency for installation, integration and testing in the listed sites/locations, the Contractor shall be fully responsible for the design of Operation, Maintenance and Support tasks for all the implemented sites/locations, in accordance with the requirements set in this Section 5 and in Section 7, and shall develop and deliver the relevant artefacts and services as defined in the next paragraphs.
- 5.1.4 The Contractor shall include an IPS Plan (IPSP) as part of the PIP describing all aspects of support and how the Contractor proposes to meet the IPS requirements, following the requirements set in the Agency Instruction (AI) 16.31.03 – Requirements for the Preparation of IPSP.
- 5.1.5 The IPSP shall include details that demonstrate how the Contractor proposes to meet all IPS requirements throughout the entire period of performance of the contract including the warranty period as detailed in Section 5.14 below.
- 5.1.6 The Purchaser will verify that the activities, deliveries, analyses and documentation delivered by the Contractor(s) are integrated, coherent and consistent with the contractual requirements and do not degrade the current operational availability of the Systems and of the Services.
- 5.1.7 The Contractor shall be fully responsible for the delivery of the required services, processes, procedures and resources (skills, tools, spares and consumables if applicable) for the implementation of the requirements and full restoration of the systems and services affected by the activities required by this contract.

5.2 Maintenance and Support Concept

- 5.2.1 The Maintenance and Support definitions applicable to the project are defined and detailed in Annex B.

- 5.2.2 The Contractor shall design/deliver the system/elements and the Support/Maintenance documentation, instructions, and resources (skills, spares, repairs³, tools/test equipment etc.) in order to allow the purchaser to fully Operate the Systems, to perform HL1/2 and SL1/2 Maintenance and Support the System up to Level 3 (centralized) from each Provisional Site Acceptance (PSA) for the relevant site(s).
- 5.2.3 The Contractor shall be fully responsible, in accordance with the above defined Maintenance and Support Concept, to deliver all the resources (spares, repairs, training, documentation, tools, test equipment etc.), analyses, studies required to sustain the delivered System and meet the performance and functional requirements defined in this SOW until the end of the warranty.
- 5.2.4 All activities on-sites beyond NATO capabilities/skills (as per maintenance concept and contractor delivered training and documentation) required to restore the System form a critical failure shall be carried on by the Contractor by dedicated on-site interventions in no more than 24 hours from purchaser request and including the required materials and tools (HW/SW).
- 5.2.5 All activities on-sites beyond Purchaser capabilities/skills (as per Maintenance Concept and Contractor delivered training and documentation) required to fix any non critical issue affecting the systems/elements, shall be carried on by the Contractor by dedicated on-site interventions to be planned with the Purchaser in the first available Preventative Maintenance downtime slot; the activity shall include the required materials and tools (hardware/software) at no additional cost for the purchaser.
- 5.3 Logistic Support Analysis (LSA) and Reliability, Maintainability and Availability (RMA)**
- 5.3.1 The Contractor shall develop and document a detailed Logistic Support Analysis in accordance with the ASD S3000L Specification and deliver it as part of a Support Case in accordance with the timelines provided below.
- 5.3.2 The Contractor shall propose to the Purchasers a tailoring of the S3000L Specification, to be agreed with the Purchaser, in order to define as a minimum the following elements in accordance with the Maintenance and Support levels defined in Annex B and the Maintenance and Support concept defined in paragraph 5.2:

³ An initial set of spares will be provided by NCI Agency as PFE and the repairs will be covered by the extended warranty services purchased under different agreement until its completion. The Contractor might be asked to support the agency in the repair and procurement process for other spares during the warranty period relevant to the work required in this SOW.

- Full Logistic Support Analysis (LSA) Breakdown Structure (LBS)/Product Breakdown Structure (PBS);
 - Level of Repair Analysis identifying the maintenance level of each individual element of the LBS/PBS, both for Preventative (PM) and Corrective Maintenance (CM) and including troubleshooting;
 - Full and detailed range of PM and CM tasks, including troubleshooting, and relevant durations, periodicities, resources (skills/trades, tools, materials), Safety data/procedures.
- 5.3.3 The tailoring of the S3000L specification, the minimum dataset and the formats of the data/deliverables shall be delivered at PDR.
- 5.3.4 The IPS activities shall, as a minimum, generate the data, structures and deliverables required by this SOW, subject to Configuration Management as defined in paragraph 7 and under the Quality constraints defined in paragraph 6.
- 5.3.5 The Contractor shall define, design and document (in the Support Case) the Maintenance tasks and resources associated to the new/modified/upgraded equipment in order to allow 95% of the failures to be recovered and operations to be executed at Organizational Level (HL1/2 and SL1/2) by Purchaser personnel.
- 5.3.6 The Contractor shall support the NCI Agency, from each site's PSA up to the end of the Warranty period, for the HL3/4 and SL3/4 activities, for the provision of HL1/2 repairs/spares and for the provision of remote and onsite technical assistance beyond the scope and capabilities of Organizational Level Maintenance.
- 5.3.7 The Organization Level maintenance shall be executed on site and include Preventative Maintenance, Corrective Maintenance and related troubleshooting activities to be reflected in the training, training material and Operation and Maintenance (O&M) manuals that the Contractor shall provide.
- 5.3.8 The Contractor shall provide, as part of the Support Case, the following data/elements for the hardware (including firmware) and software delivered and/or installed/integrated as part of this project, in conformance with the latest applicable Product Baseline (PBL, see paragraph 7):
- Detailed hierarchical Logistic Support Analysis (LSA) Breakdown Structure (LBS)/Product Breakdown Structure (PBS) down to the Maintenance Relevant/Significant Item (MRI/MSI), hybrid type as per S3000L Specification;
 - MRI/MSIs category (Line Replaceable Unit - LRU, Insurance Item - II, Attaching Part - AP, Technical and/or non-Technical consumable, Next Higher Assembly - NHA, not-

MRI/MSI) as per definitions given in Annex B;

- Full Configuration Management data (identification of Configuration Items - CIs, type of CI, relationships, dependencies) in accordance with STANAG 4427 Ed.3 (see paragraph 7);
- Maintenance Level (preventative, corrective, troubleshooting) associated to each individual item identified in the LBS/PBS;
- MTBF (Mean Time Between Failure) and MTBCF (Mean Time Between Critical Failures) for each HW element down to MRI/MSI level and relevant calculation method (predicted, allocated, field data, specification) and conditions (temperature, environment etc.);
- MTTR (Mean Time to Repair) for each HW element down to MRI/MSI (as per definition of MIL-HDBK-470A, Appendix D);
- Failure modes, failure mode ratio and criticality number and categorization for each HW element down to MRI/MSI level (simplified Failure Modes Effects and Criticality Analysis - FMECA, including HW & SW, using MIL-STD-1629A as guideline or IEC 60812: 2018);
- RBDs (Reliability Block Diagrams) from System level down to MSI/MRI level and relevant MTBCF (Mean Time Between Critical Failures) and MTTRS (Meant Time To Restore System) calculations as per MIL-HDBK-338B and IEC 61078:2016;
- Corrective Maintenance tasks and their durations, skills/trades, tools, materials and step by step procedures required to feed the IETPs;
- Preventative Maintenance tasks, their periodicities and their durations (Mean Time Between Preventative maintenance - MTBP and Mean Time To Preventive - MTTP as per guidelines given by MIL-HDBK-338B), skills/trades, tools, materials and step by step procedures required to feed the IETPs;
- Population at each MRI/MSI level and QEI (Quantity per End Item);
- SMR (Source, Maintenance, Recoverability) Coding down to MRI/MSI level in accordance with AR 700-82/SECNAVINST 4410.23/AFMAN 21-106;
- Safety instructions.

5.3.9 The Contractor shall provide Operational and Maintenance Instructions, training and manuals to enable the Purchaser to Support the System up to Level 3 (centralized) and maintain it up to HL1/2-SL1/2 as per Maintenance/Support concept defined in paragraph 5.2.

5.3.10 The Operational instructions shall specify the tasks, the processes and the resources required at each Support Level (as per support concept defined in paragraph 5.2) including the interaction/coordination with the Maintenance activities.

- 5.3.11 All LSA and RMA data shall be provided both as raw MS Excel tables and/or S3000L XML dumps and as summary reports (with supporting MS Excel data, calculation methods and applicable standards and handbooks), fully consistent with the LBS/PBS and the relevant PBL, as per agreed tailoring of the S3000L specification.

5.4 Supply Support

- 5.4.1 For all the activities delivering any customization, modification, change, deletion or addition or replacement to the Systems in the scope of this project, the appointed Contractor shall define the data (and document them in the Support Case) relevant to the spares parts (LRUs, Insurance Items), technical and non-technical consumables for each site in accordance with the requirements and specifications outlined below.
- 5.4.2 The defined spare parts and consumables shall be coherent and consistent with the O&M concept defined in Annex B and in paragraph 5.2 and with the procedures reported in the Maintenance, Support and Operation Manuals and Training Material.
- 5.4.3 The Spare Parts and consumables data shall be coherent with the initial list of candidates and selected items provided by the Purchaser at EDC.
- 5.4.4 At each PSA, the consumables and spare parts will be made available to the sites by the Purchaser.
- 5.4.5 After each PSA, re-supply of technical consumables and repair/replenishment of spares will be the responsibility and cost of the Purchaser; the Contractor shall provide support to the Purchaser in the prompt acquisition of additional spares and repairs, if needed, to maintain the different sites/locations operational.
- 5.4.6 The Contractor shall propose to the Purchasers, n.l.t. PDR, a tailoring of the S2000M Specification, in order to define the minimum dataset (TEI – Text Element Identifiers) in accordance with the Maintenance and Support levels defined in Annex B, the Maintenance and Support concept defined in paragraph 5.2 and requirements in 5.4.7.
- 5.4.7 The Contractor shall provide at CDR + four (4) working weeks to the Purchaser PM and IPS Officer the following data (as part of the Support Case), in accordance with S2000M Spec., for each list of Spare Parts and Consumables candidates and for each set of calculated spares and consumables, including (but not limited to):
- Part Number
 - NCAGE (NATO Commercial and Government Entity code)
 - NCAGE Data (name, address, Point of Contact – POC, etc.)

- Description/nomenclature
- MRI/MSI type
- MTBF (for Spare parts – LRUs and Insurance Items only)
- Consumption Rate (for consumables)
- Quantity per End Item
- Recommended quantity
- Unit Price
- Price Unit Of Measure (UOM)
- Minimum Order Quantity (MOQ)
- SMR Code
- Turn-Around-Time (TAT) or Lead Time (LT), coherent with the SMR Code

5.5 Technical Documentation and Data

5.5.1 In addition to the documentation/data listed and detailed in other sections of this SOW, the Contractor shall deliver what follows (details for content in the following paragraphs):

- Interactive Electronic Technical Publications (IETPs)
- Logistic Data
- System Inventory
- As-Built Documentation and Interface Control Documents
- Contractors' support portals and Knowledge Base

5.5.2 Interactive Electronic Technical Publications (IETPs)

5.5.2.1 The Contractor shall develop and deliver the Interactive Electronic Technical Publications (IETPs) in accordance with the S1000D Issue 5.0 specification as per the tailoring provided by the Purchaser with the following Agency Instructions:

- AI 16.31.07 – GD (Guidance Document) for ASD-AIA-ATA S1000D TechPubs
- AI 16.31.07 Annex A – S1000D Issue 5.0 Business Rules Decision Point (BRDP) Index
- AI 16.31.12 – WSG (Writing Style Guide) for ASD-AIA-ATA S1000D TechPubs
- AI 16.31.13 – ISG (Illustration Style Guide) for ASD-AIA-ATA S1000D TechPubs

5.5.2.2 The Contractor shall deliver the following IETPs (fully compliant with S1000D Spec. as per

Als above) for each System/Element and site/location:

- HL1/2 and SL1/2 Maintenance Manuals, including (but not limited to):
 - System description, controls and indicators
 - Corrective, Preventative and Troubleshooting procedures down to MRI/MSI level
 - Illustrated Parts Catalogue
- Support Levels 1, 2 and 3 Instructions, including:
 - Operating Instructions
 - HW and SW Monitoring
 - Network integration description and management
 - SW installation, policies management, fine tuning
 - SW troubleshooting, debugging, patching, re-installation
 - SW performance improvement procedures
 - System Administrator instructions
- COTS Manuals (in their original format, PDF) encapsulated in the IETPs Data Modules (DMs) as required in the AI 16.31.07 (GD).
 - Modules (DMs) as required in the AI 16.31.07 (GD).

5.5.2.3 The above listed IETPs shall be delivered to the Purchaser's PM and IPS Officer as a preliminary version (in the form of Publication Module(s)/Data Module(s) as required in the AI 16.31.07 GD) not later than PSA – eight (8) working weeks and be ready, used and commented when the training sessions will occur.

5.5.2.4 The Contractor shall execute a desktop verification of the IETPs content, structure and layout and usability on a S1000D fully compliant browser⁴ and shall be QA approved by the contractor QA authority before such manuals are delivered to the Purchaser.

5.5.2.5 The Purchaser will validate the IETPs and will collect comments to the IETPs in different stages (including the training sessions) and will provide all the comments to the Contractor not later than PSA – 4 working weeks or after training completion.

5.5.2.6 The Contractor shall deliver the original version (starting from the preliminary version including the implementation of all the comments) not later than PSA – one (1) working week.

⁴ The S1000D browser is not part of the provision and any available S1000D browser can be used by the Contractor for the IETPs verification.

5.5.2.7 The IETPs shall be delivered as an installation package to be viewed/browsed with an S1000D fully compliant browser for Windows 10 environment.

5.5.3 Logistic Data

5.5.3.1 The Contractor shall generate/predict/collect and deliver the LSA/RMA Data required in paragraph 5.3 in accordance with the Purchaser's agreed Contractor tailoring of S3000L Specification and the Supply Support data required in paragraph 5.4 in accordance with the Purchaser's agreed Contractor tailoring of S2000M Specification, fully aligned with the applicable PBL as per requirements in section 7.1 and sub-sections of this SOW.

5.5.3.2 The Contractor shall deliver S3000L analyses and data and the S2000M analyses and data as part of an incremental Support Case, not later than CDR + four (4) weeks and reviews anytime there are updates/upgrades (through ECP process if and when applicable) and Purchaser comments affecting such data and documentation.

5.5.3.3 The Support Case shall be delivered as a formal document (including the original raw data and all annexes/appendixes) to the Purchaser's PM and IPS officer for assessment, commenting and eventually re-issuance if needed.

5.5.3.4 The Contractor shall agree with the Purchaser, not later than the CDR, the tailoring of the above mentioned specifications (S2000M and S3000L), the mandatory and additional fields and the format of the data to be delivered.

