

<b>PROGRAM:</b>	<b>104-S</b>							
<b>TERM:</b>	<b>DATE OF AWARD to JANUARY 31, 2016</b>							
<b>TITLE:</b>	<b>EAD, YCER, BEVE, and eRPA Notices</b>							
			<b>MPM COMM/ABR</b>		<b>PINNACLE DATA, LLC</b>		<b>RR DONNELLEY</b>	
			<b>WALDORF, MD</b>		<b>SUWANEE, GA</b>		<b>CHEVY CHASE</b>	
<b>ITEM NO.</b>	<b>DESCRIPTION</b>	<b>BOA</b>	<b>UNIT RATE</b>	<b>COST</b>	<b>UNIT RATE</b>	<b>COST</b>	<b>UNIT RATE</b>	<b>COST</b>
<b>I.</b>	<b>COMPOSITION:</b>							
(a)	Envelopes.....per envelope	9	\$50.00	\$450.00	No Charge	\$0.00	No Charge	\$0.00
<b>II.</b>	<b>PRINTING/IMAGING and BINDING:</b>							
(a)	* Daily Makeready/Setup Charge	250	\$450.00	\$112,500.00	No Charge	\$0.00	\$222.56	\$55,640.00
(b)	Leaves.....per 1,000 leaves	6039	\$9.00	\$54,351.00	\$12.00	\$72,468.00	\$24.64	\$148,800.96
(c)	Mail-Out Envelope (4-1/8 x 9-1/2")..... per 1,000 leaves	2124	\$8.00	\$16,992.00	No Charge	\$0.00	\$15.77	\$33,495.48
(d)	Mail-Out Envelope (6-1/8 x 9-1/2").....per 1,000 leaves	2191	\$10.00	\$21,910.00	No Charge	\$0.00	\$18.68	\$40,927.88
(e)	White BRM Envelope (5-3/4 x 8-3/4").....per 1,000 leaves	1489	\$9.00	\$13,401.00	No Charge	\$0.00	\$12.20	\$18,165.80
(f)	White CRM Envelope (5-3/4 x 8-3/4")..... per 1,000 leaves	57	\$9.00	\$513.00	No Charge	\$0.00	\$53.42	\$3,044.94
(g)	Green BRM Envelope (3-7/8 x 8-7/8').....per 1,000 leaves	1	\$650.00	\$650.00	No Charge	\$0.00	\$191.25	\$191.25
<b>III.</b>	<b>PAPER:</b>							
(a)	Personalized Notices: White OCR Bond (20 lb.)..... per 1,000 leaves	6039	\$10.00	\$60,390.00	\$6.50	\$39,253.50	\$6.47	\$39,072.33
(b)	Mail-Out Envelope: White Wove (24lb.) or White Offset Book (60lb.) 4-1/8 x 9-1/2.....per 1,000 leaves	2124	\$8.00	\$16,992.00	\$14.50	\$30,798.00	No Charge	\$0.00
(c)	Mail-Out Envelope: White Wove (24lb.) or White Offset Book (60lb.) 6-1/8 x 9-1/2".....per 1,000 leaves	2191	\$20.00	\$43,820.00	\$23.50	\$51,488.50	No Charge	\$0.00
(d)	White BRM Envelope: White Wove (20lb.)..... per 1,000 leaves	1489	\$13.00	\$19,357.00	\$13.00	\$19,357.00	No Charge	\$0.00
(e)	White CRM Envelope (5-3/4 x 8-3/4")..... per 1,000 leaves	57	\$13.00	\$741.00	\$23.00	\$1,311.00	No Charge	\$0.00
(f)	Green BRM Envelope: Green Wove (20 lb.)..... per 1,000 leaves	1	\$150.00	\$150.00	\$26.00	\$26.00	No Charge	\$0.00
<b>IV.</b>	<b>PROCESSING /FORMATTING FILES:</b>							
(a)	Processing/Formatiing Files..... per Mailer	9	No Charge	\$0.00	No Charge	\$0.00	No Charge	\$0.00
<b>V.</b>	<b>INSERTING AND MAILING:</b>							
(a)	All Mailers:Inserting of required materials for each mailer..... per 1,000 Mailers	4315	\$20.00	\$86,300.00	\$12.00	\$51,780.00	\$19.08	\$82,330.20
<b>VI.</b>	<b>REPRODUCTION TEST:</b>							
(a)	Wire Transmission Test	1	\$1,000.00	\$1,000.00	No Charge	\$0.00	\$7,891.33	\$7,891.33
(b)	Pre-Production Validation Test or System Change/New Notice File Validation	1	\$1,000.00	\$1,000.00	No Charge	\$0.00	\$7,891.33	\$7,891.33
(c)	Daily Notice Payment Stub Validation Test	1	\$1,000.00	\$1,000.00	No Charge	\$0.00	\$7,891.33	\$7,891.33
	<b>CONTRACTOR TOTALS</b>			\$451,517.00		\$266,482.00		\$445,342.83
	<b>DISCOUNT</b>		0.00%	\$0.00	1.00%	\$2,664.82	0.00%	\$0.00
	<b>DISCOUNTED TOTALS</b>			\$451,517.00		\$263,817.18		\$445,342.83



U.S. GOVERNMENT PRINTING OFFICE

Washington, D.C.

GENERAL TERMS, CONDITIONS, AND SPECIFICATIONS

For the Procurement of

**EAD, YCER, BEVE, and eRPA Notices**

as requisitioned from the U.S. Government Printing Office (GPO) by the

**Social Security Administration (SSA)**

Single Award

**TERM OF CONTRACT:** The term of this contract is for the period beginning Date of Award and ending January 31, 2016 plus up to four(4) optional 12-month extension periods that may be added in accordance with the "**Option to Extend the Term of the Contract**" and "**Economic Price Adjustment**" clause in Section 1 of this contract.

Contractor interfacing with SSA's National File Transfer Management System (FTMS) for electronic transmission of files from SSA to the production facility will take place from **Date of Award** (or from date of the VPN connection) through January 31, 2015; actual production begins February 1, 2015.

NOTE: The primary data transmission method will be via a dedicated circuit or using an encrypted Virtual Private Network (VPN) Internet connection, at the discretion of the Government.

**BID OPENING:** Bids shall be publicly opened at 11 a.m., prevailing Washington, D.C. time, on September 26, 2014.

**BID SUBMISSION:** Submit bid in pre-addressed envelope furnished with solicitation or send to: U.S. Government Printing Office, Bid Section, Room C-831, Stop: PPSB, 732 North Capitol Street, NW, Washington, DC 20401. Facsimile bids in response to this solicitation are permitted. Facsimile bids may be submitted directly to the GPO Bid Section, Fax No. (202) 512-1782. The program number and bid opening date must be specified with the bid. Refer to Facsimile Bids in Solicitation Provisions of GPO Contract Terms, GPO Publication 310.2, as revised June 2001. Hand delivered bids are to be taken to The GPO Bookstore at 710 North Capitol Street, NW, Washington, DC between the hours of 8:00 am and 4:00 pm on business days and follow the instructions in the Bid Submission/Opening area. If further instruction or assistance is needed, call 202-512-0526.

**BIDDERS, PLEASE NOTE:** This program was formerly Program 96-S. These specifications have been extensively revised; therefore, all bidders are cautioned to familiarize themselves with all provisions of these specifications before bidding. **In addition, special attention is directed to the "Public Trust Security" and "100% Accountability of Production and Mailing" requirements.**

Abstracts of contract prices are available at <http://www.gpo.gov/gpo/abstracts/abstract.action?region=Central>

For information of a technical nature, call **David Love at (202) 512-0310** (No Collect Calls) or via e-mail: **dlove@gpo.gov**.

## SECTION 1. - GENERAL TERMS AND CONDITIONS

**GPO CONTRACT TERMS:** Any contract which results from this Invitation for Bid will be subject to the applicable provisions, clauses, and supplemental specifications of GPO Contract Terms (GPO Pub. 310.2, effective December 1, 1987, Rev. 6/01) and GPO Contract Terms, Quality Assurance Through Attributes Program for Printing and Binding (GPO Pub. 310.1, effective May 1979) revised August 2002).

**GPO Contract Terms (GPO Publication 310.2) – <http://www.gpo.gov/pdfs/vendors/sfas/terms.pdf>**

**GPO QATAP (GPO Publication 310.1) – <http://www.gpo.gov/pdfs/vendors/sfas/qatap.pdf>**

**DISPUTES:** GPO Publication 310.2, GPO Contract Terms, Contract Clause 5. Disputes, is hereby replaced with the June 2008 clause found at [www.gpo.gov/printforms/pdf/contractdisputes.pdf](http://www.gpo.gov/printforms/pdf/contractdisputes.pdf). This June 2008 clause also cancels and supersedes any disputes language currently included in existing contractual actions”

**SUBCONTRACTING:** The predominant production function is the laser/ion deposition imaging, CASS and NCOA certification of data from electronically transmitted files and inserting. Any bidder who cannot perform the imaging, CASS/NCOA certification and inserting portions of the Program will be declared non-responsible. Contractor may subcontract the printing and manufacturing of the envelopes, and the presorting and mailing of the completed product.

**NOTE:** The contractor must be responsible for enforcing all contract requirements outsourced to a subcontractor.

If the contractor needs to add a subcontractor at any time after award, the subcontractor must be approved by the Government prior to production starting in that facility. If the subcontractor is not approved by the Government, then the contractor must submit new subcontractor’s information to the Government for approval **30 calendar days** prior to the start of production at that facility.

**NOTE:** If the contractor plans to enter into a “Contractor Team Arrangement”, or Joint Venture, to fulfill any requirements of this contract, all parties must comply with the terms and regulations as detailed in the Printing Procurement Regulation (GPO Publication 305.3; Rev. 2-11).

**QUALITY ASSURANCE LEVELS AND STANDARDS:** The following levels and standards will apply to these specifications:

### **Product Quality Levels:**

- (a) Printing (page related) Attributes – Level III.
- (b) Finishing (item related) Attributes – Level III.