5.5.3.5 The Contractor is fully responsible of the data, their validity, correctness and overall quality and shall update the information any time major changes are required (e.g. implementation of an ECP – see section 7 – affecting the data, amendment of incorrect numbers, improvements due to field data, escalations etc.).

5.5.4 Sites and System Inventory

5.5.4.1 The Contractor shall provide the Purchaser with an initial site inventory (as part of the Support Case) at least at SiAT – 1W and with a final site inventory at PSA – 1W.

5.5.4.2 The system inventory shall be site specific and shall include all the items furnished under the project (e.g. PFEs) and all elements/items introduced by the Contractor (if any) as follows:

- All items (both Commercial Off The shelf - COTS and developmental Items - DIs, both hardware and software) down to MRI/MSI level, hierarchically structured and conforming the LBS/PBS and Product baseline (PBL);

- All interconnecting equipment/elements, either special-to-type or standard, required to install, integrate or operate the System delivered in the frame of the project;
- All special-to-type and standard tools and test equipment(both hardware and software), required to operate and maintain the delivered System and conforming with the procedures reported in the Maintenance and Support manuals and in the training
- All spare parts (any MRI/MSI category) handed over by the Purchaser
- All documentation (manuals, training material/handbooks, as built drawings, plans, procedures, data records and any Contract Data Requirement List - CDRL in general).
- All the Software (see Section 5.10).

5.5.4.3 The contractor shall provide the Inventories in accordance with the template(s) that will be provided by the Purchaser after Contract Award.

5.5.5 As-Built Documentation and Interface Control Documents

5.5.5.1 The Contractor shall create (or modify, if available) and deliver to the Purchaser's PM and IPS Officer a full set of As-Built Documentation (ABDs) and Interface Control Documents (ICD), in electronic format, not later than PSA – 4 working weeks.

5.5.5.2 Should the ABDs require corrections, the Contractor shall take in charge all Purchaser comments and re-deliver the documentation within two (2) working weeks from the reception of Purchaser comments.

5.5.5.3 The title of each drawing plus all included text and annotations shall be in English.

5.5.5.4 The appropriate NATO classification shall be on the top and bottom of each drawing.

5.5.5.5 The number and scale of each drawing (where applicable) shall be clearly indicated, in addition to the issue number of each drawing. Definition(s) may be given on the drawing, where used, or a summary sheet, or sheets, at the front of the document.

5.5.5.6 All drawings (showing physical installations) shall be to a scale of not less than 1:50.

5.5.5.7 The as-built drawings shall provide full details of how all of the major assemblies of the supplied equipment have been physically installed and mechanically/electrically integrated. As- built drawings shall be self-sufficient and independent of any other documents.

5.5.5.8 The as-built drawings shall cover the following (whatever is applicable) for any item replaced, modified or integrated in the frame of the project in the existing System/site:

- All floor and wall plans to include the physical details of all installed equipment, apparatus and devices;
- Location plans with complete details of all cross-connection frames and patch panels.
- Physical and logical details of all cable racking and cable numbers and cable functions to include as appropriate all connections, connectors and sockets;
- Details covering all wiring termination points including wire numbers and color coding, if applicable;
- Ancillary equipment details to include, as appropriate, connection points and termination points, patch panels etc.;
- The functions of all inter-connecting cables, including cross-site cabling with their codes/labels;
- Update of existing As-Built Drawings to reflect alteration works carried out by the Contractor to existing racks, elements, panels, rooms etc.

5.5.5.9 The Contractor shall provide the ABDs in electronic form and with file formats compatible with MS Visio (2016).

5.5.5.10 A copy of the ABDs shall also be provided in PDF.

5.6 Training

- 5.6.1 As part of each System/element implemented in the scope of this project, including any modification to existing hardware/software on each site by the appointed Contractor, the Contractor shall deliver a full training programme including Training Needs Analysis (TNA), planning, preparation/design, delivery/execution and assessment of the training activities.
- 5.6.2 The training programme shall cover all Maintenance, Operation and Support aspects relevant to the new system and modified systems/elements in accordance with the Maintenance and Support Concept defined in Section 5.1.7.
- 5.6.3 The Contractor shall deliver one (1) Operation Train-the-Trainer (TtT) training session for each newly delivered/installed/integrated/tested element/system/capability to allow the NCIRC Analyst personnel to fully operate the equipment (HW, FW) and SW.
- 5.6.4 The Contractor shall deliver one (1) Maintenance and Support Train-the-Trainer (TtT) training session per Tier-3 site on the newly delivered/ installed/ integrated/ tested element/ system/ capability to allow the Tier-3 sites personnel to perform maintenance at level 1 and 2 and support at level 1 and 2 of the delivered equipment (HW, FW) and SW as per Maintenance

and Support concept defined in 5.1.7 and in Annex B.

- 5.6.5 The Contractor shall deliver one (1) Administrator Train-the-Trainer (TtT) training session for each newly delivered/installed/integrated/tested element/system/capability to allow the Tier-2 personnel to fully install, re-install, set-up, customize, troubleshoot, patch, update, upgrade, test and release and administer the new delivered equipment (HW, FW) and SW, including automation, scripting and adaptations that may be required in the life of the systems/capabilities, in line with the Support level 3 and as per Maintenance and Support concept defined in 5.2 and in Annex B.
- 5.6.6 The Contractor shall deliver each training session up to a maximum of 10 trainees (per session) that will have at least a basic starting knowledge on systems similar to the ones in the scope of this project and at the same maintenance/support level(s).
- 5.6.7 The Contractor shall deliver the training considering a 50/50 percent blend of classroom and hands-on training or propose any alternative training method for discussion and concurrence with the Purchaser (at no additional cost).
- 5.6.8 In preparation of the training activities, the contractor shall deliver a draft Training Needs Analysis (TNA) not later than PDR and a final version not later than CDR in accordance with the Purchaser provided AI 16.31.11 – Requirements for the Preparation of TNA Reports.
- 5.6.9 The Contractor shall deliver a draft Training Plan (including the TP-POAP, ref. 5.6.11) with the PIP and a final Training Plan at CDR including the resolution of all the comments provided by the purchaser on the draft version.
- 5.6.10 The Training Plan shall describe in detail the training programme that the Contractor will implement including the proposed duration for each session, sequence of the sessions, daily planning and any other information deemed important for the correct planning and execution of the trainings.
- 5.6.11 The Contractor shall develop and deliver the Training Plan (TRNP) in accordance with the Purchaser provided Agency Instructions:
- AI 16.31.04 – Requirements for the preparation of TRNP
 - AI 16.31.04 Annex A – Training POAP (Plan On A Page)
 - AI 16.31.04 Annex B – Training Feedback Form
 - AI 16.31.04 Annex C – Training Evaluation Report Form

- 5.6.12 The Contractor's proposed duration of the trainings shall be accepted by the Purchaser and be adequate to the content, complexity and required knowledge to be transferred to the trainees in accordance with the requirements of this SOW, the Maintenance and support concept defined in 5.1.7 and Annex B and the result of the TNA required above.
- 5.6.13 The Contractor shall propose to the purchaser the formats and templates for the training data and material at CDR.
- 5.6.14 Upon review of the proposed format and templates for the training data and material, the purchaser will provide comments (if any) or acceptance within four (4) working weeks from the reception of Purchaser's proposed format and templates for the training data and material.
- 5.6.15 In case of comments of the purchaser, the Contractor shall provide an amended version of the format and templates for training not later than two (2) working weeks from the reception of Purchaser's comments.
- 5.6.16 The Contractor shall prepare/design the training data and material on the basis of the maintenance and support concept (Section 5.1.7), specialties (maintenance, support, and operation), levels and requirements defined in this SoW.
- 5.6.17 The training data and material shall be delivered to the PM and the IPS Officer in electronic format not later than eight (8) working weeks before the expected training for Purchaser review and acceptance before training start.
- 5.6.18 Upon review of the training data and material, the purchaser will provide comments (if any) or acceptance within four (4) working weeks.
- 5.6.19 In case of comments of the purchaser, the Contractor shall provide an amended version of the training data and material not later than two (2) working weeks from the reception of Purchaser's comments.
- 5.6.20 The Contractor shall be responsible for the timely provision on the training site/location of the following training data and material for each trainee:
- trainee guidebook;
 - Training material, properly structured and organized, including (but not limited to) video/audio material, drawings and procedures, slides/presentations, COTS documentation etc.;
 - Interactive Electronic Technical Publications (in accordance with S1000D Spec.);
 - Final training test questionnaire;

- Completion certificates (upon successful completion of the final test).

- 5.6.21 The Contractor shall be responsible for the instructor material and tools (instructor's guidebook, laptop, portable projector etc.).
- 5.6.22 The Contractor shall be fully responsible for the quality, content, completeness and correctness of the training material and shall implement the modifications, corrections and improvements required by the Purchaser to achieve acceptance and deliver the training accordingly.
- 5.6.23 The training and training material shall be delivered in simplified English language and the instructor shall be fluent in English or proficient and certified in English language (STANAG 6001 level 4333 at least).
- 5.6.24 Any training session/course shall be delivered by an instructor with a minimum of two (2) years' experience of the product/system/capability involved.
- 5.6.25 The Contractor shall deliver and complete (achieving full purchaser acceptance) all the training sessions before PSA is granted.
- 5.6.26 The level 1/2 (Maintenance and Support) and the support Level 3 training sessions shall not be run in parallel.
- 5.6.27 At training start, the Contractor shall make available the draft version of the Interactive Electronic Technical Publications (IETPs) to be used as integral part of the training material and data during each session.

5.7 Packaging, Handling, Storage and Transportation (PHST)

- 5.7.1 The Contractor shall be fully responsible for the Packaging, Handling, Storage and Transportation of the equipment, if any, to the destination sites or up to Tempest Testing Facility, if applicable, except for PFEs for which the purchaser will be responsible.
- 5.7.2 The Contractor shall define the best method for the Packaging, fulfilling as a minimum the requirements of STANAG 4280 "NATO Levels of Packaging", NATO packaging level 4.
- 5.7.3 The Contractor shall ship all required supplies to the specified site or alternatively to the Tempest Testing facility as per the Schedule.
- 5.7.4 The contractor shall be fully responsible for the decision and the selection of the proper

packaging, marking and transportation means (air, sea, land), making proper considerations about and including (but not limited to) vibrations, shocks, management of Electrostatic Discharge (ESD) sensitive devices, altitude/pressure, temperature and humidity limits not to be exceeded during the PHST activities.

- 5.7.5 The Contractor shall unpack and install the supplies in Purchaser provided facilities.
- 5.7.6 Any malfunction/failure of UOMM equipment at destination (e.g., site/location or Tempest testing facility) assessed at incoming inspection, inventory or testing level shall be full responsibility of the Contractor.
- 5.7.7 In such circumstances, the Contractor shall immediately notify the provider of the defect and the estimated time to correct the defect.
- 5.7.8 Within 10 working days, the Contractor shall follow up the initial notification with a confirmed time to correct the defect.
- 5.7.9 PHST costs including insurances, security, Customs duties (if any), manufacturing/adaptations and/or purchase of commercial or special boxes/packages/containers for PHST activities (e.g. including interfaces for pulling, lifting, handling etc.) and the rent/purchase/lease/use of any tool and facility (crane, forklift, box, container, storage area etc.) including Safety arrangements, aids and instructions for Contractor personnel, shall be under the sole responsibility and cost of the contractor.
- 5.7.10 The contractor shall coordinate with NCIA and with the local authorities the access to the sites and the proper Safety and Security procedures to be put in place for the PHST activities, for installation, integration and testing (if applicable).

5.8 302 Forms

- 5.8.1 Although the Contractor is not expected to purchase and deliver any material to the destinations sites, should this become necessary the Contractor shall be responsible for the timely request of Customs Forms 302 which are required for duty free import/export of supplies between certain countries. Following receipt of the request by the Purchaser, normally a maximum of three working days are required for the issue of the form.
- 5.8.2 These forms shall be originals and can therefore not be faxed but have to be mailed or sent by mail/express courier.
- 5.8.3 In case that an express courier has to be used to ensure that the form is available in time before shipment, the Contractor shall create an account with a Contractor's designated freight

forwarder (e.g. DHL, FEDEX) that the Purchaser can use for this purpose. The purchaser will provide a template detailing the required information for completion of the forms and the IPS PoC to address the requests.

- 5.8.4 If a country refuses to accept the Form 302 and requires the payment of customs duties, the Contractor shall pay these customs duties and the Purchaser shall reimburse the Contractor at actual cost against presentation of pertaining documents. Should such an event occur, the Contractor shall immediately inform the Purchaser by the fastest means available and before paying, obtain from the Customs officer a written statement establishing that his Country refuses to accept the Form 302.
- 5.8.5 Forwarding agents shall be informed of the availability of Form 302 and how this form is utilised to avoid the payment of customs duties. This Form 302 shall be added to the shipping documents to be provided to the carrier.

5.9 Physical Labelling

- 5.9.1 Upon successful completion of SiAT(s) the contractor shall make available to the Purchaser an update of the Product Breakdown Structure (PBS)/LSA Breakdown Structure (LBS) (including post SiAT Inventory) i.a.w. the requirements in SOW 5.3 and 7.
- 5.9.2 The Contractor shall develop the PBS/LBS from Site/System level and then sub-systems, units, assemblies and down to MRIs/MSIs level in accordance with the PBL structure and CM identification processes defined in Section 7 (full integration of HW and SW elements, including COTS).
- 5.9.3 Based on the Contractor provided data, the Purchaser will generate and provide labels with the NATO coding schema compliant with STANAG 4329 and AAP-44, which the Contractor shall attach to the equipment before it is ready to be PSA-ed.

5.10 Software Delivery

- 5.10.1 The Contractor shall provide a detailed Software Distribution List (SWDL), which details comprehensively all CSCIs and associated software, firmware or feature/performance licenses provided/ installed/ integrated/ tested under this Contract (including PFEs).
- 5.10.2 The SWDL shall include, the following data/elements:
- Computer SW Configuration Item (CSCI) identification number
 - Nomenclature
 - Version number

- License key (if applicable)
- License renewal date (if applicable)
- Warranty expiration date
- Date of distribution
- Distribution location (geographically)
- Distribution target (server)
- Hosting Platform (e.g. O/S, version etc.) of the SW/HW under license
- License Expiry date (next)
- Renewal periodicity (e.g. 3m, 6m, 1y etc.)
- License media (e.g. HW Key, Dongle, SW key, simple key etc.)
- EOL/EOS (End of Life/End of Support)
- Alternative version (if any)
- Minimum Order Quantity (MOQ) for renewal (if different from Qty=1)
- Price per licence (and eventually discounts by quantity)

5.10.3 The Contractor shall make sure that all licenses are registered with the NCIA NCIRC Service Desk as end-user (if not yet done by the Purchaser).

5.10.4 The SWDL shall be delivered, as part of each site's inventory list, at Site Acceptance Test (SiAT) start – 1W and final version at PSA – 1W.