### **Inspection Levels (from ANSI/ASQC Z1.4):**

- (a) Non-destructive Tests - General Inspection Level I.
- (b) Destructive Tests - Special Inspection Level S-2.
- (c) Transparent low gloss poly-type window material, covering the envelope window must pass a readability test with a rejection rate of less than 1/4 of 1% when run through a USPS OCR Scanner.
- (d) Exception: ANSI X3.17 "Character Set for Optical Character Recognition (OCR A)" must apply to these specifications. The revisions of this standard which are effective as of the date of this contract are those which must apply.

- (e) Exception: The notices (fronts and backs) will be read by a high-speed document scanner. These notices must function properly when processed through a high-speed document scanner. A form is a reject and will be considered a major defect when its OCR print cannot be correctly deciphered on the first pass through the specified reading equipment.
- (f) Exception: Data Matrix 2-D barcodes must be in accordance with ISO/IEC 16022 – “International Symbology Specification, Data Matrix”, ISO/IEC 15418:1999 – “Symbol Data Format Semantics”; ISO/IEC 15434:1999 – “Symbol Data Format Syntax”; and ISO/IEC 15415 – “Print Quality Standard”.
- (g) Exception: Code 39 (3 of 9) barcodes must be in accordance with ANSI MH 10.8M-1983.
- (h) Exception: The payment portion below the micro-perforation on the “payment stub” (eRPA SSA-L732-OP1), once detached, will be scanned and must function properly when processed through the current high-speed scanning equipment at SSA. A form is a reject and will be considered a major defect when its OCR print cannot be correctly deciphered on the first pass through the scanning equipment (See “PRINTING/IMAGING”, eRPA SSA-L732-OP1 and “NOTE” paragraphs (page 28) for additional information regarding perforated payment stub.)

**NOTE:** Use of equipment or ink which in any way adversely affects the scannability of the payment stub will not be allowed.

ANSI Standards may be obtained from the American National Standards Institute, 25 West 43<sup>rd</sup> Street, 4<sup>th</sup> Floor, New York, NY 10036.

**Specified Standards:** The specified standards for the attributes requiring them must be:

<u>Attribute</u>	<u>Specified Standard</u>
P-7. Type Quality and Uniformity	O.K. Press sheets
P-9. Solid and Screen Tint Color Match	O.K. Press sheets

Special Instructions: In the event that inspection of press sheets is waived by the Government, the following listed alternate standards (in order of precedence) must become the Specified Standards:

P-7. Type Quality and Uniformity	Camera Copy/Electronic Media
P-9. Solid and Screen Tint Color Match	Pantone Matching System

**OPTION TO EXTEND THE TERM OF THE CONTRACT:** The Government has the option to extend the term of this contract for a period of 12 months by written notice to the contractor not later than 30 days before the contract expires. If the Government exercises this option, the extended contract must be considered to include this clause except, the total duration of this contract may not exceed **five (5) years** as a result of, and including, any extension(s) added under this clause. Further extension may be negotiated under the "**Extension of Contract Term**" clause. See also "**Economic Price Adjustment**" for authorized pricing adjustment(s).

**EXTENSION OF CONTRACT TERM:** At the request of the Government, the term of any contract resulting from this solicitation may be extended for such period of time as may be mutually agreeable to the GPO and the contractor.

**ECONOMIC PRICE ADJUSTMENT:** The pricing under this contract must be adjusted in accordance with this clause, provided that in no event will any pricing adjustment be made that would exceed the maximum permissible under any law in effect at the time of the adjustment. There will be no adjustment for orders placed during the first period specified below. Pricing will thereafter be eligible for adjustment during the second and any succeeding performance period(s). For each performance period after the first, a percentage figure will be calculated as described below and that figure will be the economic price adjustment for that entire next period. Pricing adjustments under this clause are not applicable to reimbursable postage or transportation costs, or to paper, if paper prices are subject to adjustment by separate clause elsewhere in this contract.

For the purpose of this clause, performance under this contract will be divided into successive periods. The first period will extend from the beginning of the contract to January 31, 2016, and the second and any succeeding period(s) will extend for 12 months from the end of the last preceding period, except that the length of the final period may vary. The first day of the second and any succeeding period(s) will be the effective date of the economic price adjustment for that period.

Pricing adjustments in accordance with this clause will be based on changes in the seasonally adjusted "Consumer Price Index For All Urban Consumers - Commodities Less Food" (Index) published monthly in the CPI Detailed Report by the U.S. Department of Labor, Bureau of Labor Statistics.

The economic price adjustment will be the percentage difference between Index averages as specified in this paragraph. An index called the variable index will be calculated by averaging the monthly Indexes from the 12-month interval ending three (3) months prior to the beginning of the period being considered for adjustment. This average is then compared to the average of the monthly Indexes for the 12-month interval ending June 30, 2014, called the base index. The percentage change (plus or minus) of the variable index from the base index will be the economic price adjustment for the period being considered for adjustment.

The Government will notify the contractor by contract modification specifying the percentage increase or decrease to be applied to invoices for orders placed during the period indicated. The contractor must apply the percentage increase or decrease against the total price of the invoice less reimbursable postage or transportation costs and separately adjusted paper prices. Payment discounts must be applied after the invoice price is adjusted.

**PAPER PRICE ADJUSTMENT:** Paper prices charged under this contract will be adjusted in accordance with "Table 6 - Producer Price Indexes and Percent Changes for Commodity Groupings and Individual Items" in Producer Price Indexes report, published by the Bureau of Labor Statistics (BLS), as follows:

1. BLS code **0913-01** for Offset and Text will apply to all paper required under this contract.
2. The applicable index figures for the month of September 2014 will establish the base index.
3. There must be no price adjustment for the first three production months of the contract.
4. Price adjustments may be monthly thereafter, but only if the index varies by an amount (plus or minus) exceeding 5% by comparing the base index to the index for that month which is two months prior to the month being considered for adjustment.
5. Beginning with order placement in the fourth month, index variances will be calculated in accordance with the following formula:

$$\frac{X - \text{base index}}{\text{base index}} \times 100 = \underline{\quad\quad} \%$$

where X = the index for that month which is two months prior to the month being considered for adjustment.

6. The contract adjustment amount, if any, will be the percentage calculated in 5 above less 5%.
7. Adjustments under this clause will be applied to the contractor's bid price(s) for line item III in the "**SCHEDULE OF PRICES**" and will be effective on the first day of any month for which prices are to be adjusted.

The Contracting Officer will give written notice to the contractor of any adjustments to be applied to invoices for orders placed during months affected by this clause.

In no event, however, will any price adjustment be made which would exceed the maximum permissible under any law in effect at the time of the adjustment. The adjustment, if any, must not be based upon the actual change in cost to the contractor, but must be computed as provided above.

The contractor warrants that the paper prices set forth in this contract do not include any allowance for any contingency to cover anticipated increased costs of paper to the extent such increases are covered by this price adjustment clause.

**SECURITY REQUIREMENTS:**

**Protection of Confidential Information:**

- (a) The contractor must restrict access to all confidential information obtained from the Social Security Administration (SSA) in the performance of this contract to those employees and officials who need it to perform the contract. Employees and officials who need access to confidential information for performance of the contract will be determined at the post award conference between the Contracting Officer and the responsible contractor representative.
- (b) The contractor must process all confidential information obtained from SSA in the performance of this contract under the immediate supervision and control of authorized personnel, and in a manner that will protect the confidentiality of the records in such a way that unauthorized persons cannot retrieve any such records.
- (c) The contractor must inform all personnel with access to the confidential information obtained from SSA in the performance of this contract of the confidential nature of the information and the safeguards required to protect this information from improper disclosure.
- (d) For knowingly disclosing information in violation of the Privacy Act, the contractor and the contractor employees may be subject to the criminal penalties as set forth in 5 U.S.C Section 552a (i)(1), which is made applicable to contractors by 5 U.S.C. 552a (m)(1) to the same extent as employees of the SSA. For knowingly disclosing confidential information as described in section 1106 of the Social Security Act (42 U.S.C. 1306), the contractor and contractor's employees may also be subject to the criminal penalties as set forth in that provision.
- (e) The contractor must assure that each contractor employee with access to confidential information knows the prescribed rules of conduct, and that each contractor employee is aware that he/she may be subject to criminal penalties for violations of the Privacy Act and/or the Social Security Act. When the Contractor employees are made aware of this information, they will be required to sign the SSA-301, "Contractor Personnel Security Certification" (see Exhibit A). A copy of this signed certification must be forwarded to: Social Security Administration (SSA), Printing Management, (Exhibit K). A copy must also be forwarded to: U.S. Government Printing Office, 732 North Capitol and H St., NW, STOP: CSAPS, Room C-838, ATTN: David Love, Washington, DC 20401.
- (f) All confidential information obtained from SSA for use in the performance of this contract must, at all times, be stored in an area that is physically safe from unauthorized access.
- (g) Performance of this contract may involve access to tax return information as defined in 26 U.S.C. Section 6103(b) of the Internal Revenue Code (IRC). All such information must be handled as confidential and may not be disclosed without the written permission of SSA. For willingly disclosing confidential tax return information in violation of the IRC, the contractor and contractor employees may be subject to the criminal penalties set forth in 26 U.S.C. Section 7213.
- (h) The Government reserves the right to conduct on-site visits to review the contractor's documentation and in-house procedures for protection of confidential information.
- (i) If a subcontractor is used for the sorting and/or mailing of the notices of this contract, the subcontractor must conform to all security requirements of the contract.

**SECURITY WARNING:** It is the contractor's responsibility to properly safeguard personally identifiable information (PII) from loss, theft or inadvertent disclosure and to immediately notify the Government of any loss of personally identifiable information. Personally identifiable information is "any information which can be used to distinguish or trace an individual's identity, such as their name, Social Security Number, biometric records, etc., alone or when combined with other personal or identifying information which is linked or linkable to a specific individual, such as date and place of birth, mother's maiden name, etc."

**All employees working on this contract must:**

- Be familiar with current information on security, privacy and confidentiality as they relate to the requirements of this contract.
- Obtain pre-screening authorization before using sensitive or critical applications pending a final suitability determination as applicable to the specifications.
- Lock or logoff their workstation/terminal prior to leaving it unattended.
- Act in an ethical, informed and trustworthy manner.
- Protect sensitive electronic records.
- Be alert to threats and vulnerabilities to their systems.
- Be prohibited from having any mobile devices or cameras in sensitive areas that contain any confidential materials. This includes areas where shredding and waste management occurs.

**Contractor's managers working on this contract must:**

- Monitor use of Mainframes, PCs, LANs, and Networked Facilities to ensure compliance with National and Local policies, as well as the Privacy Act statement.
- Ensure that employee screening for sensitive positions within their department has occurred prior to any individual being authorized access to sensitive or critical applications.
- Implement, maintain, and enforce the security standards and procedures as they appear in this contract and as outlined by the contractor.
- Contact the SSA, Printing Management, within 24 hours whenever a system's security violation is discovered or suspected.

**Applicability:**

The responsibility to protect personally identifiable information applies during the entire term of this contract and all option year terms if exercised. All contractors must secure and retain written acknowledgement from their employees stating they understand these policy provisions and their duty to safeguard personally identifiable information. These policy provisions include, but not limited to, the following:

- Employees are required to have locking file cabinets or desk drawers for storage of confidential material, if applicable.
- Material is not to be taken from the contractor's facility without express permission from the Government.
- Employees must safeguard and protect all Government records from theft and damage while being transported to and from contractor's facility.

**The following list provides examples of situations where personally identifiable information is not properly safeguarded:**

- Leaving an unprotected computer containing Government information in a non-secure space (e.g., leaving the computer unattended in a public place, in an unlocked room, or in an unlocked vehicle).
- Leaving an unattended file containing Government information in a non-secure area (e.g., leaving the file in a break-room or on an employee's desk).
- Storing electronic files containing Government information on a computer or access device (flash drive, CD, etc.) that other people have access to (not password-protected).

This list does not encompass all failures to safeguard personally identifiable information but is intended to act as an alert to the contractor's employees to situations that must be avoided. Misfeasance occurs when an employee is authorized to access Government information that contains sensitive or personally identifiable information and, due to the employee's failure to exercise due care, the information is lost, stolen or inadvertently released.

Whenever the contractor's employee has doubts about a specific situation involving their responsibilities for safeguarding personally identifiable information, they should consult the Contracting Officer or the Contract Administrator.

### **PUBLIC TRUST SECURITY REQUIREMENTS**

This contract has been designated Public Trust Position Level 5C. Due to the sensitive nature of the information contained in the products produced under this contract, contractor employees performing under this contract will be subject to a thorough civil and criminal background check as detailed in Exhibit B, "**Security and Suitability Requirements.**"

**NOTE:** "Performing under this contract" is defined as working on-site at an SSA facility (including visiting the SSA site for any reason) or having access to Government programmatic or sensitive information.

Upon award, the contractor must provide to SSA an applicant listing of all individuals for whom the contractor is requesting a suitability determination (i.e., background investigation). This listing should include the following:

- the contractor's name
- the contract number
- the contractor's point of contact (CPOC) name
- the CPOC's contact information including email address
- each applicant's full name
- each applicant's Social Security Number (SSN)
- each applicant's date of birth
- each applicant's place of birth (must show city and state if born in the United States (U.S.) OR city and country if born outside of the U.S.)

The contractor should submit the applicant listing within two (2) workdays of award. The background investigation process will not start until the applicant listing is submitted.

Send the applicant listing via Fax to CPSPM Suitability Team (410)-966-0640 or via U.S. Mail to: SSA, CPSPM Suitability Team, Room 1260 Dunleavy Building, 6401 Security Boulevard, Baltimore, MD 21235.

Once SSA receives and reviews the applicant listing, SSA will initiate the Electronic Questionnaire for Investigations Process (eQIP). SSA will email notification to the CPOC that each applicant has been invited into the eQIP website to electronically complete their background investigation form. The CPOC will provide the website to the applicants to complete their eQIP form. **The applicant will have up to seven (7) calendar days to complete the eQIP form.** The seven-day timeframe begins once SSA notifies the CPOC of the eQIP invitation(s). The applicant must print the signature pages of the form (pages 7 through 9 of SF 85P), (Sample Form SF85P, Exhibit C), sign the signature pages, and then provide the signed originals to the CPOC.

The following is a list of forms each contractor employee is responsible to for completing:

- Original signed and dated eQIP signature pages (pages 7 through 9 of SF 85P) as specified in the above paragraph (Exhibit C).
- Two (2) "Fingerprint Cards" (FD-258, Exhibit D) (**NOTE:** The contractor will absorb the costs for obtaining fingerprints).
- One (1) "Declaration for Federal Employment" (Optional Form 306, Exhibit E)
- One (1) "Fair Credit Reporting Act Authorization Form (FCRA)" (Exhibit F)
- For a non-U.S. citizen, one (1) legible photocopy of the work authorization permit and social security card

The CPOC must ensure all paper forms are fully completed and signed prior to submission to SSA. All forms and fingerprinting cards must be submitted no later than five (5) workdays after completing the eQIP form. For new contract employees hired during the contract term, forms must be submitted within five (5) workdays after completing the eQIP form. The fingerprint cards and all paper forms must be legible or typed in black ink and all signatures must be in black ink. There must be no "breaks" in residences or employment. SSA requires complete addresses, including zip codes and phone numbers. It is the responsibility of the contractor to ensure fingerprint cards are processed through their local police departments or other authorized finger printers. SSA must receive forms within five (5) workdays after completing eQIP form. SSA will return forms not fully completed back to the contractor. Forms may be obtained by calling SSA Personnel Security Suitability Program Officer (SPO) Leslie Herman at 410-965-4426.

The CPOC must submit one cover sheet to SSA containing the names of all of the individuals for whom the contractor is submitting completed paperwork. This cover sheet should include the contract number, each applicant's full name, each applicant's SSN, each applicant's date of birth, and each applicant's place of birth. Submit this cover sheet along with the completed paper forms and two FD-258 fingerprint charts for each applicant to: SSA, CPSPM Suitability Team, Room 1260 Dunleavy Building, 6401 Security Boulevard, Baltimore, MD 21235.

The CPOC must also furnish a copy of the cover sheet to: Social Security Administration (SSA), Printing Management, (Exhibit K).

Once eQIP is completed and all forms are received, SSA will send a pre-screening notification within 15 workdays of receipt of properly completed forms and fingerprinting cards. Once a contractor employee is approved to work via the pre-screen notification, they are permitted to perform work under the contract. A final suitability determination can take up to 45 workdays.

**PREAWARD SURVEY:** In order to determine the responsibility of the prime contractor or any subcontractor, the Government reserves the right to conduct an on-site pre-award survey of all of the contractor's computer printing, inserting and mailing equipment which will be used on this contract or to require other evidence of technical, production, managerial, financial, and similar abilities to perform, prior to the award of a contract.

The pre-award Survey will include a review of all subcontractors involved, along with their specific functions; and the contractor's/subcontractor's mail, material, personnel, production, quality control/recovery program, security, and backup facility plans as required by this specification.

The contractor must demonstrate the capability to perform the requirements of the contract at time of award. If award is predicated on the purchase of production and/or systems equipment the contractor must provide purchase order(s) with delivery date(s) of equipment to arrive at least **90 calendar days** prior to the start of live production, on February 1, 2015.

**PRODUCTION PLANS:** The contractor must present in writing, to the Contracting Officer within **five (5) workdays** of being notified to do so by the Contracting Officer or his/her representative, detailed plans for each of the following activities. The workday after notification to submit will be the first day of the schedule.

**THESE PROPOSED PLANS ARE SUBJECT TO REVIEW AND APPROVAL BY THE GOVERNMENT AND AWARD WILL NOT BE MADE PRIOR TO APPROVAL OF SAME.**

**NOTE: THE GOVERNMENT RESERVES THE RIGHT TO WAIVE SOME OR ALL OF THESE PLANS.**

**Backup Facility:** The failure to deliver these notices in a timely manner would have an impact on the daily operations of SSA. Therefore, if for any reason(s) (act of God, labor disagreements, etc.) the contractor is unable to perform at said locations for a period longer than twenty four (24) hours, the contractor must have a backup facility with the capability of producing the notices/forms/publications. The contractor must operate the backup facility.

Plans for this contingency production must be prepared and submitted to the Contracting Officer as part of the pre-award survey. These plans must include the location of the facility to be used, equipment available at the facility, and a timetable for the start of production at that facility. Part of the plans must also include the transportation of Government materials

from one facility to another *The contractor must produce items from a test file at the new facility for verification of software prior to producing notices at this facility.* SSA has the option to install connection into the backup facility.

**All terms and conditions of this contract will apply to the backup facility.**

**Quality Control Plan:** The contractor must provide and maintain, within their organization, an independent quality assurance organization of sufficient size and expertise. The team must monitor the operations performed, and inspect the products of each operation to a degree and extent that will ensure the Government's quality assurance, inspection, and acceptance provisions specified herein are met. The contractor must perform, or have performed, the process controls, inspections and tests required to substantiate that the products provided under this contract conform to the specifications and contract requirements. The contractor must describe in detail their quality control/quality assurance and recovery plans describing how, when and by whom the plans will be performed.

The quality control plan must also include examples and a detailed description of all quality control samples and their corresponding inspection reports or logs the contractor will keep to document the quality control inspections performed on each run.

The quality control system must include all aspects of the job including mail flow and materials handling. The plan must also allow for a complete audit trail (e.g., it must be possible to locate any piece of mail at any time from the point it leaves the press up to and including the point at which the mail is off-loaded at the USPS facility). SSA will not, as a routine matter, request the contractor to produce pieces in transit within the contractor's plant. Furthermore, the plan must include the names of all quality assurance officials and describe their duties in relationship to the quality control plan.

The quality control plan must account for the number of pieces mailed daily, and must also cover the security over the postage meters as well as the controls for the setting of the meters (if meters will be used).

**Quality Control Sample Plan:** The plan must provide a description of how the contractor will create quality control samples for periodic samplings to be taken during the production run and provide for back-up and re-running in the event of an unsatisfactory sample. The plan must contain control systems that will detect defective, missing, or mutilated pieces.