5.11 Packing Lists

5.11.1 Although the Contractor is not expected to purchase and deliver any material to the destinations sites, should this become necessary the Contractor shall establish the packing lists in such a way as to permit easy identification of the items to be delivered to destinations.

5.11.2 These packing lists shall accompany any shipment for which the Contractor is responsible (if any).

5.11.3 Each individual container/box from a consignment shall have one packing list in weather-proof envelope affixed to the outside of each container/box which indicates exactly what is contained inside. One copy shall also be put inside each container/box.

5.11.4 All deliveries shall be notified by the Contractor through the issuance of a Notice of Shipment to the Purchaser's PM and IPS PoC, at least 10 working days in advance of each delivery.

5.11.5 The Contractor shall await for the Confirmation from the Purchaser of the availability of the destination site before shipment of the equipment takes place.

5.11.6 The Notice of Shipment shall be accompanied by a packing list.

5.11.7 The Packing list shall include the following data:

- the Purchaser's Contract Number
- the NCI Agency project number
- names and addresses of the Contractor and the Purchaser
- names and addresses of the Carrier, Consignor and Consignee (if different from Contractor or Purchaser)
- final destination address and POC
- method of shipment
- for each item shipped:
 - Schedule number as per the SSS (Scope of Supply and Services)
 - nomenclature
 - part number
 - NCAGE (coherent with the part number)
 - serial number (if applicable)
 - quantity
- for each box, pallet and container:
 - box/pallet/container/crate/transit case etc. identification number
 - Number of boxes/pallets/containers/crates/transit cases etc.
 - Weight (metric)
 - dimensions (metric)

5.6.1.1 Each individual box/pallet/container etc. shall have one packing list in weather-proof envelope affixed to the outside of each box/pallet/container etc. which indicates exactly what is contained inside.

5.6.1.2 One copy of the same packing list shall also be put inside each box/pallet/container or package.

5.12 Notice of Shipment

5.12.1 Although the Contractor is not expected to purchase and deliver any material to the destinations sites, should this become necessary, ten (10) working days before each shipment of supplies, the Contractor shall provide the Purchaser with a Notice of Shipment comprising the following details:

- Shipment Date
- Purchaser Contract Number
- Schedule number
- Consignor's and Consignee's name and address
- Number of Packages/Containers
- Gross weight
- Final/Partial Shipment
- Mode of Shipment (e.g. road...)
- Number of 302 Forms used

5.12.2 The Contractor shall ship all required equipment and installation or testing tools to the locations designated by the Purchaser.

5.12.3 The Contractor shall be responsible for resolving any loss incurred in shipping under its responsibility.

5.13 Shipments

5.13.1 Although the Contractor is not expected to purchase and deliver any material to the destinations sites, should this become necessary the Contractor shall make all shipments DDP (Delivery Duty Paid) in accordance with INCOTERMs 2020.

5.14 Warranty

5.14.1 The activities described in this section shall start immediately after the Provisional Site Acceptance (PSA) of each site is granted. PSA is granted after all the installations/integration and testing activities are completed and accepted, including (but not limited to) spares provision (if any and excluding PFEs), trainings completion and requested documentation delivered and accepted.

5.14.2 FSA will be granted once all sites have been PSA-ed, all major and minor deficiencies dragged from PSAs have been solved and Operational Testing and Evaluation is completed.

The time between the last PSA and the FSA shall not be more than four (4) working weeks to provide the Contractor with enough time to rework hardware, software and/or documentation as required.

- 5.14.3 At each PSA, the purchaser will take title of the equipment and will perform the Operation, Maintenance and Support Activities defined in the Maintenance Concept (paragraph 5.2).
- 5.14.4 The warranty period shall start at each site's PSA and shall complete for all sites/entire system after 12 months from FSA, except for extensions due to the Contractor(s)' induced delays.
- 5.14.5 All materials required to keep the Sites operational will be under the responsibility of the Purchases until the end of Warranty, excluding the material directly provided by the Contractor for the execution of the work defined in this SOW that shall be under Contractor's responsibility.
- 5.14.6 The warranty shall cover the installation and integration activities, workmanship, adaptations, changes, analyses, documentation, software, firmware, licenses and the equipment specifically provided by the Contractor for the purposes of the current Project and shall exclude all other equipment provided as PFE.
- 5.14.7 In the warranty period, the purchaser will inform the Contractor of any defect on the services (labour, activities) delivered by the Contractor in the scope of this SOW through the issuance of Warranty Claims that the Contractor shall take in charge and solve i.a.w. the given timelines.
- 5.14.8 The contractor shall issue the entire set of warranty claims raised in each quarter from start of warranty in the form of Warranty claims report; the report will be analyzed by the Purchaser to assess the performance of the contractor in the warranty phase and will be discussed by both parties during the Project Review Meetings for acceptance or rejection of the relevant warranty milestone.
- 5.14.9 The Contractor shall warrant that all installation/ Integration/ testing works performed under this Contract and the relevant documentation/data conform to the requirements and are free of any defect during the warranty period.
- 5.14.10 Before PSA and prior to warranty start, the activities, equipment, artefacts (including COTS HW/SW) and documentation shall remain under full responsibility of the contractor and

shall be delivered to NCIA, free of major⁵ deficiencies.

- 5.14.11 The Contractor shall manage and correct all major deficiencies as formal class I changes in accordance with the requirements defined in Section 7, starting from the Purchaser's approval of the first Contractor's issued PBL.
- 5.14.12 The Contractor shall manage and correct all minor deficiencies as formal class II changes in accordance with the requirements defined in Section 7, starting from the Purchaser's approval of the first Contractor's issued PBL.
- 5.14.13 The Contractor shall warrant that all equipment and software Installed/ Integrated/ Tested under the Contract are genuine and free of any malicious components, firmware and software to ensure overall security of the System and its supply chain.
- 5.14.14 The Contractor shall warrant that documentation and training provided in the scope of the project reflects the system delivered and the Maintenance and Support Concept.
- 5.14.15 If the documentation does not reflect the product, the Contractor shall provide the updated documentation within ten (10) working days upon Purchaser's request.
- 5.14.16 In case of failures of PFE items due to the execution of this project or failures of Contractor delivered items, the Contractor shall repair/replace the faulty items, at its own expenses and under its responsibility, with the highest priority allocated and shall be responsible to return the item to the destination site.
- 5.14.17 If the updated/upgraded systems/services are unserviceable for a period of time, during the implementation of this Project, due to Contractor induced failures/delays, the warranty period shall be extended accordingly for all the sites and for the amount of time the system has been unserviceable without any cost to be incurred by the Purchaser.
- 5.14.18 If the Contractor becomes aware at any time before PSA and during warranty that a defect exists in any supplies or services or documentation, the Contractor shall promptly correct the defect.
- 5.14.19 The Contractor shall provide Software patches and SW/HW/FW upgrades, if applicable, whenever a specific issue is reported by the Purchaser until the expiration of the warranty, at no additional cost for the Purchaser.

⁵ [Definition] Major deficiencies are any malfunction, error, anomaly, deviation etc. preventing the System(s), workmanship and documentation to meet the original contract performance, safety, security and interoperability requirements, including RAMT KPIs and Services Levels. Minor deficiencies are all deviations not classified as major.

- 5.14.20 The Contractor shall install new SW (e.g. through upgrades or patches) only after testing in the Reference System (RS) and only after accreditation in the NCI Agency Approved Field Product List (AFPL).
- 5.14.21 The contractor shall support the Agency with activities, data and documentation required to obtain AFPL approval for all SW and FW delivered in the frame of the project and requiring uplifting (upgrades, patches) w.r.t. the initially approved baseline.
- 5.14.22 All the SW and FW changes (in addition to the HW ones) shall follow the mandatory CM standards, processes and procedures required in Section 7.
- 5.14.23 The Contractor shall provide Technical Assistance to the Purchaser or his representatives until the end of the warranty.
- 5.14.24 Technical assistance information details shall be provided at CDR.
- 5.14.25 Technical Assistance shall be provided from assistance centers located strictly within NATO countries boundaries and by staff who are nationalized citizens of NATO member nations.
- 5.14.26 The Technical Assistance shall provide support in English for requests that correspond to information demands limited to the perimeter of delivered products, evolution proposals, problem reports, or any information needed by the Purchaser or its representatives, which are not included in the supplied technical documentation.
- 5.14.27 Under the warranty arrangements (from the PSA of each site), the Contractor shall provide 24/7 reactive maintenance/support to the Purchaser based on a combination of:
- Full access (credentials) to the KEDB/patches/FW-SW updates/FW-SW upgrades portal of the Contractor relevant to the procured HW/SW/SW products by NCIA
 - Full access to live helpdesk (chat, video, phone call) for instructions, documentation, troubleshooting, help on support and maintenance, configuration issues, patching and fixing of any HW/SW problem/failure under purchaser responsibilities (see maintenance/support concept)
 - Intervention on-site in 24hrs from the request for any critical issue beyond the Purchaser responsibilities and/or capabilities, providing also On-the-Job- Training (OJT)/instructions/documentation to purchaser personnel during the solution of the problem.
- 5.14.28 Under the warranty arrangements (from the PSA of each site), the Contractor shall provide

continuous advice and pro-active Support/Maintenance to the Purchaser based on a combination of:

- Full access (credentials) to the Knowledge Base (or similar DB) portal of the OEM's/Vendors relevant to the HW/SW products procured by the Purchaser through the Contractor relevant to the procured HW/SW/SW products by NCIA.
- Periodic (e.g. weekly) bulletins/information/notices/recommendations for the improvement of the settings/security of the procured HW/SW/FW by NCIA
- Active monitoring and both periodic and urgent notification of security alerts with temporary workarounds (including fixes and instructions) and follow-on release of security patches or new SW/FW releases
- Support for HW/SW/FW inventories management (CMDB and LBS/PBS management)
- Support, through a Single Point of Contact (SPOC) for HW/SW/FW settings/improvements to increase Security and Performance of the delivered equipment.

5.14.29 All activities and issues arising before and during the warranty period shall be reported in the PRM minutes and Action Items List (AIL) for tracking and closure purposes.

SECTION 6 – QUALITY ASSURANCE/CONTROL

6.1 Definitions

- 6.1.1 AQAP (references 2.1.2), ISO 9000:2015 (reference 2.4.1), Prince2 and ITIL definitions apply unless otherwise specified in this document.
- 6.1.2 Quality Assurance (QA) is a process and set of procedures intended to ensure that a product or service, during its definition, design, development, test and deployment phases will meet specified requirements.
- 6.1.3 Quality Control (QC) is a process and set of procedures intended to ensure that a manufactured product or performed service adheres to a defined set of quality criteria and meets the requirements of the customer.
- 6.1.4 Under the Contract, the terms “QA process” will also include Quality Control process.
- 6.1.5 A “Project document” is a document developed and maintained to help in the management of the project. Typically the plans (amongst which, the Quality Assurance Plan (QAP)) are project documents.
- 6.1.6 The term "NATO Quality Assurance Representative" (NQAR) shall apply to any of the Purchaser appointed Quality Assurance Representative.
- 6.1.7 The term "Contractor Quality Assurance Representative" (CQAR) shall apply to any of the Contractor appointed Quality Assurance Representative.

6.2 Introduction

- 6.2.1 The Contractor shall establish, execute, document and maintain an effective Quality Assurance (QA) programme throughout the Contract's lifetime.
- 6.2.2 The QA programme shall apply both the contractual requirements and the NATO requirements for quality identified by AQAP 2110, AQAP 2210 and AQAP 2310 and AQAP 2105 (references 2.1 to 2.6), to provide confidence on the Contractor's capability to deliver products that conforms to the Contractual requirements. If any inconsistency exist between the SOW requirements and the references, the SoW requirements shall prevail.
- 6.2.3 The Contractor's QA effort shall apply to all services and products (both management and specialist) to be provided under the Contract. This includes all hardware, software, firmware and documentation being developed, designed, acquired, integrated, maintained, or used

under the Contract (including deliverable and non-deliverable items like test and support hardware and software), without limitation.

- 6.2.4 The Contractor's QA efforts shall ensure that procedures are developed, implemented and maintained to adequately control the design, development, production, purchasing, installation, inspection, testing, configuration management and customer support of all services and all products, in accordance with the requirements of this Contract.

6.3 Roles and Responsibilities

- 6.3.1 During the entire contract implementation, the NQAR assures the Contractor's and Sub-Contractor's compliance with all Quality related contractual requirements. The Purchaser, through its NQAR, is the authority concerning all Quality related matters
- 6.3.2 The Contractor shall be responsible for assurance and control of quality for all deliverables and associated Contractual products, processes and services through the life-cycle of the Contract.
- 6.3.3 The CQAR shall be accountable for the provision of the QA Plan and the compliance to the defined QA process.
- 6.3.4 The CQAR shall define the major quality checkpoints that shall be implemented while executing the project and the quality process to be used at each checkpoint.
- 6.3.5 The CQAR shall establish and maintain the project quality register that lists all planned and performed quality checks on Contractor deliverables.
- 6.3.6 The CQAR shall be responsible for assessing that the Contractual requirements have been complied with, prior to proposing the Contractual services and products.
- 6.3.7 The CQAR shall report to a distinct manager within the Contractor's organisation at a level equivalent to or higher than the Project Manager.
- 6.3.8 The CQAR shall be the point of contact for interface with and resolution of quality matters raised by the NCI Agency or their delegated NQAR.
- 6.3.9 The Contractor shall support any NCI Agency or their delegated NQAR activity focused on monitoring Contractor activities at Contractor's facilities or other sites related to the development, testing and implementation. In particular, the CQAR shall:

- Make themselves available to answer questions and provide information related to the project;
- Allow the NQAR to inspect and monitor testing activities, as well as management, technical and quality processes applicable to the project;
- Transfer to the NQAR all information deemed necessary to perform the QA activities, on their own initiative or on request by the NQAR.

6.3.10 The Contractor shall ensure that CQAR has the required qualifications, knowledge, skills, ability, practical experience and training for performing their tasks.

6.3.11 The CQAR shall have sufficient responsibility, resources, authority and independence to review and evaluate activities, identify problems and initiate or recommend appropriate corrective actions.

6.3.12 The CQAR shall participate in the early planning and development stages to ensure that all quality related requirements are specified in plans, standards, specifications and documentation.

6.3.13 After establishment of attributes, controls and procedures, the CQAR shall ensure that all elements of the QA Process are properly executed, including inspections, tests, analysis, reviews and audits.

6.3.14 The Contractor, through its CQAR, shall be responsible for product quality control and for submitting to Purchaser acceptance products, supplies and services which conform to contractual requirements only.

6.3.15 The Contractor shall maintain and, when required, deliver objective evidence of this conformance.

6.3.16 The Contractor shall give written notice to the NQAR at least 4 (four) weeks in advance that the services and/or products are being presented for review, testing, verification, validation and acceptance.