The plan should include the sampling interval (minimum pull – first from each file and then one every 4,000 notices). The contractor will perform programming to create two (2) duplicate notices (QC documents) at set intervals throughout production and diverted samples at the insertion stage and complete the following:

- One (1) sample will be drawn, inspected, tested by both the press crew and an independent Quality Assurance Technician who will evaluate the compliance of diverted product to contract specifications and retain the diverted product for 120 calendar days.
- One (1) sample will be drawn for the Social Security Administration, packed with remaining samples associated with each print order and shipped to the Social Security Administration (SSA), Printing Management, (Exhibit K). Note: Samples must be bulk shipped back to SSA weekly for each print order.

The plans must detail the actions to be taken by the contractor when either defects or missing/mutilated items are discovered. These actions must be consistent with the requirements found in GPO Contract Terms (GPO Pub. 310.2, effective December 1, 1987, Rev. 6/01).

The plan must monitor all aspects of the job including material handling and mail flow, to assure that the production and delivery of these notices meet specifications and Government requirements. This includes maintaining 100% accountability in the accuracy of imaging and mailing of all pieces throughout each run. The contractor must ensure that there are no missing or duplicate pieces.

The contractor must maintain quality control samples, inspection reports and records for a period of no less than 120 calendar days subsequent to the date of the check tendered for final payment by the Government Printing Office. The Government will periodically verify that the contractor is complying with the approved quality control plan through on-site examinations and/or requesting copies of the contractor's quality assurance records and quality assurance random copies.

**Computer System Plan:** This plan must include a detailed listing of the contractor's operating software platform and file transfer system necessary to interface with SSA's National File Transfer Management System (FTMS) for electronic transmission of EAD, YCER, BEVE, and eRPA files from SSA. The plan must also include the media type on which files from SSA will be received to the extent that operator intervention (e.g., a tape mount) is not required at SSA or the contractor's production facility.

The system plan must demonstrate the contractor's ability to provide complete hardware and software compatibility with SSA's existing network (see "WIRE TRANSMISSION" for additional information). The contractor must complete a System Plan (see Exhibit G).

Included with the Computer System Plan must be a résumé for each employee responsible for the monitoring and the programming of the contractor's computer system and file transmissions. If the contractor(s) plans to use a consultant for either task, a resume must still be included. This plan must show that the programmer(s) is skilled in the handling and programming of Advanced Function Presentation (AFP) resources and files.

**Mail Plan:** This plan should include sufficient detail as to how the contractor/sub-contractor will comply with all applicable U.S. Postal Service (USPS) mailing requirements as listed in the USPS Domestic and International Mail Manuals in effect at the time of the mailing and other USPS instructional material such as the Postal Bulletin. The contractor must also disclose how they will achieve multi-level USPS automation compatible postal discounts as outlined in the contract. Contractor must also provide information on how they will CASS and NCOA certify production files.

**Material Handling and Inventory Control:** This plan should explain in detail how the following materials will be handled: incoming raw materials; work-in-progress materials; quality control inspection materials; USPS inspection materials; and all outgoing materials cleared for USPS pick-up/delivery.

**Personnel Plan:** In conjunction with required applicant listing (see "PUBLIC TRUST SECURITY REQUIREMENTS"), this plan should include a listing of all personnel who will be involved with this contract. For any new employees, the plan should include the source of these employees, and a description of the training programs the employees will be given to familiarize them with the requirements of this program.

**Production Plan:** The contractor is to provide a detailed plan of the following:

- (a) List of all production equipment and equipment capacities to be utilized on this contract;
- (b) The production capacity currently being utilized on this equipment;
- (c) Capacity that is available for these workloads; and,
- (d) If new equipment is to be utilized, documentation of the purchase order, source, delivery schedule and installation dates are required.

**NOTE:** The last leaf of the SSA-L732-OP1 notice within the eRPA data files contains a micro-perforated payment stub. (For Bilingual (Spanish/English) notices, the payment stub will be on the last leaf of both the Spanish and the English notices. However, the payment stub/micro-perforation will not be on the same page for every notice because these notices have variable page counts.) The contractor will be required to identify the payment stub page(s) (English or Spanish/English) requiring perforation. Regarding the "select-a-perf" requirement, the contractor's production plan must explain how they will handle imaging and collating the required micro-perforated sheet into the proper sequence of leaves. The plan must also detail how the contractor intends to meet the critical margins associated with the scanline. (See "**PRINTING/IMAGING**" on page 28.)

The contractor must disclose in their production plan their intentions for the use of any subcontractors. If a subcontractor will be handling SSA notices, the plan must include the same information required from the contractor for all items contained under "SECURITY REQUIREMENTS" and "PREAWARD SURVEY." If a subcontractor for any

operation is added at any time after award, the contractor must submit the subcontractor's proposed plans which are subject to review and approval by the Government.

**NOTE:** The subcontractor must be approved by the Government prior to production starting in that facility. If the subcontractor is not approved by the Government, then the contractor has **15 calendar days** prior to production to submit to the Government the new subcontractor's information.

**Security Control Plan:** The contractor must maintain in operation, an effective security system where items by these specifications are manufactured and/or stored (awaiting distribution or disposal) to assure against theft and/or the product ordered falling into unauthorized hands.

Contractor is cautioned that no Government provided information will be used for non-Government business. Specifically, no Government information will be used for the benefit of a third party.

The Government retains the right to conduct on-site security reviews at any time during the term of the contract.

The plan must contain at a minimum:

- (1) How Government files (data) will be secured to prevent disclosure to a third party.
- (2) How the disposal of waste materials will be handled.
- (3) How all applicable Government-mandated security/privacy/rules and regulations as cited in this contract must be adhered to by the contractor and/or subcontractor(s).

**Materials** – The contractor is required to explain how all accountable materials will be handled throughout all phases of production. This plan must also include the method of disposal of all production waste materials.

**Disposal of Waste Materials** – The contractor is required to demonstrate how all waste materials used in the production of **sensitive** SSA records (records containing PII information as identified in “**Security Warning**” on page 6) will be definitively destroyed (ex., burning, pulping, shredding, macerating, or other suitable similar means). Electronic Records must be definitively destroyed in a manner that prevents reconstruction. **Definitively** destroying the records means the material **cannot** be reassembled and used in an inappropriate manner in violation of law and regulations. **Sensitive** records are records that are national security classified or exempted from disclosure by statute, including the Privacy Act or regulation.

The contractor, at a minimum, must crosscut shred all documents into squares not to exceed one-quarter (1/4”) inch. All documents to be destroyed cannot leave the security of the building and must be destroyed at contractor's printing site. The contractor must specify the method planned to dispose of the material.

**Production Area** – The contractor must provide a secure area(s) dedicated to the processing and storage of data for the Notices, either a separate facility dedicated to this product, or a walled-in limited access area within the contractor's existing facility. Access to the area(s) must be limited to security-trained employees involved in the production of Notices.

Part of the Security Control Plan must include a floor plan detailing the area(s) to be used, showing existing walls, equipment to be used, and the printing and finishing locations.

Contractor must have, in place, a building security system that is monitored 24 hours a day, seven (7) days a week, and a badging/keypunch system that limits access to Government materials (data processing center/production facility and other areas where Government materials with PII are stored or are accessible) that is only accessible by approved personnel. Contractor must present this information, in detail, in the production plans.

If the pre-award survey is waived, the above referenced plans must be submitted to the Contracting Officer within five (5) workdays of being notified to do so by the Contracting Officer or his/her representative. The workday after notification to submit will be the first day of the schedule.

**THESE PLANS ARE SUBJECT TO REVIEW AND APPROVAL BY THE GOVERNMENT AND AWARD WILL NOT BE MADE PRIOR TO APPROVAL OF THE SAME.**

**UNIQUE IDENTIFICATION NUMBER:** Unique identification numbers will be used to track each individual notice, thereby providing 100% accountability. This enables the contractor to track each notice through completion of the project. The contractor will be required to create a test sample every 4,000 notices. Each AFP file must have a minimum of one (1) test sample. This sample must have a unique number and must be produced on each notice. The contractor will generate a list of the unique identifying numbers for each sample. As samples are pulled, their unique numbers will be marked off the list. This enables the contractor to track which samples have been produced and pulled and what records have been produced.

The contractor may create their own sequence number to facilitate their presorting and inserting process but must maintain the original SSA identification number.

**RECOVERY SYSTEM:** A recovery system will be required to ensure that all defective, missing and/or mutilated pieces detected are identified, reprinted and replaced. The contractor's recovery system must use the unique alpha/numeric identifiers assigned to each piece (including quality control samples) to aid in the recovery and replacement of any defective, missing and/or mutilated pieces, and must be capable of tracking and/or locating any individual piece of mail from the time it leaves the press, up to and including when it is off-loaded at the U.S. Postal Service (USPS) facility. An explanation of the contractor's sequential numbering system is required to understand the audit trail required for each and every piece.

**100% ACCOUNTABILITY OF PRODUCTION AND MAILING:**

Contractor must have a closed loop process\* to determine that the data from the original print file is in the correct envelope with the correct number of pages and inserts. Notices requiring print regeneration must be reprinted from their original print image with the original job ID and piece ID remaining unchanged as each mail piece continues through the inserting life cycle. This process will repeat itself (since subsequent reprint runs may yield damages) until all mail pieces from the original print run have been inserted and accounted for.

**\* CLOSED LOOP PROCESSING:** A method for generating a plurality of mail pieces including error detection and reprinting capabilities. The method provides a mail handling process which tracks processing errors with the use of a first and second scan code which obtain information regarding each mail piece, diverts mail pieces in response to error detection, transmits such errors to a processor, and automatically generates a reconfigured print file to initiate reprints for the diverted mail pieces.

Contractor will be responsible for providing a unique identifying number that will be used to track each individual notice, thereby providing **100% accountability and validating the integrity of every notice produced** in all phases of printing, inserting and mailing and to ensure all notices received from SSA were correctly entered into the United States postal system.

**NOTE:** Contractor must have all hardware, programming and finalized reports in place to meet this requirement. The equipment must arrive 90 calendar days prior to the start of live production on February 1, 2015. Contractor must submit a sample of their proposed Audit and Summary reports with the required Pre-Award production plans for approval. The government considers grounds for the immediate default of this contract if the contractor, at any time, is unable to perform or found not complying with any part of this requirement.

Notice integrity must be defined as follows:

- Each notice must include all pages (and only those pages) intended for the designated recipient as contained in the print files received from SSA.
- The contractor's printing process must have automated systems which can detect all sync errors, stop printing when detected, and identify, remove and reprint all effected notices.

Mailing integrity must be defined as follows:

- All notices received from SSA for each file date were printed, inserted and entered correctly into the United States postal system.

The contractor is responsible for providing the Automated inserted notice tracking/reporting systems and processes required to validate that 100% of all notices received from SSA were printed, all pages for each notice with the correct inserts are accounted for, inserted and mailed correctly.

The contractor's inserting equipment must have automated systems that include notice coding and scanning technology capable of:

- (a) Uniquely identifying each notice and corresponding notice leaves within each individual file by mailer number and file date.
- (b) Unique identifier to be scanned during insertion to ensure all notices and corresponding notice leaves are present and accounted for.
- (c) Entrance Scanning: a camera system must electronically track and scan all leaves of each mail piece as the inserting equipment pulls them into the machine to ensure each mail piece was produced and inserted. If there is any variance on a mail piece or if a mail piece is not verified that all leaves are present, that piece and the piece prior to and immediately following must be diverted and sent back for reprint. All instances of variance must be logged.
- (d) Touch and Toss: all spoilage, diverted, mutilated or mail piece that is acted upon directly by a human hand prior to sealing must be immediately recorded, discarded, properly destroyed, and automatically regenerated in a new print file for reprint. **Exception**- Intentionally diverted pieces due to a requirement for a product, which cannot be intelligently inserted and requires manual insertion such as a publication, can be sealed, re-scanned and placed back into production. These must be programmed diverts and sent to a separate bin for processing to ensure they are not mixed with other problem diverts and logged into the Audit system as such.
- (e) Exit Scanning: A camera system must be mounted just off the inserting equipment. This camera system must read a unique code through the window of each mail piece and capable of identifying and reporting all missing notices that were lost or spoiled during production for each individual file by mailer number and file date. This system ensures that no missing mail pieces have been inadvertently inserted into another mail piece. The equipment must check the mail pieces, after insertion and verification that all leaves are accounted for, and divert any suspect product. During exit scanning, if a sequence number is missing the notice prior to and immediately after must be diverted. The equipment must divert all products that exhibit missing or out of order sequence numbers and any other processing errors. All diverted pieces are to be automatically recorded and regenerated in a new print file for reprint.
- (f) Reconciliation: all notices and the amount of correct finished product must be electronically accounted for after insertion through the use of the audit system that is independent of the inserting equipment as well as independent of the operator. The sequence numbers, for each file, must be reconciled; taking into account any spoilage, duplicate and/or diverted product. If the reconciliation yields divergent results, corrective action must be taken to locate the mail pieces that are causing any difference between the input and outputs of the inserting process. Therefore, all finished mail for that sequence run must be held in an accessible area until this reconciliation is complete.
- (g) Generate a new production file for all missing, diverted or mutilated notices (reprint file).
- (h) Contractor must generate an automated audit report from the information gathered from scanning for each mailer number, file date and for each notice (manual inputs are not allowed). This audit report will contain detailed

information for each notice as outlined above for each individual file by mailer number and file date. Contractor must maintain this information for a six-month period after mailing.

(i) Audit report must contain the following information:

1. Job name
2. Mailer number, file date and mail date(s)
3. Machine ID
4. Date of production with start and end time for each phase of the run i.e. machine ID.
5. Start and end sequence numbers in each run
6. Status of all sequence numbers in a run
7. Total volume in run
8. Status report for all incidents for each sequence number and cause, i.e. inserted, diverted and reason for divert such as missing sequence number, missing leave, mutilated, duplicate, pulled for inspection, etc.
9. Bottom of audit report must contain total number of records for that run, quantity sent to reprint, number of duplicates, duplicates verified and pulled, total completed.
10. Audit report must contain the same information for all the reprints married with this report as listed above showing that all pieces for each mailer number and file date are accounted for.

(j) Contractor must generate a **final automated 100% accountability summary report** for each individual file by mailer number and file date. This information must be generated directly from the audit report, manual inputs are not allowed. The summary report must contain the following:

1. Job name
2. Each individual file by mailer number and file date (must show sequence numbers for each section i.e. first pass and then reprints)
3. Sequence number range for each individual file by mailer number and file date
4. Volume of all sequence numbers associated with an individual file by mailer number and file date were inserted.
5. Volume of reprints that were inserted for each file date.
6. Volumes for each file date and date that each was completed.

**NOTE:** A PDF copy of the summary report(s) and matching USPS 3607R, USPS 3600, Certificate of Bulk Mailing and /or GPO 712 form(s) must be submitted to SSA. Printing Management, (Exhibit K), for each file date within 1 day of mailing.

**NOTE:** Contractor must submit a sample of their **Audit and Summary reports** (See Exhibit H) with the required Pre-Award production plans for approval.

Contractor must generate an automated audit report when necessary showing the tracking of all notices throughout all phases of production for each mail piece. This audit report will contain all information as outlined in item (i) above. Contractor is required to provide any requested Summary and/or Audit reports within an hour of a request via email in MS word, MS Excel or PDF.

All notice tracking/reporting data must be retained in electronic form for 210 days after mailing, and must be made available to SSA for auditing of contractor performance upon request.

The contractor must maintain quality control samples, inspection reports and records for a period of no less than 180 days subsequent to the date of the check tendered for final payment by the Government Printing Office. The Government will periodically verify that the contractor is complying with the approved quality control plan through on-site examinations and/or requesting copies of the contractor's quality assurance records and quality assurance random copies.

*Note: The Government will not as a routine matter request that the contractor produce individual pieces in transit within the plant, however, the contractor must demonstrate that they will have an audit trail established that has the ability to comply with this type of request when and if the need arises-*

**Request for Notices Pulls from Production:** Due to the sensitivity of notices in this contract, the Government may request that the contractor remove individual notices from the production stream. When this occurs, the Government will supply the contractor with a list of Notices to be pulled. The list will contain the name and address that appears in the Mail Run Data (MRD) file to identify the notices. The contractor must be able to run a sort to find and eliminate the notice from the production run. If the list is provided after the notice has been produced, the contractor must be capable of identifying the notice and pulling it from the production floor. It is anticipated that this will be an infrequent occurrence.

**Option Years:** For each option year that may be exercised, the contractor will be required to review their plans and re-submit in writing the above plans detailing any changes and/or revisions that may have occurred. **The revised plans are subject to Government approval.** The revised plans must be submitted to the Contracting Officer or his/her representative within five (5) workdays of notification of the option year being exercised.

NOTE: If there are no changes/revisions, the contractor will be required to submit to the Contracting Officer or his/her representative a statement confirming that the current plans are still in effect.

**ON-SITE REPRESENTATIVES:** One (1) or two (2) full-time Government representatives may be placed on the contractor's premises on a limited basis or throughout the term of the contract.

The contractor will be required to provide a private workspace with a telephone line, internet access, and one facsimile machine.

On-site representative(s) may be stationed at the Contractor's facility to: provide project coordination in receipt of wire transmissions; verify addresses; monitor the printing, imaging, folding, inserting, mail processing, quality control, sample selections and inspections; and monitor the packing and staging of the mail. These coordinators will not have contractual authority, and cannot make changes in the specifications or in contract terms, but will bring any and all defects detected, to the attention of the company Quality Control Officer. The coordinators must have full and unrestricted access to all production areas where work on this program is being performed.

**POSTAWARD CONFERENCE:** In order to ensure that the Contractor fully understands the total requirements of the job as indicated in these specifications, Government representatives will conduct a conference with the contractor's representatives at the Social Security Administration (SSA), 6401 Security Boulevard, Baltimore, MD, 21235 immediately after award. Person(s) that the contractor deems necessary for the successful implementation of the contract must be in attendance.

**PRE-PRODUCTION MEETING:** A pre-production meeting covering printing, imaging, folding, inserting, and mailing will be held at the contractor's facility after award of the contract to review the contractor's production plan and to establish coordination of all operations. Attending this meeting will be representatives from the Government Printing Office, Social Security Administration and the U.S. Postal Service (USPS). The contractor must present and explain their

final plan for both printing, imaging, folding, inserting, and mailing the, EAD, YCER, BEVE, and eRPA Notices. In addition, the contractor must be prepared to present detailed production plans, including such items as quality assurance, projected commencement dates, equipment loading, pallet needs, etc.

The contractor must meet with SSA and USPS representatives to present and discuss their plan for mailing. The preproduction meeting will include a visit to the contractor's mailing facility, where the contractor is to furnish specific mail flow information. The contractor must present documentation of the plant loading agreement and either a copy of the optional procedure, which has been negotiated with the USPS or a draft of the original procedure that the contractor intends to negotiate with the USPS for SSA approval. The contractor also needs to present SSA with a copy or a draft of the manifest (tracking system) to be used to accomplish the above.

**ASSIGNMENT OF JACKETS, PURCHASE, TASK, AND PRINT ORDERS:** A GPO jacket number will be assigned and a purchase order issued to the contractor to cover work performed. The purchase order will be supplemented by an individual print order for each job placed with the contractor. The print order, when issued will indicate the quantity to be produced and any other information pertinent to the order.

**ORDERING:** Items to be furnished under the contract must be ordered by the issuance of weekly print orders supplemented by daily electronic task orders. Orders may be issued under the contract from Date of Award through January 31, 2016, plus for such additional period(s) as the contract is extended. All print orders and task orders issued hereunder are subject to the terms and conditions of the contract. The contract must control in the event of conflict with any print order or task order.

Task orders will be "issued" daily for purposes of the contract and will detail the daily volume of notices required. A Print Order (GPO Form 2511) to be used for billing purposes will be issued weekly and will cover all daily task orders issued that week.

**REQUIREMENTS:** This is a requirements contract for the items and for the period specified herein. Shipment/delivery of items or performance of work must be made only as authorized by orders issued in accordance with the clause entitled "Ordering." The quantities of items specified herein are estimates only, and are not purchased hereby. Except as may be otherwise provided in this contract, if the Government's requirements for the items set forth herein do not result in orders in the amounts or quantities described as "estimated," it must not constitute the basis for an equitable price adjustment under this contract.