6.3.17 Testing shall only be permitted by using test procedures and plans approved by the Purchaser.

6.4 Quality Management System (QMS)

6.4.1 The Contractor shall establish, document and maintain a Quality Management System in accordance with the requirements of ISO 9001:2015

- 6.4.2 The Contractor's and Sub-Contractor's QMS relevant to performance under the Contract shall be subject to continuous review and surveillance by the cognizant NQAR.
- 6.4.3 The Contractor shall include in orders placed with his Sub-Contractor(s) and Supplier(s), the QMS requirements necessary to ensure the supplies and services covered by the Sub-contract(s) and/or Purchase Orders conform to the requirements of the prime contract.
- 6.4.4 The Contractor shall specify in each order placed with his sub-Contractor(s) and Supplier(s), the Purchaser's and his NQAR rights of access to all premises where contractual work is performed, in order to carry out audits, inspections, tests and other functions as may be required by the NQAR.
- 6.4.5 If sub-contracted quality resources are used, the Contractor's Quality Management process shall describe the controls and processes in place for monitoring the sub-Contractor's work against agreed timelines and levels of quality.

6.5 Quality Assurance process

- 6.5.1 The Contractor's QA process shall ensure that procedures are developed, implemented and maintained to adequately control the development, design, production, testing and configuration of all deliverables.
- 6.5.2 The requirements for these processes shall be derived from the Contract, the QMS, the applicable AQAPs and referenced best practices, in that sequence of priority.
- 6.5.3 The Contractor shall prepare, perform and document System Requirements Review (SRR), Preliminary Design Review (PDR) and Critical Design Review (CDR) according to the contractual requirements and IEEE 15288.2:2014 (reference xyz).
- 6.5.4 The Contractor shall prepare the testing process according to the contractual requirements and ISO/IEC/IEEE 29119 (references xyz to xyz).
- 6.5.5 The Contractor shall prepare the test documentation in accordance to the contractual requirements and ISO/IEC/IEEE-29119-3 (reference xyz).
- 6.5.6 The Contractor shall perform verification and validation of the Contractual deliverables before proposing them for the Purchaser review and approval.
- 6.5.7 The Contractor's QA process shall be described in the QA Plan as outlined below. The

process is subject to approval by the Purchaser.

- 6.5.8 The Contractor shall demonstrate, with the Quality Assurance process, that the processes set up for design, develop, test, produce and maintain the product will assure the product will meet all the requirements.
- 6.5.9 The Contractor shall assure that all the test and procedure used to demonstrate the requirements will be monitored and controlled under the QA process.
- 6.5.10 On request, the Contractor shall provide the Purchaser with a copy of any subcontracts or orders for products related to the contract.
- 6.5.11 The Contractor shall notify Purchaser if a subcontract or order has been identified as constituting or involving risk. It shall be documented in accordance to chapter 6.7.
- 6.5.12 The Contractor shall periodically review the QA process and audit it for adequacy, compliance and effectiveness, and report any changes to the Purchaser NQAR.
- 6.5.13 The Contractor shall ensure that all contractual requirements, including NATO supplements, are included in internal audits.

6.6 The Quality Assurance Plan (QAP)

- 6.6.1 The Contractor shall provide a Quality Assurance Plan (QAP) for review to the Purchaser in accordance with the requirements identified by AQAP-2015 and the SoW requirements.
- 6.6.2 The Contractor's QAP shall be compatible and consistent with all other plans, specifications, documents and schedules, which are utilised under the Contract.
- 6.6.3 All Contractor procedures referenced in the QA Plan shall either be submitted with the plan, or described in the plan and made available for review by the Purchaser upon demand.
- 6.6.4 The QA Plan and all related QA procedures, and all their versions/revisions, shall be subject to NQAR approval based on an agreed checklist.
- 6.6.5 The acceptance of the QAP by the Purchaser only means that the Purchaser agrees to the Contractor's approach in meeting the requirements. This acceptance in no way relieves the Contractor from its responsibilities to meet the requirements stated in this Contract.
- 6.6.6 The Contractor shall review his QA programme periodically and audit it for adequacy,

compliance and effectiveness.

- 6.6.7 The Contractor shall ensure that all contractual requirements, including NATO supplements, are included in internal audits.
- 6.6.8 The Contractor shall inform the NQAR of deficiencies identified during internal audit unless otherwise agreed between the NQAR and/or the Purchaser and the Contractor.
- 6.6.9 The Contractor shall include a risk management section within the QAP including the risks connected to the sub-contractors of the Contractor.
- 6.6.10 The Contractor shall make his quality records, and those of his subcontractors, available for evaluation by the NQAR throughout the duration of the Contract.
- 6.6.11 The Contractor shall update the document, as required, from the delivery date of the initial QAP through Final Operating Capability (FOC), under Configuration control. The Contractor shall provide a copy of each new version of the QAP to the Purchaser for review and approval.

6.7 Quality for Project Documents

- 6.7.1 A formal change management process shall be applied to all project documents, including documents naming conventions as defined by the Purchaser and coordinated with the Contractor.
- 6.7.2 Project documents shall be configuration controlled. Each version of a project document is subject to Purchaser approval (unless otherwise specified).
- 6.7.3 The Contractor shall ensure that any change related to the project documents are controlled, with the identity, approval status, version and date of issue are clearly identified.
- 6.7.4 Project documents file names shall not contain any variable part, like version number, reviewer initials or maturity status. Version numbers and maturity status shall be marked in the document content and/or attributes.

6.8 Risks

- 6.8.1 The Contractor and Sub-contractor shall provide objective evidence, that risks are considered during planning, including but not limited to Risk Identification, Risk analysis, Risk Control and Risk Mitigation.

- 6.8.2 The Contractor shall start planning with risk identification during contract review and updated thereafter in a timely manner. The Purchaser reserve the right to reject QPs, Risk Plans and their revisions.

6.9 Deficiencies

- 6.9.1 The Contractor shall establish and implement a quality/product assurance issue tracking system (ITS) to ensure prompt tracking, documentation and correction of problems and deficiencies, during the lifecycle of the contract.
- 6.9.2 The ITS shall implement a life-cycle (status, as well as responsibilities, relationship to affected contract requirements, if applicable, and due dates for each recorded deficiency.
- 6.9.3 If the Contractor becomes aware at any time before acceptance by the Purchaser that a deficiency exists in any supplies, the Contractor shall log it in the ITS, coordinate with the Purchaser and promptly correct it.
- 6.9.4 The Contractor shall demonstrate that all deficiencies are solved / closed before product acceptance.
- 6.9.5 When the Contractor establishes that a subcontractor or a Purchaser Furnished Equipment (PFE) product is unsuitable for its intended use, he shall immediately report to and coordinate with the Purchaser the remedial actions to be taken.
- 6.9.6 The Contractor shall ensure that only acceptable products, intended for delivery, are released. The Purchaser reserve the right to reject non-conforming products.

6.10 Support Tools

- 6.10.1 The Contractor shall make all support tools available for demonstration to the NQAR, upon request.
- 6.10.2 The Contractor shall also make available to the Purchaser for review upon request, associated records and documentation, including but not limited to, control, authorization for use, calibration, validation, qualification, as applicable, per respective contract requirement.

6.11 Certificates of Conformity

- 6.11.1 A Certificate of Conformity (CoC) is a document, signed by the Supplier / Vendor of a product, stating that the product conforms to contractual requirements and regulations. A Certificate of Conformity template is available in AQAP-2070 (Section 2.1.2).

6.11.2 The CoC, provides an evidence that the items produced or shipped comply with test procedures and quality specifications prescribed by the customer.

6.11.3 The CoC requirements do not apply to Purchaser Furnished Equipment (PFE).

6.11.4 The Contractor is accountable for the conformance to requirements, of products provided to the Purchaser.

6.11.5 The Contractor shall deliver all the CoC's for Commercial-off-the-Shelf (COTS) products (software (including firmware) and hardware) released by the COTS Vendors.

6.11.6 The CoC's delivered by the Contractor shall be part of the acceptance data package of the product.

6.11.7 The Contractor shall provide a CoC at release of product to the Purchaser unless otherwise instructed.

SECTION 7 – CONFIGURATION MANAGEMENT

7.1 Configuration Management

- 7.1.1 Although the Contractor is asked to install/ integrate/ test PFEs (COTS HW, SW and FW), the Contractor shall be responsible for establishing and maintaining an effective Configuration Management (CM) organisation to implement the CM programme and manage the CM functions (Configuration Identification and Documentation, Configuration Control, Configuration Status Accounting, Configuration Audits).
- 7.1.2 The contractor shall establish and maintain the CM policies, processes and practices in conformance with STANAG 4427 Ed. 3 and underpinning ACMPs (ACMP-2000, ACMP-2009, ACMP-2100) and ISO 10007:2017.
- 7.1.3 The Contractor shall include a Configuration Management Plan (CMP) as part of the PIP describing all aspects of Configuration Management following the requirements set in the ACMP-2009-SRD-40.1 ref. # 4.3.C.
- 7.1.4 The Contractor shall implement the CM activities for any hardware, software and firmware delivered, integrated, tested and/or customized and document provided, used or defined in the frame of the project and shall fully integrate the COTS elements-data in order to implement a unique CM framework.
- 7.1.5 The Contractor shall define the CI trees (Baselines), hierarchically structured, clearly defining and identifying each node/leaf as Configuration Item (CI), Hardware Configuration Item (HWCI), Computer Software Configuration item (CSCI), Hardware Parts (HWP) or (Computer Software Component (CSC) in accordance with the guidelines provided in the above defined ACMPs and ISO.
- 7.1.6 The Contractor shall define and deliver, as a minimum the following Baselines:
- Allocated Baseline (ABL): it starts to be developed at the beginning of the design phase (PDR); it is established and “frozen” at the end of the design phase (at CDR - it is also known as “as-designed” baseline);
 - Product Baseline (PBL): It starts to be developed at the beginning of the production phase. It is established and “frozen” at the end of the production phase (at factory integration/test).
- 7.1.7 The Contractor shall deliver the first ABL at PDR and the final ABL at CDR

- 7.1.8 The Contractor shall deliver the first PBL at CDR + 4W and then at SiAT and whenever changes occur during the production, testing and warranty phases.
- 7.1.9 Both the ABLs and the PBLs shall be maintained under Configuration Control and subject to change management processes and procedures (ECPs, RFCs) in accordance with STANAG 4427 Ed. 3 and underpinning ACMPs.
- 7.1.10 The ABL and the PBL shall be delivered by the Contractor, with incremental contents, using the NCI Agency templates listed below:
- AI 16.32.04 - ABL Template
 - AI 16.32.05 - PBL Template
- 7.1.11 The Contractor shall use the Instructions and templates provided by the purchaser to issue any ECPs and RFCs in accordance with the following applicable AIs:
- AI 16.32.02 – Preparation of ECP forms
 - AI 16.32.02 Annex A – ECP Form
 - AI 16.32.03 – Preparation of RFC forms
 - AI 16.32.03 Annex A – RFC Form
- 7.1.12 All the baselines shall be developed, maintained and fully documented in the Contractor's PLM (Product Lifecycle Management) tool.
- 7.1.13 For each Baseline and relevant modifications (in accordance with the Change Request/Engineering Change Proposal/Engineering Change Order - CM CR/ECP/ECO - processes) the Contractor shall export the baselines in the form of CMDBs, covering as a minimum the following relationships:
- Contract functional/non-functional requirements to Functional elements of the FBL (the FBL shall not be delivered but shall be defined and maintained by the Contractor)
 - Functional Elements of the FBL to Major CIs of the ABL
 - Major CIs of the ABL to Full CIs (CIs, HWCIs, CSCIs, HWPs, CSCs) tree (PBL)
 - Major CIs of the PBL to Services/Sub-Services delivered by the System (mapping of CIs vs Services and vice versa)
- 7.1.14 The Contractor shall incorporate in the baselines, under a unique hierarchical tree, all the information relevant to the OEMs/COTS hardware, software and firmware used and

integrated in the System.

7.1.15 Each element of the PBL shall include as minimum (but not be limited to) the following pieces of information (in accordance with the type of item):

- Position in the structure (hierarchical level or indenture code)
- Physical location (Reference Designator or similar positional code) coherent with the As-Built Drawings and manuals
- Type of Configuration Item (CI, HWCI, CSCI, HWP, CSC)
- Type of MRI/MSI, coherent with the LBS/PBS
- Item identifiers (Part Number – P/N, Cage Code, Nomenclature, revision/issue, release etc.)
- Asset Data (SMR Code, Price, Price UOM, MOQ, start of warranty/licence validity etc.)
- Inventory Data (Serial Number - S/N or License number if applicable etc.)
- CI documentation:
 - For HWCIs/HWPs: specifications, datasheet, Certificates of Conformity (CoC), Declaration of Conformity (DoC), Items Setting Documents (ISD – how to configure HW/SW/FW) etc.
 - For HWCIs/CIs: interconnection diagrams, interface specifications/control documents, Test procedures, Test records, integration data, customization/setting procedures etc.
 - For CSCIs/CSCs: SW Release Notes (SRN), SW test data records, SW metrics (type of language, Line of Code, number of function points etc.), SW Source Code (if specifically generated or modified/adapted/customized in the frame of the project), SW Installation files, SW Version Description Documents (VDDs), SW installation/customization procedures, SW settings, SW operating manual etc.
- Alternative (P/N, Cage Code, Nomenclature, revision/issue, release etc.)
- NATO Stock Number (NSN)

7.1.16 The Contractor shall prepare and make available the PBLs and shall prepare and attend as a minimum the following Physical Configuration Audits (PCA) events:

- Pre-SiAT (Site Acceptance Test) PCA – Before SiAT to determine the to-be-tested Products baseline
- Post-SiAT PCA – Immediately after SiAT to determine the applicable PBL immediately after SiAT

- Spares and consumables Audit at PSA – three (3) working weeks before PSA.

7.1.17 All the hardware, software and firmware elements and media and ILS and System documentation provided in the scope of this project shall be properly identified, coherent and consistent with the CM baselines in use at the time of issuance/installation.

SECTION 8 – TEST, VERIFICATION, VALIDATION AND ASSURANCE (TVVA)

8.1 Introduction

- 8.1.1 This section details the Test, Verification, Validation and Assurance (TVVA) processes and requirements to be applied and performed under this Contract, which are required for the verification and validation of the requirements set forth under this Contract by the Purchaser.
- 8.1.2 All deliverables supplied by the Contractor under this contract shall be verified and validated to ensure they meet the requirements of this contract. Both fit-for-use and fit-for-purpose will be assessed using a quality-based approach.
- 8.1.3 The verification and validation approach will not only be applied to delivered equipment, but also interfaces and interoperability with existing NATO and/or national equipment, here considered as Purchaser Furnished Equipment (PFE).
- 8.1.4 The verification and validation of PFE is out of the scope of this document and the contract.