The estimated quantities specified in this contract, in the "Determination of Award" are not the total requirements of the Government but are the estimates of the requirements,

The Government will not be required to purchase from the contractor, requirements in excess of the limit on total orders under this contract, if any.

Orders issued during the effective period of this contract and not completed within that time must be completed by the contractor within the time specified in the order, and the rights and obligations of the contractor and the Government respecting those orders must be governed by the terms of this contract to the same extent as if completed during the effective period of this contract.

If shipment/delivery of any quantity of an item covered by the contract is required by reason of urgency prior to the earliest date that shipment/delivery may be specified under this contract, and if the contractor will not accept an order providing for the accelerated shipment/delivery, the Government may procure this requirement from another source.

The Government may issue orders which provide for shipment/delivery to or performance at multiple destinations. Subject to any limitations elsewhere in this contract, the contractor must furnish to the Government all items set forth herein which are called for by print orders issued in accordance with the "**ordering**" clause of this contract.

**PRIVACY ACT NOTIFICATION:** This procurement action requires the contractor to do one or more of the following: design, develop, or operate a system of records on individuals to accomplish an agency function in accordance with the

Privacy Act of 1974, Public Law 93-579, December 31, 1974 (5 U.S.C. 552a) and applicable agency regulations. Violation of the Act may involve the imposition of criminal penalties.

### **PRIVACY ACT**

(a) The contractor agrees:

- (1) to comply with the Privacy Act of 1974 and the rules and regulations issued pursuant to the Act in the design, development, or operation of any system of records on individuals in order to accomplish an agency function when the contract specifically identifies (i) the system or systems of records and (ii) the work to be performed by the contractor in terms of any one or combination of the following: (A) design, (B) development, or (C) operation;
- (2) to include the solicitation notification contained in this contract in every solicitation and resulting subcontract and in every subcontract awarded without a solicitation when the statement of work in the proposed subcontract requires the design, development, or operation of a system of records on individuals to accomplish an agency function; and
- (3) to include this clause, including this paragraph (3), in all subcontracts awarded pursuant to this contract which require the design, development, or operation of such a system of records.

(b) In the event of violations of the Act, a civil action may be brought against the agency involved where the violation concerns the design, development, or operation of a system of records on individuals to accomplish an agency function, and criminal penalties may be imposed upon the officers or employees of the agency where the violation concerns the operation of a system of records on individuals to accomplish an agency function. For purposes of the Act when the contract is for the operation of a system of records on individuals to accomplish an agency function, the contractor and any employee of the contractor is considered to be an employee of the agency.

(c) The terms used in this clause have the following meanings:

- (1) "Operation of a system of records" means performance of any of the activities associated with maintaining the system of records including the collection, use, and dissemination of records.
- (2) "Record" means any item, collection or grouping of information about an individual that is maintained by an agency, including, but not limited to, his education, financial transactions, medical history, and criminal or employment history and that contains his name, or the identifying number, symbol, or other identifying particular assigned to the individual, such as a finger or voice print or a photograph.
- (3) "System of records" on individuals means a group of any records under the control of any agency from which information is retrieved by the name of the individual or by some identifying number, symbol, or other identifying particular assigned to the individual.

### **CRIMINAL/CIVIL SANCTIONS:**

(1) Each officer or employee of any person to whom returns or return information is or may be disclosed must be notified in writing by such person that returns or return information disclosed to such officer or employee can be used only for a purpose and to the extent authorized herein, and that further disclosure of any such returns or return information for a purpose or to an extent unauthorized herein constitutes a felony punishable upon conviction by a fine of as much as \$5,000 or imprisonment for as long as five years, or both, together with the costs of prosecution. Such person must also notify each such officer and employee that any such unauthorized further disclosure of returns or return information may also result in an award of civil damages against the officer or employee in an amount not less than \$1,000 with respect to each instance of unauthorized disclosure. These penalties are prescribed by IRC Sections 7213 and 7431 and set forth at 26 CFR 301.6103(n).

(2) Additionally, it is incumbent upon the contractor to inform its officers and employees of the penalties for improper disclosure imposed by the Privacy Act of 1974, 5 U.S.C. 552a. Specifically, 5 U.S.C. 552a(i)(1), which is made applicable to contractors by 5 U.S.C. 552a(m)(1), provides that any officer or employee of a contractor, who by virtue of his/her employment of official position, has possession of or access to agency records which contain individually identifiable information, the disclosure of which is prohibited by the Privacy Act or regulations established there under, and who knowing that disclosure of the specific material is prohibited, willfully discloses the material in any manner to any person or agency not entitled to receive it, will be guilty of a misdemeanor and fined not more than \$10,000.

## SECTION 2.- SPECIFICATIONS

**SCOPE:** These specifications cover the production of mailing packages from four (4) workloads\* consisting of English only and Bilingual (Spanish/English) personalized notices, mail-out envelopes, business reply mail (BRM) envelopes, and courtesy reply mail (CRM) envelopes, requiring such operations as: the receipt and processing of wire transmitted data; redevelopment of Advanced Function Presentation (AFP) resources; composition; printing and imaging; perforating (micro-perforated payment stub pages); folding; inserting (including selective or intelligent inserting); extraction of return address from the Mail Run Data (MRD) File, manifesting and/or metering, CASS and NCOA certification of data; presorting; achieving USPS Full Service IMB automation discounts; certified/registered mail; and mailing.

**TITLE:** EAD, YCER, BEVE, and eRPA Notices

\*The four (4) workloads are as follows:

1. EAD (Earnings After Death)
2. YCER (Young Children's Earnings)
3. BEVE (Benefit Verification)
4. eRPA (Electronic Representative Payee Accounting System)

Future Workload (s):

\*5. New Notices (during term of contract)

\*During the term of this contract the Government expects to develop new notice workloads with the same requirements as the four (4) notice workloads described by these specifications. All terms and conditions in this specification will apply to these future notice workloads. It is estimated that approximately one (1) to three (3) new notice workloads may be added during the term of this contract.

<u>FILE NAME</u>	<u>MAILER</u>	<u>DATA SET NAME</u>
<b>EAD</b>	Mailer 1	EERAFP.M1orderid.Ryymmdd
	Mailer 2	EEEAFFP.M2orderid.Ryymmdd
	Mailer 3	ESEAFP.M3orderid.Ryymmdd
<b>YCER</b>	Mailer 4	YERAFP.M4orderid.Ryymmdd
	Mailer 5	YEEAFP.M5orderid.Ryymmdd
	Mailer 6	YSEAFP.M6orderid.Ryymmdd
<b>BEVE</b>	Mailer 7	BEVAFFP.M7orderid.Ryymmdd
<b>eRPA</b>		
(English)	Mailer 8	RPAAFFP.M8orderid.Ryymmdd
(Spanish/English)	Mailer 9	RPAAFFP.M9orderid.Ryymmdd

*Vendor* – is the identifier. This is assigned when the transmission connectivity is installed.

*aaaaa* – is the order id assigned by Control–M at run time. This is used to build the unique identifier for the file.

*yymmdd* – is the year, month, and day of the file being transmitted. This is also referred to as the run date.

**NOTE:** *The file names/dataset names for each new notice workload will be supplied to the contractor as they are developed.*

**MAKE-UP OF MAILERS:**

A record will be transmitted for each mailing address. The records will contain all the data relevant for the mailing of an associated mail piece. Unique alpha/numeric identifiers will be part of the record to ensure accuracy in the insertion process. All files transmitted by SSA will be physical sequential Advanced Function Presentation mixed mode. Any alteration of the notice content in the file is not permitted.

**FOR QUALITY CONTROL AND AUDITING PURPOSES:** The contractor must not merge file dates and mailers during processing, printing and mailing. Any alteration of the notice content in the file is not permitted.

The figures indicated below are estimates that are based on historical data of past production runs. The figures show the minimum and maximum quantities required daily: as well as number of printed pages in a notice (notices are duplex printed and one-side only when an odd page is required), inserts (items that are to be inserted into the mail-out envelope along with the notice), and how the notice is to be folded. Exact quantities will not be known until each run is electronically transmitted to the contractor. **NO SHORTAGES WILL BE ALLOWED.**

**MAKE-UP OF NOTICE MAILERS:**

**EAD**

The EAD mailers are divided into three notice categories by file names.

Mailer 1 **EADER:** Personalized Notice (Form SSA-L4112-C1)

Transmission Minimum:	0
Transmission Maximum:	1,500
Leaves:	1
Printed Pages:	2
Inserts:	White Courtesy Reply Envelope
Folding:	Bifold
*NOTE* Annual Spike Maximum:	18,000

Mailer 2 **EADEE:** Personalized Notice (Form SSA-L3044-C1)

Transmission Minimum:	0
Transmission Maximum:	6,000
Leaves:	1
Printed Pages:	1
Inserts:	None
Folding:	Bifold
*NOTE* Annual Spike Maximum:	60,000

Mailer 3 **EADSE:** Personalized Notice (Form SSA-L3400-C1)

Transmission Minimum:	0
Transmission Maximum:	13
Leaves:	1
Printed Pages:	1
Inserts:	None
Folding:	Bifold

**YCER**

The YCER mailers are divided into three notice categories by file names.

Mailer 4 **YCERER:** Personalized Notice (Form SSA-L3231-C1)

Transmission Minimum:	0
Transmission Maximum:	1,105
Printed Pages:	2
Leaves:	1
Inserts:	White Courtesy Reply Envelope
Folding:	Bifold

Mailer 5 **YCEREE:** Personalized Notice (Form SSA-L3232-C1)

Transmission Minimum:	0
Transmission Maximum:	4,362
Printed Pages:	1
Leaves:	0
Inserts:	None
Folding:	Bifold

Mailer 6 **YCERSE:** Personalized Notice (Form SSA-L3241-C1)

Transmission Minimum:	0
Transmission Maximum:	377
Printed Pages:	1
Leaves:	1
Inserts:	None
Folding:	Bifold

**BEVE**

The BEVE mailer is one notice consisting of 1 to 3 pages and a mail-out envelope: PO Box 315100.