8.2 TVVA activities

- 8.2.1 The Contractor shall have the overall responsibility for meeting the TVVA requirements and conducting all related activities. This includes the development of all TVVA documentation required under this Contract (see Table 2 - Test Documentation).
- 8.2.2 The Contractor shall be responsible for the planning, execution and follow-up of all TVVA events. The Purchaser will assist in preparations by reviewing and providing feedback on all Contractor produced configuration items. The Purchaser will also provide testing and engineering Subject Matter Expertise (SME) during all TVVA events to witness and assist with these events.
- 8.2.3 The Contractor shall demonstrate to the Purchaser that there is a testing process in place for the project, supported by Contractor Quality Assurance (CQA).
- 8.2.4 Where requested by the Purchaser, the Contractor shall provide test data to support all TVVA activities.
- 8.2.5 The Purchaser shall provide subject matter experts (SME) during each test event, as well as TVVA Engineers and an NQAR.
- 8.2.6 The Contractor shall have the overall responsibility for meeting the TVVA requirements and conducting all related activities defined in the Table 1 below, describing TVVA phases. Each

phase may have one or more events to complete the full scope.

TVVA Phases	Scope	Purchaser Involvement
TVV Review	Activities required to verify the overall test strategy to ensure the project met SOW requirements.	Review Master Test Plan (MTP), Event Test Plans (ETPs), Test Cases
Qualification Testing	Activities executed to ensure the system meets necessary design requirements, and provide a baseline for subsequent acceptance tests	<p>Review contractor execute qualification/dry-run tests in preparation for formal IVV activities.</p> <p>Participate: Dry Run (Optional Purchaser participation), TRR, Test Execution, Event Review Meeting (ERM)</p>
Formal Verification and Validation	<p>Independent assessment performed with Purchaser and led by Contractor to determine whether or not a system satisfies user needs, functionality, requirements, and user workflow processes etc. before it gets into operation.</p> <p>Product Quality Criteria, for the following tests:</p> <p>System Integration Test (SIT) – Requirements based testing, focused on verifying integration of the different components together and with any external interface as defined by the SOW</p> <p>User Acceptance Test (UAT) – Scenario based testing, focused on validating the system as per user needs.</p> <p>Security Tests – Tests focused on ensuring the security criteria are met.</p> <p>System Acceptance Test (SAT) – Tests focused on ensuring compliance with the requirements outlined in the SOW.</p>	<p>Review: Event Test Plan, Security Test and Verification Plan (STVP), Test Cases, Test Report, Test Data, Test Environment Baseline, Existing defects</p> <p>Participate: TRR, Test Execution, Event Review Meeting (ERM). User Reviews (including internal users)</p>

TVVA Phases	Scope	Purchaser Involvement
RFC Support	To provide evidence that the product under evaluation met the requirements for the inclusion on the AFPL and to obtain the Approval to Operate (ATO). Change Manager to review the test execution, additional evaluation can be requested by Change Managers. Under normal circumstances, all required inputs are generated from TVVA activities	Provide test report and evaluation evidences as required by Change Manager. Under normal circumstances those are IVV Test Report, Security Report and System Administration Notes. IVV Lead: Test Readiness Review (TRR), Test Execution, Test Reports and Event Review Meeting (ERM)
Site Acceptance Phase (SiAT)	To ensure that the specific Tier 3 site/node is installed properly per site/node installation plan and the service meets the requirements stated in the SOW. Site Acceptance Testing is also to ensure compatibility and integration of the product with the site environment. Migration related tests are also covered under this tests. This includes integration with PFE.	Review: Test Plan, Test Cases, Test Report, Test Data, Test Environment Baseline, Known issues/Defects reported and accepted by Purchaser, SiAT Checklist (for all sites). Participate: TRR, Test Execution, Event Review Meeting (ERM)
Operational Test and Evaluation	To ensure that all the Operational Acceptance Criteria (OAC) such as performance and availability have been successfully implemented. Sites are successfully integrated and tested on the network level. Demonstrate that all components of the System/Application have been integrated (including other systems) to meet all OACs as well as all security requirements defined in the Security Accreditation Documentation. Ensure end to end delivered system works as expected and can interoperate with other Purchaser equipment	Review: Event Test Plan, Test Cases/Scripts, Test Report, Test Data, Test Environment Baseline, Existing defects Participate: TRR, Test Execution, Event Review Meeting (ERM)

Table 1 - List of TVVA Phases

8.3 Deliverables

- 8.3.1 The Contractor shall provide a System Test Documentation Package, following documentation templates provided by the Purchaser that is comprised of the following documents defined in Table 2 below:

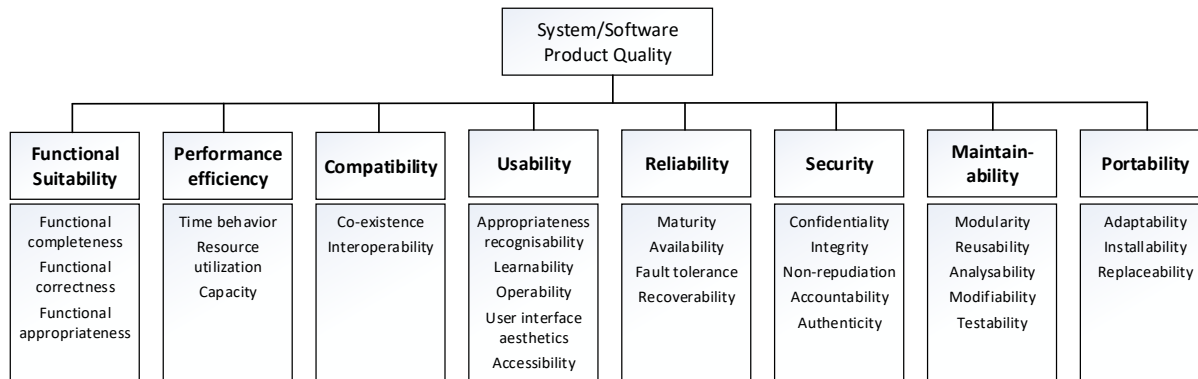
Work Product Name	Sent to Review/Approve
Master Test Plan (MTP)	First draft 4 weeks after EDC
Event Test Plan (ETP)	2 weeks before TVVA Event
Low Level Design Architecture (LLD)	2 weeks before TVVA Event
Test Cases	2 weeks before TVVA event. First draft 4 weeks after contract award
Test Completion Report	1 week after TVVA event
Defect Report / Off-Specification Report	2 weeks before TVVA Event
Dry Run Report	2 weeks before TVVA Event
Requirements Traceability Matrix (RTM) updated with test-related information	Embedded within the MTP and updated per test event

Table 2 - Test Documentation

8.4 Master Test Plan (MTP)

- 8.4.1 The Contractor shall identify and describe in the Master Test Plan (MTP) which best practices and international standards will be applied and how.
- 8.4.2 The Contractor shall produce a Master Test Plan (MTP) to address the plans for each TVVA activity listed in this document. The Purchaser will monitor and inspect the Contractor's MTP activities to ensure compliance.
- 8.4.3 The Contractor shall keep the Master Test Plan always up to date.
- 8.4.4 The Contractor shall describe how the Quality Based Testing is addressed and implemented in the MTP. Figure 2 - Product Quality Criteria is based on ISO 25010 and should be used as product quality criteria model.

Figure 2 - Product Quality Criteria



- 8.4.5 The Contractor shall describe all formal TVVA activities in the MTP with a testing methodology and strategy that fit the development methodology chosen by the project.
- 8.4.6 The Contractor shall provide in the MTP the schedule, location and scope for all the events to be run, specifying to which phase they belong. When the contractor identifies that multiple events are required for a phase, this SHALL also be specified in the MTP.
- 8.4.7 Together with the MTP, the contractor shall provide a defect reporting and management process to be applied during the TVVA activities.
- 8.4.8 The Contractor shall describe how defects/non-conformances encountered during TVV events will be reported, managed and remedied.
- 8.4.9 The MTP shall include the Contractor's approach to Test Reviews including Test Readiness Reviews and Event Review Meetings for each TVVA event.
- 8.4.10 The Contractor shall provide Contractor's provisions and strategy for building/maintaining of the Reference Environment in MTP.

8.5 Event Test Plan (ETP)

- 8.5.1 The contractor shall create an Event Test Plan (ETP) per each event for approval no later than two (2) weeks prior to the execution of the tests, unless differently stated in a work package. Detailing all the information required for that event. The ETP shall follow the template provided by the Purchaser.
- 8.5.2 The Contractor shall describe in the event test plan what training (if any) will be provided prior to formal TVVA events.

- 8.5.3 The Contractor shall identify, in the ETP, which environment(s) to be used at each TVVA event and the responsibilities for configuration control, operation and maintenance of the environment
- 8.5.4 The ETP shall describe when an agreement shall be reached between the Contractor and the Purchaser on the defect categorization and defect priority of failures encountered, as well as a way forward (if either at the end of each day of a TVVA event or at the Event Review Meeting). If agreement is not reached, the disputed items shall be escalated to the Purchaser's and Contractors' Project Managers.
- 8.1.1 The contractor shall provide together with ETP the following documentation:
- Design documentation;
 - Approved Baselined,
 - Description of System Under Test up until CI level (HW/SW Configuration, System Version Definition Document, As-Built Drawings/Low level Diagram, Interface descriptions),
 - Dry Run Report
 - Defect Report (as applicable)
 - Off-Specification Report (Deviation, waiver as applicable)
 - Approved Change Request (as applicable)

8.6 Test Cases

- 8.6.1 The Contractor shall submit the draft test cases for the TVVA event to the Purchaser for approval no later than two (2) weeks prior to the execution of the tests, unless differently stated in a work package. The Purchaser shall provide comments or approval within one (1) week of receipt. The purchaser shall have the final version of the test cases and Event Test Plan available two working days prior to the TRR for a specific TVVA event.
- 8.6.2 The contractor shall develop test and use cases to verify and validate all requirements in the SOW, requirements specifications and final design. The test cases shall follow the template provided by the purchaser.

8.7 Requirements Traceability Matrix (RTM)

- 8.7.1 The Contractor shall produce and maintain a Requirements Traceability Matrix (RTM), which includes all functional and non-functional requirements, to track the TVVA status of all requirements throughout the Contract execution (especially during the TVVA activities). The RTM shall also trace the requirements to the design. It shall also define how the requirements

will be validated or verified at each of the TVVA activities:

- The verification method: Inspection, Analysis, Test or Demonstration
- Corresponding TVVA phase(s) for each requirement
- Coverage Status

8.7.2 The Purchaser shall review and approve the proposed RTM.

8.7.3 The Contractor shall maintain the RTM updated during the project lifecycle.

8.8 TVVA Events and results

8.8.1 The Contractor shall conduct testing during the Project lifecycle compliant with the following requirements:

8.8.1.1 The Contractor is responsible for conducting all testing during the Project lifecycle. The contractor shall provide evidence to the Purchaser of the results of these testing activities. The Contractor shall respond to any Purchaser clarification requests regarding test results or performance within two working days.

8.8.1.2 The Contractor shall provide status reports to the Purchaser regarding verification and validation activities during the planning/design and development phases. The Contractor shall provide Test Completion Report to the Purchaser following the completion of any TVVA event. The Purchaser will approve the report and its findings within two business days.

8.9 Test Readiness Review (TRR)

8.9.1 The Contractor shall conduct a Test Readiness Review (TRR) meeting two (2) days prior to the test events. The TRR shall ensure that all entry criteria for the events have been met. Documentation that requires review by the Purchaser prior to a TRR, as defined in the Master Test Plan (MTP), shall be provided no less than 1 week prior to TRR.

8.9.2 The Purchaser has the right to cancel the TRR and/or any formal test event if the evidence demonstrates that execution of the test event will not be effective.

8.10 Event Review Meeting (ERM)

8.10.1 The Contractor shall convene an Event Review Meeting (ERM) as defined in the MTP. The

ERM shall ensure that the event results, defect categorization and a way forward to fixing the defects (if required) is agreed upon by the Contractor and the Purchaser. If agreement is not reached, the disputed items shall be escalated to the Purchaser and Contractor Project Managers.

8.11 TVVA Event

8.11.1 An event starts with the Test Readiness Review (TRR) and finishes with the Event Review Meeting (ERM).

8.11.2 During formal TVVA phases, a daily progress debrief shall be scheduled. Participation to the daily progress debrief will be agreed between Purchaser and Contractor. The aim of the debrief is to get a common understanding on what tests were run, which passed, which failed, and whatever defects were reported.

8.11.3 For each TVVA event, the Contractor shall provide log/record of the event, including but not limited to individual test results, defects found, requirement coverage, test execution durations, deviations during execution and sign-off for each result by both the Contractor and Purchaser.

8.11.4 At the end of the project, the Contractor shall provide the final version of all artefacts (regardless of format) created during the execution of all TVVA activities.

8.12 Test Completion Report

8.12.1 Test completion report is a summary of the test event activities and shall contain as a minimum:

- Requirement coverage against test cases
- Test cases with test results
- List of defects
- Any mitigations/Waivers as applicable

8.13 Test Completion Report

8.13.1 Test completion report is a summary of the test event activities and shall contain as a minimum:

- Requirement coverage against test cases
- Test cases with test results
- List of defects

- Any mitigations/Waivers as applicable

8.14 Waivers

8.14.1 The Contractor may request a Test Waiver if the Contractor has previously successfully completed qualification testing to national, or international standards for assemblies, subassemblies components or parts. The Purchaser, after review of test waivers and analysis of their impact, reserves the right to require test and certification of the modified equipment at no cost to the Purchaser. The Purchaser has the right to reject any test Waiver (see Table 6).

8.14.2 The Contractor shall record and log all waiver requests along with their resolution submitted for the Purchaser's approval.

8.15 Test Defect Categorization

8.15.1 The Contractor shall use the Purchasers' categorization nomenclature for all defects and non-compliances.

8.15.2 Should a failure be identified during a TVVA event/activity, a defect shall be recorded. Once the event has concluded, the defect shall be reviewed during the event review meeting to agree on the severity, priority and category. The event test report shall then report the disposition of all defects recorded during the event and the defect management system shall be updated accordingly. Classification shall follow the definitions in Table 3:

Attributes	Definition
Severity	The severity of a defect is the degree of impact that the failure has on the development or operation of a component, a system or a user function. The severity SHALL initially be proposed by the tester but SHALL officially be set in agreement with all the stakeholders. When agreement cannot be reached, the Purchaser's PM will set the severity.
Priority	The priority of a defect defines the order in which defects SHALL be resolved. The priority of the defect SHALL initially be proposed by the tester but SHALL officially be set in agreement with all the stakeholders. When agreement cannot be reached, the Purchase's PM will set the priority.
Category	The type of observation identified during the execution of a test case.

Table 3 - Definitions for Defect Categorization

8.16 Severity

8.16.1 According to their severity, defects shall be classified as one of the following in Table 4:

Severity	Definition
Critical	The failure of testing of a requirement. The failure results in the termination of the complete system or one or more component of the system. The failure causes extensive corruption of data. The failed function is unusable and there is no acceptable alternative method to achieve the required results
Major	A significant failure that causes severely impaired functions but does not prevent operational processing. Applies to conditions under which the complete system or one or more component of the system are partially inoperative, but are still usable by the users. A work around may be available, but it may require manual intervention. Examples: Absence of expected modules/ object or Unit failure of business operational process that affects a large group of users * complete failure of a module
Moderate	The failure does not result in the termination and all functions are available but causes the system to produce incorrect, incomplete or inconsistent results. When resources are available and budgeted, should be resolved.
Minor	The failure does not result in termination and does not damage the functioning of the system. The desired results can be easily obtained by working around the failure
Cosmetic	The failure is related to the look and feel of the application, typos in a document or user interfaces (amongst others), and not part of the immediate usability or contractual requirements. The failure does not adversely affect the overall system operation.

Table 4 - Classification of defects based on severity

8.17 Priority

8.17.1 According to their priority, defects shall be classified as one of the following in Table 5:

Priority	Description
Urgent	The defect SHALL be resolved as soon as possible. Required to complete independent verification and validation activities.
Medium	The defect SHALL be resolved in the normal course of development activities. It can wait until a new build or version is created.
Low	The defect is an irritant which should be repaired, but repair can be deferred until after more serious defects have been fixed.

Table 5 - Priority Classes for Defect Classification

8.18 Category

8.18.1 According to their category, deficiencies shall be classified as one of the following in Table 6.

Category	Description
Defect	An imperfection or deficiency in a work product where it does not meet its requirements or specifications. This category of defect could drive to the creation a Class II (Product Correction) Engineering Change Proposal (ECP).
Enhancement	This type of defect is used to record an Improvement to the product baseline. This category of defect would typically drive to the creation of a Class I (Product enhancement) ECP.
Document	This category is used to record deficiencies encountered in the system documentation (test cases, test procedures, RTM, test plan, manuals, design, procedures).
Clarification	This category is used to record deficiencies encountered during the test execution, which must be clarified.
Waiver	This category is used to record when a waiver is required to address a specific observation or deficiency.

Table 6 - Deficiency Categories

8.19 Tools

8.19.1 The Contractor shall generate and deliver automated test procedures/cases compatible with Purchaser test management and automation tools.

8.19.2 The Contractor shall make use of automated testing and supporting testing tools (test management, requirement coverage, defect management, etc.) to the maximum applicable extent, for all system development, implementation, internal and formal tests. The process and proposed supportive tools shall be described in the Master Test Plan (MTP). In areas where the Purchaser already uses specific tools, the Contractor shall make use of the tools in use by the Purchaser. **Note: the Purchaser (IVVQ) is using JiraData Center and Zephyr Scale for test management automation and these are accessible only from NATO Restricted network using REACH laptops.**

8.19.3 Tools supporting requirements coverage, defect management and test management shall be selected and hosted by the purchaser and used by the Contractor. For any internal work, the Contractor may use their own internal tools, but the tools used for the contractor's internal work shall be able to natively interface with the tools selected and hosted by the Purchaser



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in order to keep all TVVA related data for the project in the purchaser tools.

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SECTION 9 – HEALTH AND SAFETY

9.1 General Safety Requirements

- 9.1.1 The Contractor shall undertake all measures to comply and ensure compliance with respective Regulations for Industrial Safety applicable throughout this Contract.
- 9.1.2 The Contractor shall comply with the national legislation of respective territorial Host Nations concerning job accidents, incident prevention and hygiene at work.
- 9.1.3 The Contractor shall also make legal arrangements for protection of the life and security of all its personnel and to guarantee medical assistance whenever necessary due to job accidents. The same legal arrangements shall be applied to sub-contractor personnel under Contractor's responsibility.
- 9.1.4 When working at the Purchaser's facilities, the Contractor shall comply with all safety and security directives and procedures applicable to the site, contracted scope of work and premises in which the contractor will perform their duties.
- 9.1.5 The detailed procedures, instructions and guidance shall be obtained from the site commander/ the principal, the security manager and Health & Safety manager respectively at given site.
- 9.1.6 The contractor shall learn respective procedures.
- 9.1.7 The contractor shall confirm in writing that their understood the procedures.
- 9.1.8 The contractor shall confirm in writing commitment to comply with the procedures and apply them in practice.
- 9.1.9 The contractor shall provide personnel mentally and physically capable of undertaking their duties as stipulated in the subject contract.
- 9.1.10 The contractor is responsible for provision of Personal Protective Equipment (PPE) for its employees accordingly to the activities and scope of works stipulated in the subject contract.
- 9.1.11 The PPE shall be compliant with Regulation (EU) 2016/425 of the European Parliament and of the Council of 9 March 2016 on personal protective equipment or its equivalent of respective territorial Host Nation in North America.

9.2 Hardware Requirements

- 9.2.1 The hardware shall be designed to operate using an external mains power supply conforming to International Electrotechnical Commission standard IEC 60038:2009, 400/230 V, 50 Hz.' or its national equivalent of respective territorial Host Nation in North America.
- 9.2.2 The hardware shall function without degradation under the existing environmental conditions.
- 9.2.3 All conductors and hardware shall be rated for current carrying capacity in accordance with the applicable industry standards.
- 9.2.4 All cables shall have non-toxic, non-flammable coating.
- 9.2.5 All cables shall be halogen-free, low smoke, thermoplastic insulated and sheathed cables in compliance with IEC 62821 or its national equivalent.
- 9.2.6 Free movement of cables shall be assured when equipment is pulled out for maintenance/repair.
- 9.2.7 Wires and cables shall be placed and protected as to prevent contact with rough irregular surfaces and sharp edges and to prevent wear due to vibration.
- 9.2.8 Cables connecting to components mounted onto doors or panels shall be protected so that no possibility of damage arises during opening and closing of doors or panels.
- 9.2.9 Cable harnesses shall be routed away from heat generating equipment and no wire or cable connection shall be in tension.
- 9.2.10 For the dimensioning of the bending radius of cables the regulations of VDE 0298, part 3 or equivalent shall be followed.
- 9.2.11 All soldered connections shall be clean and smooth in appearance and shall provide excellent electrical conductivity.
- 9.2.12 The insulation of soldered wires shall not show damage from the heat of the soldering operation.
- 9.2.13 Dissimilar metals shall not be used in intimate contact unless suitably protected against electrolytic corrosion.

- 9.2.14 Any equipment supplied under this Contract shall include interfaces to enable connection to the grounding system in accordance with respective national safety regulations and INFOSEC requirements.
- 9.2.15 Safety grounding interfaces shall be in accordance with safety regulations, including IEC 60364-5-54:2011 or its national equivalent of respective territorial Host Nation in North America.
- 9.2.16 The hardware shall be designed and constructed in such a way that it does not run in a hazardous condition or put human safety at risk.
- 9.2.17 The Contractor shall design and/or select the hardware on the basis of inherent safety features that protect not only the human operators and maintainers but also the equipment itself.
- 9.2.18 The hardware shall be designed in such a way that no special or difficult techniques that require unusual dexterity or skill in removing or installing items is required.
- 9.2.19 Materials used in the hardware, under the specified environmental and service conditions or as a result of heating due to conflagration, shall not liberate:
- 9.2.19.1 Gases that combine with the atmosphere to form an acid or corrosive alkali.
 - 9.2.19.2 Toxic or corrosive fumes that would be detrimental to the performance of the equipment or health of personnel.
 - 9.2.19.3 Gases that will produce an explosive atmosphere.
- 9.2.20 No hazardous materials (of any kind) shall be used in the construction of the hardware.
- 9.2.21 Glass fibre materials shall not be used as the outer surface or covering on cables, wire or other items where they may cause skin irritation to operating personnel.
- 9.2.22 The hardware shall be provided with safety markings and labels that meet following requirements:
- 9.2.22.1 Safety markings and labels shall be provided identifying any potential hazards to personnel.

- 9.2.22.2 Warning labels shall be attached wherever there is any potential of heavy lifting, specific handling guidance, electrical, chemical, excessive noise, electromagnetic radiation or heat hazard or a potential hazard caused by human contact with materials, particularly when removal of covers will expose the hazard.
- 9.2.22.3 Safety markings shall be readily visible during operation and maintenance conditions.
- 9.2.22.4 Warning markings shall be as permanent as the normal life expectancy of the equipment on which they are affixed and shall be placed as close as possible to the point of danger.
- 9.2.22.5 All matters of safety including but not limited to hot surfaces, mechanical hazards, electrical shocks and radiation hazards shall be fully and clearly addressed in the user operations and technical manuals.
- 9.2.22.6 Training and other provided documentation (for example deployment manual, user manuals, maintenance manuals etc.) shall prominently identify hazardous situations and the preparation, precautions and actions to avoid and contain them.
- 9.2.22.7 All warning instructions shall be provided in English and in the official language of the territorial Host Nation.
- 9.2.23 Noise generated by the hardware in operation shall not exceed the levels specified in the local regulations or Environmental Noise Directive (2002/49/EC) whichever it is more restrictive for operational, maintenance areas.
- 9.2.24 Any rotating or other moving part such as ventilators, blowers, drive belts etc., shall be shielded or protected adequately to prevent accidental contact by and injury to any personnel during operation and maintenance.
- 9.2.25 Projecting and overhanging edges shall be kept to a minimum.
- 9.2.26 Edges and corners shall be rounded.
- 9.2.27 When rounding of edges and corners is not possible, protective covers shall be applied.
- 9.2.28 When protective covers are not possible or not reasonably practical for installation, sharp edges shall be marked with appropriate safety labels and marking.
- 9.2.29 When packed, the system shall not include any protruding point which could either be damaged or damage persons or property during transportation.

9.3 Environmental Protection

- 9.3.1 The Contractor shall take all reasonable and practical measures to protect the public and his own employees against accidents, and to safeguard the environment and apply the best practices available in the field.
- 9.3.2 Environmental requirements shall be implemented and verified by the Contractor, as a minimum, in accordance with European Union environmental protection regulations and the national implementation references (i.e. law, regulation) pursuant to the EU Directives or national equivalents for North America deliveries.
- 9.3.3 The contractor shall consider the environmental impact of the delivered hardware during its life cycle and disposal, and the hardware documentation shall provide the appropriate recommendations to the user.

Annex A – Bill of Materials

A.1 Schedule A

The following tables detail the NIPS, FPC, and Packet Broker requirements for all sites.

The NIPS have been specified in three different configurations of increasing performance designated NIPS 1 to 3, there is a column to designate optional Network Modules (NetMods) when required. The FPC product is a modular system where performance and capacity can be adjusted by combining multiple appliances and storage modules. The FPC table lists the number of FPC Decoder and Concentrator appliances assigned per site, each of which comes with a dedicated attached storage appliance. Alternatively small sites will receive an FPC Hybrid, which is a single appliance containing combined Decoder and Concentrator functionality in combination with internal storage.

A.2 NODCERS Equipment

System	Equipment	Type	Simulated Tier	Quantity
FPC	NetWitness Decoder	Physical	3	1
FPC	NetWitness Concentrator	Physical	3	1
FPC	NetWitness ESA Server	Virtual	2	1
FPC	NetWitness Admin Server	Virtual	2	2
FPC	NetWitness Broker	Virtual	2	1
NIPS	Firepower 2130	Physical	3	1
NIPS	Firepower Management Centre	Virtual	2	1

A.3 Table of NIPS Phases and Sites

Command	City	Country	Class	NIPS Type	NIPS Qty	NetMods
JFC	Brunssum	NL	NR	2	1	
JFC	Brunssum	NL	NS	2	1	
NAPMA	Brunssum	NL	NR	1	1	
NATO HQ (NEW HQ)	Evere (Brussels)	BE	NS	2	1	
NCIA	The Hague	NL	NR	2	1	1 x 6x10G- SR
NCIA	The Hague	NL	NS	2	1	1 x 6x10G- SR
NETMA	Halbergmoss (Munich)	DE	NR	1	1	
NSPA	Capellen	LU	NR	2	1	1 x 6x10G- SR
PIA SHAPE	Casteau (Mons)	BE	NR	2	2	4 x 6x10G- SR
PTC	Brunssum	NL	NS	1	1	
SHAPE T3	Casteau (Mons)	BE	NR	3	1	2 x 8xSFP+
SHAPE T3	Casteau (Mons)	BE	NS	3	1	2 x 8xSFP+
JFC Naples	Lago Patria	IT	NR	3	1	2 x 8xSFP+
JFC Naples	Lago Patria	IT	NS	3	1	2 x 8xSFP+
LANDCOM	Izmir	TU	NR	2	1	1 x 6x10G- SR
LANDCOM	Izmir	TU	NS	2	1	
NAHEMA	Aix en Provence	FR	NR	1	1	
PIA Naples	Lago Patria	IT	NR	2	2	4 x 6x10G- SR
ACT HQ	Norfolk	US	NR	2	1	1 x 6x10G- SR
ACT HQ	Norfolk	US	NS	2	1	
PTC	Northwood	GB	NS	2	1	
PTC	Norfolk	US	NS	2	1	
CSO	Neuilly-sur-Seine (Paris)	FR	NR	1	1	

A.4 Table of FPC Phases and Sites

Command	City	Country	Class.	Decoders	Concentrators	Hybrids
AIRCOM	Ramstein	DE	NR	2	1	
AIRCOM	Ramstein	DE	NS	2	1	
CAOC	Uedem	DE	NR			1
CAOC	Uedem	DE	NS		1	1
JFC	Brunssum	NL	NR	2	1	
JFC	Brunssum	NL	NS	2	1	
NAEW	Geilenkirchen	DE	NR	2	1	
NAEW	Geilenkirchen	DE	NS	2	1	1
NAPMA	Brunssum	NL	NR			1
NATO HQ	Evere (Brussels)	BE	NR	4	2	
NATO HQ	Evere (Brussels)	BE	NS	2	1	
NCIA	The Hague	NL	NR	3	1	
NCIA	The Hague	NL	NS	2	1	
NETMA	Halbergmoss (Munich)	DE	NR			1
NSPA	Capellen	LU	NR	2	1	
NSPA	Betzdorf	LU	NR	2	1	
NSPA	Capellen	LU	NS	2	1	
PIA SHAPE	Casteau (Mons)	BE	NR	8	14	
PTC	Brunssum	NL	NS	2	1	
SHAPE T3	Casteau (Mons)	BE	NR	8	4	
SHAPE T3	Casteau (Mons)	BE	NS	4	2	