Mailer 7 Personalized English Notice (No Form Number)

Daily Transmission Minimum:	31,818
Daily Transmission Maximum:	65,225
Printed Pages:	1 to 3
Leaves:	1-2
Inserts:	None
Folding:	Tri-fold

**eRPA**

The eRPA mailer consists of four (4) notice types transmitted in one file. These personalized notices are English ONLY (Mailer 8) and Bilingual (Spanish/English) (Mailer 9) and range from 1-20 pages (10 leaves). An occasional mailer (less than 1%) may exceed these leaf counts.

All eRPA notices require a mail-out envelope. Form SSA-L732 requires a WHITE business reply envelope Form SSA-L732-OP1 requires both a WHITE and a GREEN business reply envelope.

**The Redirect Notices and Call-In Notices DO NOT REQUIRE any business reply envelopes.**

Mailer 8 Personalized English Notice (Form SSA-L732)  
Personalized English Notice (Form SSA-L732-OP1) \*\*  
Redirect English Notice (No Form Number/No Inserts)  
Call-In English Notice (No Form Number/No Inserts)

Daily Transmission Minimum: 15,217  
Daily Transmission Maximum: 63,325  
Printed Pages: 1 to 20  
Leaves: 1-10

**Inserts:**

White Business Reply Envelope (Form SSA-L732) & (Form SSA-L732-OP1)\*\*  
Green Business Reply Envelope (Form SSA-L732-OP1 Only)  
Folding: Bi-fold

Mailer 9 Personalized Bilingual (Spanish/English) Notice (Form SSA-L732)  
Personalized Bilingual (Spanish/English) Notice (Form SSA-L732-OP1) \*\*  
Call-In Bilingual (Spanish/English) Notice (No Form Number/No Inserts)

Daily Transmission Minimum: 503  
Daily Transmission Maximum: 1268  
Printed Notice Pages: 1-20  
Leaves: 1-10

**Inserts:**

White Business Reply Envelope (Form SSA-L732) & (Form SSA-L732-OP1)\*\*  
Green Business Reply Envelope (Form SSA-L732-OP1 Only)  
Folding: Bi-fold

**PAYMENT STUB NOTE:**

**\*\*Form SSA-L732-OP1 Payment Stub Requirement:** The next to the last leaf of the English ONLY Notice and the next to the last leaf of both the Spanish and the English Notices of the Bilingual Notice require a full horizontal micro-perforation 3-1/2 inches up from bottom of page along the entire 8-1/2" length dimension. However, the payment stub/micro-perforation will not be on the same page for every notice because these notices have variable page counts.) The contractor will be required to identify the payment stub page(s) (English or Spanish/English) requiring perforation.

**NOTE:** The eRPA bilingual notices require insertion of both a Spanish and English notice in one envelope. On occasion, an eRPA mailer (10 leaves maximum) will exceed one ounce in weight.

**TRIM SIZES**

**EAD & YCER TRIM SIZES**

Notices: (8-1/2 x 11") flat size - See **CONSTRUCTION/BINDING** for folding requirements

Window Mail-Out Envelope: (6-1/8 x 9-1/2")

White Courtesy Reply Envelope: (5-3/4 x 8-3/4")

**BEVE TRIM SIZES:**

Notices: (8-1/2 x 11") flat size - See **CONSTRUCTION/BINDING** for folding requirements

Window Mail-Out Envelope: (4-1/8 x 9-1/2)

**eRPA TRIM SIZES:**

Notices:(8-1/2 x 11") flat size, - See **CONSTRUCTION/BINDING** for BIFOLD folding requirements

Window Mail-Out Envelope: (6-1/8 x 9-1/2")

White Business Reply Envelope: (BRM): (5-3/4 x 8-3/4")

Green Business Reply Envelope: (BRM): (3-7/8 x 8-7/8")

**FREQUENCY OF ORDERS AND QUANTITY:**

The combined total for daily EAD, YCER, BEVE and eRPA notices will be approximately 4,315,335 per year.

**The Government reserves the right to increase 25% of the total number of notices ordered annually.**

**MAIL-OUT ENVELOPES:**

**90-CALENDAR DAY VOLUMES**

BIFOLD SIZE 6-1/8 X 9-1/2"

**EAD**

Wilkes Barre Data Operations Center  
PO Box 80  
Wilkes Barre, PA 18767-0080

36,343

**YCER**

Wilkes Barre Data Operations Center  
PO Box 40  
Wilkes Barre, PA 18767-0040

6,613

TRIFOLD SIZE: 4-1/8 X 9-1/2"

**BEVE**

Northeastern Program Service Center  
PO Box 315100  
Jamaica, NY 11431-4089

523,671

BIFOLD SIZE: 6-1/8 X 9-1/2

**eRPA** 504,767  
Wilkes Barre Data Operations Center  
PO Box 8500  
Wilkes Barre, PA 18767-8500

**INSERTS:**

**BUSINESS REPLY MAIL (BRM) ENVELOPES:**

**eRPA**

WHITE BUSINESS REPLY ENVELOPE (5-3/4 x 8-3/4") 372,258  
WBDOC  
PO Box 8500  
Wilkes Barre, PA 18767-9988

GREEN BUSINESS REPLY ENVELOPES (3-7/8 X 8-7/8") 152\*  
Mid Atlantic Program Service Center  
PO Box 3430  
Philadelphia, PA 19122-9985

\*The annual quantity will be less than 1000. The contractor is allowed to order the full annual quantity.

**COURTESY REPLY MAIL (CRM) ENVELOPES:**

**EAD**

WHITE COURTESY REPLY ENVELOPE (5-3/4 x 8-3/4") 13,000  
WBDOC  
PO Box 80  
Wilkes Barre, PA 18767-0080

**YCER**

WHITE COUTESTY REPLY ENVELOPE (5-3/4 x 8-3/4") 3,000  
WBDOC  
PO Box 40  
Wilkes Barre, PA 18767-0040

**GOVERNMENT TO FURNISH:**

Manuscript copy for (9) envelopes two (5) mail-out envelopes, two (2) Business Reply envelopes and (2) Courtesy Reply mail envelopes

Camera copy of the Facing Identification Marks (FIM) and IMB Codes for the (2) Business Reply envelopes and (2) Courtesy Reply Mail envelopes

Camera copy for the recycled paper logo and legend (English and Spanish)

PS Form 3615, Mailing Permit Application and Customer Profile

GPO Form 712 (Certificate of Conformance)

Postage and Fees Paid Mailing Indicia

A data connection between the contractor's specified location and the nearest available SSA network interface location or SSA's National Computer Center.

Exhibit A: Form SSA-301, Contractor Personnel Security Certification

Exhibit B: Security and Suitability Requirements

Exhibit C: SF85P Questionnaire for Public Trust Positions (SF85P)

Exhibit D: Fingerprint Card

Exhibit E: Declaration of Federal Employment (Optional Form 306)

Exhibit F: Fair Credit Reporting Act (FRCA) Authorization Form

Exhibit G: System Plan

Exhibit H: Audit and Summary Report

Exhibit I: Mail Run Data (MRD) File Record Layout

Exhibit J: Perforated Payment Stub

Exhibit K: Key SSA and GPO Personnel Contact Information

**ELECTRONIC FILES:**

All files will be electronically transmitted to the contractor and contain a complete record for each notice. Any programming or other format changes necessitated due to the contractor's method of production will be the full responsibility of the contractor and must be completed prior to SSA's validation.

***NOTE: The contractor must not compress files in processing data for this contract.***

The contractor will receive three (3) files for each print file: the Advanced Function Presentation (AFP) file, the Mail Run Data (MRD) file, and the Banner (BNR) file.

The notice files for printing are formatted for the AFP printing platform in duplex printing (face and back). For proper processing of AFP; SSA supplies resources used for printing notices in AFP format,

The MRD File will contain all information relevant to each mail piece. This would include, for each mail piece, the unique alpha/numeric identifier (the sequential number of the document), the number of sheets of paper, required inserts and insertion bin selection, recipient's address, return address, USPS IMB, the appropriate signature, and any required inserts. (**Note:** Notices contain either the Commissioner of Social Security signature or a fixed "Social Security Administrations" in lieu of a signature, etc. (**See** Exhibit I for MRD File record layout.)

The BNR file contains information for setting up the intelligent inserters such as file totals, number of mail packets, and bin set up for those items being included in the mail packets and the total required in each bin.

The contractor will receive an electronic daily task order for BEVE and eRPA and weekly task order for EAD and YCER, in the morning after transmission with the volumes for notices, leaves, pages and any inserts required.

**NOTE:** Whenever the contractor makes a change in the programming, the contractor will be required to execute a self-certification statement specifying the date of the last programming change. Prior notification of a programming change is required in addition to the self-certification statement for the contractor to schedule a validation test with SSA.

Prior to the commencement of production of orders placed under this contract, the Government will furnish preproduction electronic test files shortly after the post award conference that are to be used in performing the various preproduction validation tests. Files will be in print image format and in ZIP Code sequence. Contractor will be required to sort files as necessary to obtain maximum USPS Postal discounts (i.e., leaf counts or mail weight).

Dataset names for the items listed below will be provided at the Postaward Conference:

Print Resource Library (AFP) for wire transmission or E-mail:

AFP resources include page and form definitions; fonts, page segments and overlays (if applicable) for page formatting.

Preproduction Press and Mail Run Test Files for Wire Transmission;

An AFP formatted print file with the corresponding MRD File and Banner file will be provided for each workload in the quantities required.

Revised Resource Library (AFP) for Wire Transmission or E-mail (when applicable);

AFP print resources, overlays, page segments and non-standard fonts provided shortly after the postaward conference may change during the term of the contract, in which case a revised AFP resource file will be electronically transmitted to the contractor as a replacement.

## **PRINTER RESOURCES: AFP**

SSA will provide the AFP resources for each notice workload, unless licensed to SSA by another vendor, in which case that resource will need to be purchased by the contractor. These resources will be provided on the contractor's choice of media (wire transmission or E-mail) shortly after the post-award conference. SSA will also transmit test files for VPN transmission with samples of each workload to enable the start of the validation process. These test files may be used for the preproduction press and mail run test. (For additional information, see "PREPRODUCTION PRESS AND MAIL RUN TEST".)