Command	City	Country	Class.	Decoders	Concentrators	Hybrids
CAOC	Torrejon	ES	NR			1
CAOC	Torrejon	ES	NS			1
CMRE	La Spezia	ES	NR			1
DACCC	Poggio Renatico	IT	NR			1
DACCC	Poggio Renatico	IT	NS			1
JALLC	Monsanto	PT	NR			1
JALLC	Monsanto	PT	NS			1
JFC Naples	Lago Patria	IT	NR	8	4	
JFC Naples	Lago Patria	IT	NS	4	2	
JFTC	Bydgoszcz	PL	NR	2	1	
JFTC	Bydgoszcz	PL	NS	2	1	
LANDCOM	Izmir	TU	NR	2	1	
LANDCOM	Izmir	TU	NS	2	1	
NAHEMA	Aix en Provence	FR	NR			1
PIA Naples	Lago Patria	IT	NR	8	4	
ACT HQ	Norfolk	US	NR	2	1	
ACT HQ	Norfolk	US	NS	2	1	
JWC	Stavanger	NO	NR	2	1	
JWC	Stavanger	NO	NS	2	1	
MARCOM	Northwood	GB	NR	2	1	
MARCOM	Northwood	GB	NS	2	1	
PTC	Northwood	GB	NS			1
PTC	Norfolk	US	NS			1
CSO	Neuilly-sur-Seine	FR	NR			1



NATO UNCLASSIFIED

RFQ-CO-115511-UOMM
Book II, The Prospective Contract
Part IV, Statement of Work
NCIA/ACQ/2021/07262

Command	City	Country	Class.	Decoders	Concentrators	Hybrids
	(Paris)					

NATO UNCLASSIFIED

A.5 NIPS-1 Specification

Description
Cisco FirePower2130 Appliance
Cisco Threat Defense Threat Protection Subscription

A.6 NIPS-2 Specification

Description
Cisco FirePower4115 Appliance
Cisco Threat Defense Threat Protection Subscription

A.7 NIPS-2 Optional Network Modules (NetMods)

Description
Cisco FirePower4K - 6 port 10G SR FTW Network Module

A.8 NIPS-3 Specification

Description
Cisco FirePower9300 Appliance with Security Module SM-56
Cisco Threat Defense Threat Protection Subscription

A.9 NIPS-3 Optional Network Modules (NetMods)

Description
FirePower9000 Series - 8 port SFP+ Network Module

A.10 Data Center Switches

Description	Quantity
Catalyst Switch 9300 48-port data only , Network Advantage	4

A.11 Packet Broker

Description	Quantity
Ixia E10S Packet Broker (dual power Supplies)	1

A.12 VPN/Firewall

Description	Quantity
Juniper SRX-380 VPN Service Gateway	1

A.13 FPC Tier 3 Broker Sites

Command	City	Country	Class	FPC MGMT Type	Qty
SHAPE T3	Casteau (Mons)	BE	NR	vBroker (SW license is PFE)	1
SHAPE T3	Casteau (Mons)	BE	NS	vBroker (SW license is PFE)	1
SHAPE PIA	Casteau (Mons)	BE	NR	vBroker (SW license is PFE)	1
JFC Naples T3	Lago Patria	IT	NR	vBroker (SW license is PFE)	1
JFC Naples T3	Lago Patria	IT	NS	vBroker (SW license is PFE)	1
NAPLES PIA	Lago Patria	IT	NR	vBroker (SW license is PFE)	1
NATO HQ	Evere (Brussels)	BE	NR	vBroker (SW license is PFE)	1

Annex B – Maintenance/Support definitions

B.1. Scope

- B.1.1. This Annex specifies the Maintenance Levels, the Support levels and the relevant activities to be carried on by the involved actors.
- B.1.2. The SOW specifies who is responsible for what, at the various Maintenance/Support levels from PSA to the End of Warranty.
- B.1.3. Before PSA the responsibility of any maintenance/support activity is and remains with the Contractor.

B.2. Maintenance Concept

- B.2.1. A Maintenance Concept is a definition of the maintenance objectives, line of maintenance, indenture levels, maintenance levels, maintenance support and their interrelationships.
- B.2.2. A Maintenance Concept is applied both for hardware and software and produces maintenance tasks that will be performed on site, at civil or military maintenance facilities, at industry (OEM, Contractor) maintenance facilities. The Maintenance concept identifies who-does-what-at-what-level in accordance with the Maintenance levels and definitions defined below. The main SOW identifies clearly what is the Maintenance concept for the project(s).

B.3. Maintenance Levels (line of maintenance)

- B.3.1. A Maintenance level is the position in an organization where specified levels of maintenance are to be carried out. The line of maintenance is characterized by the skill level of the personnel, the facilities and tools provided, the location, etc.
- B.3.2. There are four (4) Maintenance Levels to ensure the highest possible availability of the Product.
 - B.3.2.1. Level 1: implies a fast and easy exchange of Maintenance Relevant/Significant Items (MRIs/MSIs, see B.4.2) performed on the Product by organizational personnel when a malfunction occurs;
 - B.3.2.2. Level 2: implies exchange of MRIs/MSIs and/or the replacement of modules, performed on the Product by organizational personnel when a malfunction occurs;
 - B.3.2.3. Level 3: implies the repair of subassemblies, modules and MRIs/MSIs after their

replacement at maintenance Level 1 and Level 2. Testing on test-benches or integration tests can be included. This maintenance level can be performed either on product (e.g. on-site) or at specific repair shops/facilities;

B.3.2.4. Level 4: all repairs and overhaul activities beyond Level 1 to Level 3 capabilities must be ensured (e.g.: repair of subassemblies, modules and LRUs after their replacement at maintenance Level 1 to Level 3; major modifications to improve the design and/or operational activities will be prepared and, if necessary, embodied at this level).

B.4. Hardware Maintenance and Hardware Change

B.4.1. The hardware maintenance is:

B.4.1.1. Corrective:

B.4.1.1.1 Deferred: maintenance carried out to perform a Remove & Replace action of a faulty item not affecting system operation. It is done in a time slot that does not further impact the Operational Availability (e.g. during a scheduled maintenance downtime period) or on "live" equipment if this is possible (e.g. when active redundancy or hot stand-by are implemented).

B.4.1.1.2 Run-to-failure: maintenance carried out to perform a Remove & Replace action of a faulty item affecting system operation (critical failure). The action is done as soon as all the resources (skills, tools and spares) are available to minimise the System downtime.

B.4.1.2. Preventative:

B.4.1.2.1 On-condition: maintenance carried out to mitigate degradation and reduce the probability of failure after analysis of system conditions through defined indicators assessed on a periodic basis.

B.4.1.2.2 Scheduled (planned): maintenance carried out on a periodic basis (time-related or number-of-occurrences-related).

B.4.2. The hardware maintenance concept shall be based on the modularity of the equipment. The items to be removed from the system/equipment for replacement, to be repaired or to be replaced/refilled for preventative maintenance shall be defined MRIs/MSIs (Maintenance Relevant/Significant Items), with the following characteristics:

B.4.2.1. Include those items in the Logistic Support Analysis (LSA) Breakdown Structure (LBS)/Product Breakdown Structure (PBS) which are significant for maintenance at the Organisational Level.

B.4.2.2. Include all the candidate items of the spare parts and consumables lists.

B.4.2.3. Are subdivided into the following categories:

B.4.2.3.1 LRU (Line Replaceable Unit)

B.4.2.3.1.1 Its failure can be detected and indicated by a BIT (Built In Test System) system or by abnormal condition/failure display/alarm, in conjunction with Technical Manuals (TMs) and general-purpose test equipment and troubleshooting procedures;

B.4.2.3.1.2 It is easily accessed for replacement purposes;

B.4.2.3.1.3 It is easy to replace, through the use of a plug-in connector, screwed terminal, nut/bolt fixing or similar connector;

B.4.2.3.1.4 It has minimal adjustment/alignment requirements, such as voltage level settings, SW/FW installations/adaptations etc.;

B.4.2.3.1.5 Adjustments may be carried out with the Built-In test (BIT) or with general-purpose HW/SW tools and test equipment;

B.4.2.3.1.6 When only one LRU has failed, its replacement returns the system/equipment to full operational status.

B.4.2.3.1.7 LRUs are subdivided into the following two categories:

B.4.2.3.1.7.1 Statistical (LS): This category includes (but it's not limited to) the items subject to faults that occur with a statistical probability (most of them are electronic items) e.g. IF/RF strips/boards, SBCs, PPCs, Computers/Servers/Workstations and their components/peripherals, Networking equipment (Routers, switches), Power Supplies, electric/electronic components in general etc.

B.4.2.3.1.7.2 Limited Life (LL): This category includes (but it's not limited to) the items whose faults are due to ageing (most of them are electromechanical items) e.g. TWTs, Rotary Joints, Slip Rings, Engines, T/R switches, Fans and Fan Assemblies, etc.

B.4.2.3.2 Insurance Item (II): This category includes (but it's not limited to) those items that have a very low failure rate and whose replacement may be necessary as a consequence of deterioration or fault by accident e.g. passive elements (attenuators, couplers, circulators, terminations), circuit breakers, patch panels, cables, metallic frames/cabinets/chassis etc.

B.4.2.3.3 Consumable Items:

B.4.2.3.3.1 Consumables are subdivided into the following three categories:

B.4.2.3.3.1.1 Technical Consumables (C[T]): This category of consumables includes (but it's not limited to) Fuses, Bulbs, Lamps, Gaskets, O-rings, EMI/Tempest seals, Surge Protectors, gas dischargers, Batteries and, in general, any other item replaced in case of preventive or corrective maintenance on the System etc.

B.4.2.3.3.1.2 Not-Technical Consumables (C[NT]): This category of consumables includes (but it's not limited to) all POLs (Petrol, Oils, Lubricants), adhesive, sealing paste, gas and, in general, any other item replaced in case of preventative or corrective maintenance on the System etc.

B.4.2.3.3.1.3 Generic Consumables (C[G]): This category of consumables includes (but it's not limited to) ink cartridges, toners, printing paper, print ribbons, generic cleaning material and in general all the materials whose consumption cannot be predicted (e.g. is not associated to any preventative or corrective maintenance on the System) etc.

B.4.2.3.4 Attaching Parts (AP)

B.4.2.3.4.1 The Attaching Parts are the items reported in the Corrective and Preventative Maintenance Procedures and in the Illustrated Parts Breakdown such as screws, gaskets, nuts, bolts, washers etc.

B.4.3. Hardware Maintenance Levels

B.4.3.1. The hardware maintenance levels used are generally known as HL1, HL2 HL3 and HL4.

B.4.3.1.1 Organizational Maintenance (HL1) is Hardware maintenance capable of being carried out:

B.4.3.1.1.1 on-site;

B.4.3.1.1.2 by relatively low technical skill level personnel performing preventive maintenance and changing Line Replaceable Units (LRU) and Insurance Items (IIs) on the basis of diagnostic outputs;

B.4.3.1.1.3 using Built-In-Test (BIT) facilities for start-up and on-line diagnostics, by referring to main equipment Technical Manuals (TM);

B.4.3.1.1.4 no Special Tools and Test Equipment (TTE) are envisioned to be used;

B.4.3.1.1.5 typical tasks will include visual inspection, preventative maintenance tasks, manual reconfiguration if necessary, external adjustments, removal and replacement of LRUs/ILs;

B.4.3.1.1.6 includes system failure recovery by the application of simple on-line diagnostics or technician initiated restart of the system and the use of off-line diagnostics which do not require external test module support;

B.4.3.1.1.7 generation of equipment failure reports, supply requisitions and other pertinent maintenance and supply records.

B.4.3.1.2 Organizational Maintenance (HL2) is Hardware maintenance capable of being carried out:

B.4.3.1.2.1 on-site;

B.4.3.1.2.2 by higher technical skill level personnel performing preventive maintenance and changing Line Replaceable Units (LRU) and Insurance Items (ILs) on the basis of diagnostic outputs;

B.4.3.1.2.3 using Built-In-Test (BIT) facilities for start-up and on-line diagnostics, simple Tools and Test Equipment (TTE) (standard and special-to-type) in addition to BIT as a means for on-line and off-line diagnostics, and by referring to main equipment Technical Manuals (TM) to perform exhaustive fault isolation;

B.4.3.1.2.4 simple either commercial or special-to-type TTE are envisioned to be used (e.g.: screwdrivers, multimeters, oscilloscope, adapters, peculiar support equipment);

B.4.3.1.2.5 where the fault is beyond the capabilities of HL1 technical support, HL2 activities will be performed by Support Site personnel (through on-site intervention);

B.4.3.1.2.6 where remote fault management is not feasible, technicians from the host site will travel to the remote site hand carrying relevant spares to perform maintenance tasks;

B.4.3.1.2.7 generation of equipment failure reports, supply requisitions and other pertinent maintenance and supply records.

B.4.3.1.3 Intermediate Maintenance (HL3) is Hardware maintenance capable of being carried out:

B.4.3.1.3.1 at maintenance facilities and through technical support and assistance or on-site

intervention/work by maintenance personnel with skills enabling tasks to be accomplished within the relevant technologies;

B.4.3.1.3.2 by higher technical skill level personnel performing:

B.4.3.1.3.3 repairing, testing and calibrating Line Replaceable Units (LRU), Shop Replaceable Units (SRU) and secondary spare parts (SSPs);

B.4.3.1.3.4 on-site investigations and major scheduled servicing/overhaul, detailed inspection, major equipment repair, major equipment modification, complicated adjustments, system/equipment testing;

B.4.3.1.3.5 failure trend analysis including reporting to relevant Purchaser authorities and Post Design Services (PDS);

B.4.3.1.3.6 repair tasks will be performed using Automatic Test Equipment (ATE), general purpose and special-to-type TTE, calibration equipment, any applicable support software, and the necessary equipment TMs and a Technical Data Package (TDP);

B.4.3.1.3.6.1 where the fault is beyond the capabilities of HL1/2 technical support, HL3 activities will be performed by Support Site personnel (through on-site intervention) or by the Contractor, depending on the Maintenance Concept;

B.4.3.1.3.6.2 It includes generation of equipment failure reports, supply requisitions and other pertinent maintenance and supply records.

B.4.3.1.4 Depot Maintenance (HL4) is Hardware maintenance capable of being carried out:

B.4.3.1.4.1 at maintenance facilities (industry or military, OEMs) and through technical support and assistance or on-site intervention/work by maintenance personnel with skills enabling tasks to be accomplished within the relevant technologies;

B.4.3.1.4.2 where the fault is beyond the capabilities of HL1-3 technical support, HL4 activities will be performed by the Contractor;

B.4.3.1.4.3 It includes generation of equipment failure reports, supply requisitions and other pertinent maintenance and supply records.

B.5. Software Maintenance and Software Change

B.5.1. The software maintenance is a modification for the purposes of software fault removal, adaptation to a new environment, or improvement of performance.

B.5.2. The software maintenance for the purposes of software faults avoidance, identification and/or removal can be:

B.5.2.1. Corrective/Unscheduled - it refers to tasks necessitated by actual errors in a software product. If the software product does not meet its requirements, corrective maintenance is performed. It is a Reactive modification of a software product performed after a new version is made available (patch/update) to correct the discovered problem(s). This activity is linked to Configuration Management, change management (contractor initiated ECP), new SW release(s) and Product baseline (PBL) change.

B.5.2.2. Preventative/Scheduled – it refers to tasks necessitated for detecting potential errors in a software product or anticipate and avoid potential failures (daily checks, DBs clean up/integrity checks, cache cleaning, rebooting/restarting etc.). The task can lead, if latent failures are discovered, to a modification of a software product after delivery to detect and correct latent faults in the software product before they become effective faults (leading to a deferred corrective action).

B.5.3. The software maintenance for the purposes of adaptation to a new environment, or improvement of performance is a software change that enhances the software product. These changes are those that were not in the original design specifications or in the originally released software and are subject to purchaser initiated ECPs:

B.5.3.1. Adaptive maintenance: software maintenance for the purposes of adaptation to a new environment (e.g.: a new environment could be a new type of hardware or a new operating system on which the software is to be run). Adaptive refers to a change necessary to accommodate a changing environment. Adaptive changes include changes to implement new system interface requirements, new system requirements, or new hardware requirements. This is a modification of a software product performed after delivery to keep a software product usable in a changed or changing environment.

B.5.3.2. Perfective maintenance: software maintenance performed to improve the performance, maintainability, or other attributes of a computer program (e.g.: maintenance that adds new required functions is often referred to as enhancement). Perfective refers to a change that improves the software product's performance. A perfective change might entail providing new functionality improvements for users or reverse engineering to create maintenance documentation that did not exist previously or to change existing documentation. This is a modification of a software product after delivery to improve performance or maintainability.

B.5.4. Software Maintenance Levels

B.5.4.1. The software maintenance levels used are generally known as SL1, SL2 SL3 and SL4.

B.5.4.1.1 Organizational Maintenance (SL1) is Software maintenance capable of being carried out with the same characteristics highlighted for HL1. SL1 are those functions/tasks in support of the on-site software that are within the capabilities of site maintenance personnel. This includes software failure recovery by the application of simple diagnostics, or site maintenance personnel initiated restart.

B.5.4.1.2 Organizational Maintenance (SL2) is Software maintenance capable of being carried out with the same characteristics highlighted for HL2 e.g. SW settings, simple SW customizations (per site/instance), SW reloading/installation with automated or detailed procedures reported in the TMs, execution of scripts, management of users/profiles. SL2 are those functions/tasks in support of the on-site software that are within the capabilities of a System Administrator.

B.5.4.1.3 Intermediate Maintenance (SL3) is Software maintenance capable of being carried out with the same characteristics highlighted for HL3 e.g. SW/FW fine tuning (per site/instance), SW/FW bugs recording and reporting, SW/FW troubleshooting including Operating Systems. SL3 (on-site intervention) comprises those functions/tasks in support of the on-site software that require specialist intervention (SW System architects, SW programmers, experienced Systems' Administrators, Network specialists). The tasks can be performed either by software personnel visiting the site or by remote diagnostics if enabled by the System and allowed by NCIRC.

B.5.4.1.4 Depot Maintenance (SL4) is Software maintenance capable of being carried out with the same characteristics highlighted for HL4 e.g. SW/FW debugging, re-coding and testing (both in simulated and emulated environments), SW/FW patches creation and deployment. The tasks can be performed by software engineers in properly configured environments (SW development and testing facilities) under strict Configuration Control.

B.6. Support Concept

B.6.1. A Support Concept is a definition of the support objectives (scenarios) in relation with maintenance levels, maintenance support and their interrelationships.

B.6.2. This is peculiar for IT/SW-intensive and IT/SW-driven systems and shall be implemented in conjunction and coordination with the Maintenance Concept.

B.6.3. Support levels

B.6.3.1. There are (4) support levels

B.6.3.1.1 First level support (on-site, non-specialised)

- B.6.3.1.1.1 It consists of simple routine administration and activities. This level is user facing and is the first line of technical support. A single point of contact inside the NCI Agency central Service Desk is provided to customers for the implemented services. The Service Desk will log, categorise, prioritise, diagnose and resolve incidents within the boundaries of their training and permissions. The pertinent NCI Agency CIS Support Units (CSUs) carry out this level of support, in coordination with the NCI Agency Centralised Service Desk.
- B.6.3.1.1.2 The 1st Level Support Process implements the Incident Management process in accordance with the ISO/IEC 20000 and ITIL framework or equivalent;
- B.6.3.1.1.3 As part of the Incident Management, the Service Desk receives the issue from the user, puts it into a standard format (Trouble Ticket, TT), performs an initial assessment and distributes it to the predefined actors to solve it.

B.6.3.1.2 Second level support (centralized)

- B.6.3.1.2.1 It provides escalated technical support to incident investigation and diagnosis. This level delivers advanced expertise to process services related to centralized system operations, fault isolation, system administration, management of maintenance services, system configuration, including reconfiguration of data sources and data connectivity to restore operations, assistance to first level and on-site support. This level performs end-to-end service monitoring and takes actions to resolve the incident and recover the services impacted.
- B.6.3.1.2.2 The 2nd Level Support Process implements the Problem Management process in accordance with the ISO/IEC 20000 and ITIL framework or equivalent;
- B.6.3.1.2.3 The Problem Management process receives the TT from the Service Desk and performs the following tasks:
 - B.6.3.1.2.3.1 (Re-)evaluation of TT category, criticality and priority,
 - B.6.3.1.2.3.2 Identification of the root cause of the issue (e.g. by issue replication testing),
 - B.6.3.1.2.3.3 Identification of workarounds,
 - B.6.3.1.2.3.4 Identification and initial planning of possible short, medium and long-term solutions (e.g. Workarounds, Patches, or new Baseline or CI Releases),

B.6.3.1.2.3.5 Create Problem Analysis Report and Change Request (CR) incl. schedule of implementation, and synchronisation with the Baseline Maintenance process;

B.6.3.1.2.3.6 Presentation of the Problem Analysis Report and CR to the Change Control Board (CCB) for approval,

B.6.3.1.2.3.7 Monitor and Control the approved CR during implementation,

B.6.3.1.2.3.8 Trigger 3rd Level Support and/or 3rd Level Maintenance process to implement the CR;

B.6.3.1.2.3.9 Perform the post- CR implementation review.

B.6.3.1.3 Third level support (centralized)

B.6.3.1.3.1 It consists of central service management, central problem isolation and resolution, system-level maintenance, local repairs or spares provision, and management of deficiencies and warranty cases, beyond the capability of the second level support.

B.6.3.1.3.2 The 3rd Level Support Process implements the Deployment and Release Management process in accordance with the ISO/IEC 20000 and ITIL framework or equivalent.

B.6.3.1.3.3 The Deployment and Release Management process receives the approved Change Request from the 2nd Level Support and performs the following tasks:

B.6.3.1.3.3.1 Release of the solution (release unit/record)

B.6.3.1.3.3.2 Development of the solution (e.g. new CI Fix, Repair, Replacement, Patch, or Release),

B.6.3.1.3.3.3 Testing of the solution (e.g. Regression testing, issue/deficiency replication testing),

B.6.3.1.3.3.4 Update of Baseline content and status,

B.6.3.1.3.3.5 Delivery and deployment of the solution.

B.6.3.1.4 Fourth level support (OEM/vendor)

B.6.3.1.4.1 It consists of off-site factory/vendor problem resolution and maintenance, beyond the capability of third level support.

B.7. Support scenarios

B.7.1. The support concept is the apportionment of maintenance activities:

B.7.1.1. NATO Maintenance Task (NMT) will be performed by NATO personnel (military or civilian),

B.7.1.2. Industry Maintenance Task (IMT) will be performed by industry personnel under Warranty or Post Warranty Arrangement.

B.7.2. Theoretically there are four possible scenarios:

B.7.2.1. NONO – NATO Owned / NATO Operated. If this approach is chosen the solution would be procured as a system and would be operated and maintained by NATO. The responsibilities for NATO maintenance levels are defined in the Maintenance Concept.

B.7.2.2. COCO – Contractor Owned / Contractor Operated. If this approach is chosen NATO would have the solution delivered by a contractor as a Service.

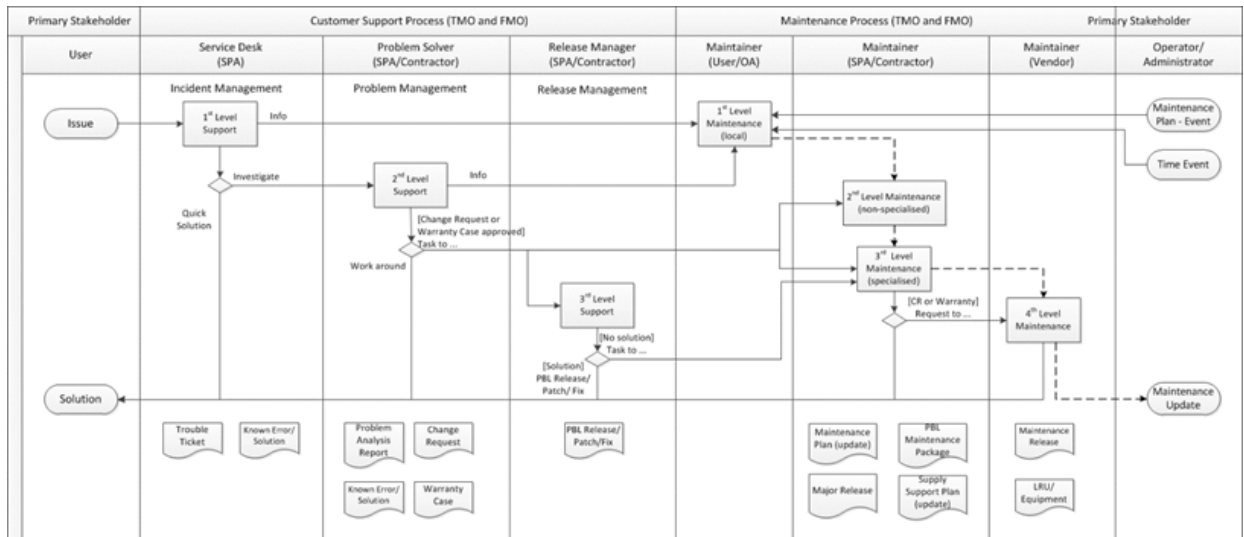
B.7.2.3. NOCO – NATO Owned / Contractor Operated. With this approach NATO would procure a system, but would “outsource” the Operation and Maintenance of it.

B.7.2.4. CONO – Contractor Owned / NATO Operated. This approach exists and is usually called “Financial leasing”.

B.7.3. For NONO and CONO scenario the Contractor shall agree with the Purchaser on maintenance levels commitments and develop a tailored logistic support concept based on a blended sharing of maintenance levels (this means that the Contractor shall apply the Maintenance Concept defined in the SOW):

B.7.4. For NOCO and COCO scenario the Contractor is responsible for all the Maintenance Levels (HL 1/2/3/4 and SL 1/2/3/4)

B.8. Maintenance and Support allocation



ANNEX A – Clarification Request Forms

ADMINISTRATIVE				
Serial Nr	RFQ Section Ref.	OFFEROR'S QUESTION	NCI AGENCY ANSWER	Status*
A.1	Book I – Bidding Instructions Section II – General Bidding Instructions Req. 2.3.1	Request to extend the deadline of RFQ-CO-115511-UOMM-3 by 1 month from 16 Nov to 16 Dec.	The NCI Agency is committed to ensuring we receive the most competitive quotations possible from prospective offerors. Given the Offerors Conference is being conducted on 9 November 2021, the Agency has granted a four-week extension to 16 December 2021.	Closed

ANNEX A – Clarification Request Forms

TECHNICAL				
Serial Nr	RFQ Section Ref.	OFFEROR'S QUESTION	NCI AGENCY ANSWER	Status*
T.1	Book I, Section IV (Sec. 4.4.7.2)	Considering the page limitation for the different documents to be provided with the offer, please specify if there are any requirements regarding the format (e.g., writing style, Font type, dimension)?	Regarding the Quotation Content format, no specific requirements has been defined; however, for readability purpose, it is expected the Contractor to use a format similar to the one used in the Purchaser's Statement of Work; Arial, Regular Style, Size 11	Closed
T.2	Book II, Part IV (Sec. 6.11)	Please confirm if the Chapter 6.11 of SOW – Certificates of Conformity will apply, considering that a Bill of Material is PFE?	The CoC requirements do not apply to Purchaser Furnished Equipment (PFE).	Section 6.11.3 in AMD 1, Book II – The Prospective Contract, Part IV, Statement of Work Closed
T.3	Book II, Part IV (Sec. 8.19)	In areas where the Purchaser already uses specific tools, the Contractor shall make use of the tools in use by the Purchaser". Could you please specify which are the specific testing tools used by NATO?	The Purchaser (IVVQ) is using JiraData Center and Zephyr Scale for test management automation and these are accessible only from NATO Restricted network using REACH laptops.	Section 8.19.2 in AMD 1, Book II – The Prospective Contract, Part IV, Statement of Work Closed

RFQ-CO-115511-UOMM
Book I – RFQ Instructions
Annex A – Clarification Requests Forms

T.4	<p>Book II, Part I, CLIN 2,</p> <p>Book II, Part IV (Sec. 3.4.1),</p> <p>Book I Annex A, Pricing Sheets (CLIN Summary, CLIN 2.4)</p>	<p>Regarding the pricing CLIN 2 which refers to Design, having read the SoW I cannot determine where the design is part of a deliverable. The SoW clearly states installation, test and acceptance within section 1.3. Please identify where the design requirement is stated</p>	<p>The Agency is introducing an amendment to the SSS by replacing the item 2.4 with “Site Implementation Specification (SIS)”, and removing SOW 3.4.1 (18) “SDIP”. For every site an SIS will be required, with reference to (but not exclusively) SOW 4.1.5.1, 4.1.6.4, 4.1.7.6, 4.1.8.4, 4.1.9.1, 4.2.1. Additionally, Book I Annex A, CLIN Summary, CLIN2.4 has been revised.</p>	<p>CLIN 2 in AMD 1, Book II – The Prospective Contract, Part I, SSS</p> <p>Section 3.4.1 in AMD 1, Book II – The Prospective Contract, Part IV, Statement of Work</p> <p>CLIN Summary, CLIN 2.4 in AMD 1, Book I Annex A – Pricing Sheets</p> <p style="text-align: right;">Closed</p>