For proper processing of AFP resources supplied to the contractor by SSA, used for printing notices in AFP format, the contractor must have software or an operating system which is 100% compliant with the most recent release of the IBM MVS/ZOS390 operating system accompanied by the most recent release of IBM Print Services Facility (PSF). These compliances relate solely to interpreting and printing files to be provided to the contractor by SSA, to ensure that the contractor is able to print the files as provided without alteration of any kind on the part of SSA. **It is solely the contractor's responsibility to redevelop/reprogram the AFP resources to ensure the proper printing in their environment.**

**Contractor must have programmer(s) capable of handling AFP resources.**

**NOTE:** SSA prints 2UP DUPLEX ROLL IN TO ROLL OUT with file order reversed for insertion. The predominant data file format is AFP Mixed Mode. However, any valid AFP format is possible and must be printable at the contractor's location.

The contractor will be responsible for maintaining the AFP resources on each system that processes SSA's notices.

SSA will provide updated resources electronically, as necessary. When the contractor receives an update to the printer resources, the contractor will be required to provide SSA with **seventy-five (75)** sample documents representative of the workload involved, from the test files, within **five (5) workdays** for review (see below). The contractor is to continue

using existing resources while the samples are reviewed. Once the samples are approved, the contractor will be advised when to implement the new printer resource files into live production. Whenever testing is required, the contractor will be responsible for performing the test on each printer that processes SSA's notices.

**The sample documents must be submitted as follows:**

**EAD and YCER Workloads:**

Submit **twenty-five (25)** printed samples to: Social Security Administration (SSA), Printing Management, (Exhibit K), **AND** an additional **fifty (50)** printed samples to: SSA/Wilkes-Barre Data Operations Center, ATTN: Andrea Moore, Room 341, 1150 East Mountain Drive, Wilkes-Barre, PA 18702-7997.

**eRPA Workloads:**

Submit **twenty-five (25)** printed samples to: Social Security Administration (SSA), Printing Management, (Exhibit K), **AND** an additional **fifty (50)** printed samples to: SSA/Wilkes-Barre Data Operations Center, ATTN: Patrice Gallagher, Room 341, 1150 East Mountain Drive, Wilkes-Barre, PA 18702-7997.

The contractor is cautioned that there may be a signature change(s) during the term of this contract. If this occurs, SSA will provide the contractor with a new AFP resource file. (See "**SYSTEMS CHANGE/SIGNATURE CHANGE/NEW AND EXISTING NOTICE FILES VALIDATION TEST**" on page 33.)

SSA's Printing Management (DPM) will notify the contractor of these changes as soon as possible. Upon successful testing of the changes, SSA must transmit the new print resources (if necessary) and resume transmission of the notice file(s).

During the term of the contract, the Government anticipates making programmatic changes to the daily notices as warranted (e.g., changes in language, format, appearance, etc.). When changes occur, SSA will perform testing of the workload in their print facility for a short period of time. (The "Dark Days" for the contractor should only last a few days.) Only those affected workloads (indicated by filename) will be held back at SSA for validation and production. For example: If the BEVE notice workload were to be changed, SSA would test and print those notices only. The contractor would continue to print and mail the eRPA notice workloads. Upon successful testing of the changes by SSA, SSA will then transmit the new print resources (if necessary) and resume transmission of the notice file(s).

**CONTRACTOR TO FURNISH:** All materials and operations, other than those listed under "GOVERNMENT TO FURNISH," necessary to produce the products in accordance with these specifications.

The contractor is required to have a Secure SFTP site set up so SSA can transmit files electronically. The site must allow SSA the ability to upload and download files for proofing and validation.

**COMPOSITION:** Contractor will be required to set type for nine (9) envelopes. Helvetica or similar typeface will be utilized.

Century Schoolbook or equivalent fonts (Sonoran Serif) are to be used for producing the notices. International Century Schoolbook 300 typeface contains both of the above. SSA will not provide all required fonts to the vendor. SSA will provide the font part numbers to the contractor who will validate that they have the proper licenses for each required font.

Intelligent Mail Barcode font will be required during the term of the contract. The contractor will be required to obtain the necessary font: SSA will not provide it with Resources supplied.

**PROOFS:** Three (3) proofs of each of the nine (9) envelopes with margins indicated are required. The proofs must have all elements in their proper position. The contractor must submit proofs for all materials under this contract within 7 workdays after receipt of furnished material. Furnished materials must be returned with proofs. The Government will approve, conditionally approve or disapprove these proofs within 5 workdays of receipt thereof. Contractor must submit revised proofs, if necessary due to AA's, within 5 workdays after receipt of furnished materials. No additional time will be permitted due to contractor's errors

(PE's). Revised proofs will be available for pickup within 3 workdays. (The first workday after receipt of proofs at SSA is day one (1) of the hold time.)

NOTE: In lieu of hard copy proofs, the Government has the option to request PDF proofs of the envelopes. The contractor is to upload proofs to the SFTP site.

SSA reserves the right to make changes to all proofs. The Government may require one or more sets of revised proofs before rendering an "OK to Print".

If any contractor's errors are serious enough in the opinion of GPO to require revised proofs, the revised proofs are to be provided at no additional expense to the Government. No extra time can be allowed for this reproofing operation; such operations must be accomplished within the original production schedule allotted in the specifications.

**STOCK/PAPER:** The specifications of all paper furnished must be in accordance with those listed herein or listed for the corresponding JCP Code numbers in the "Government Paper Specification Standards No. 12" dated March 2011. ([http://www.gpo.gov/pdfs/customers/sfas/vol12/vol1\\_12.pdf](http://www.gpo.gov/pdfs/customers/sfas/vol12/vol1_12.pdf).)

Envelope color must meet USPS print reflectance difference requirements. All paper used in each order must be of a uniform shade. **NOTE:** Surface Tinting of envelopes is not permitted.

**Personalized Notices:** White OCR Bond, basis weight: 20 lbs. per 500 sheets, 17 x 22", equal to JCP Code O25.

**Mail-Out Window Envelopes (4-1/8 x 9-1/2" and 6-1/8 x 9-1/2"):** White Wove, basis weight: 24 lbs. per 500 sheets, 17 x 22", bursting strength 24 lb/in<sup>2</sup>, or at contractor's option, White Offset Book, basis weight: 60 lbs. per 500 sheets, 25 x 38", equal to JCP Code A60.

**White BRM/CRM Envelopes (5-3/4 x 8-3/4"):** White Writing, equal to JCP Code D10, basis weight: 20 lbs. per 500 sheets, 17 x 22", bursting strength 20 lb/in<sup>2</sup>, containing a minimum of 50 percent waste paper.

**Green BRM Envelopes (3-7/8 x 8-7/8"):** Green Writing, equal to JCP Code D10 (close match of PMS-344), basis weight: 20 lbs. per 500 sheets, 17 x 22", bursting strength 20 lb/in, containing a minimum of 50 percent waste paper.

**PRINTING/IMAGING:** The Government reserves the right to make changes to the envelopes at any time during the term of the contract. Notification of a proposed change will be given with sufficient time for the contractor to allow for the change, and submit proofs to the Government. Therefore, the contractor is not to preprint or maintain more than a 90 calendar day surplus/inventory of any of the components required on this contract. The Government will not be required to purchase from the contractor the surplus/inventory of any component remaining on hand in excess of what was authorized when an envelope or format/text change is implemented.

Contractor will be required to convert furnished data from electronic transmission for either laser or ion deposition printing. All imaging/printing must have a minimum resolution of 300 x 300 dpi.

**NOTICES:** All notices are simplex (face only), and/or duplex (face and back, head-to-head) printed/imaged in black ink. In addition, notices can require a combination of simplex and duplex printing/imaging.

eRPA notices contain client completed notices that are read by OCR equipment. The notices (fronts and backs) will be read by a Kodak document Scanner 9500, 9520, 1840 or other high speed Scanners. The format for these notices will be incorporated in the body of the notice and must be printed as specified below to be scanned.

The alpha-numeric scan line must be printed using the OCR A font. (Applies only to eRPA.) The OCR printing must read continuously on an Integrated Image Based Data Capture System (IIBDCS).

ANSI X3.17 "Character Set for Optical Character Recognition (OCR A)" must apply to these specifications. The revisions of this standard which are effective as of the date of this contract are those which must apply.

ANSI Standards may be obtained from the American National Standards Institute, 1430 Broadway, New York, N.Y. 10018.

A barcode of SSA's choice (currently 3 of 9) must be imaged (minimum 300 x 300 DPI) at the bottom left on each printed/imaged page on all eRPA SSA-L732 Notices, approximately ¼ inch below the OCR scan line. The (3 of 9) barcode height is to be ¼ inch, plus or minus 1/16 inch and the width is to be 5 inches, plus or minus 1/8 inch. Note: At least 1/8 inch margin (quiet zone) is required top, bottom, left, and right of each barcode.

Note: (3 of 9) barcodes must be in accordance with ANSI MH 10.8M-1983 unless otherwise specified.

**NOTE:** Personalized forms data to be included in the barcode will be contained in the SSA wire file transmissions.

All barcodes will be tested for scannability on the below specified equipment at the SSA Wilkes-Barre Data Operations Center in Wilkes-Barre, PA.

The forms produced under these specifications must be guaranteed to function properly when processed through Kodak High Speed 9500, 9520, 1840 or other high speed Scanners. SSA will be using Top Image Systems scanning software to process the images; OCR engines to do the ICR and an Inlite Engine to read the barcodes. Forms require precision spacing, printing, trimming and folding. OCR forms will be extracted from CRM/BRM using the following equipment: OPEX MPE 7.5 Multiple Purpose Extractor.

**Notices:** Notices print in black ink head to head. On some notices the back of the first notice page does not print.

On the eRPA L732-OP1 Notices, leaves print both face only and face and back; The Verification Form, Payment Stub and Privacy Act Statement portions each start printing on a face page. The Payment Stub and Privacy Act Statements are one page each and print face only.

**Envelopes:** Envelopes print face and back after manufacture in black ink. Printing must be in accordance with the requirements for the style envelope ordered. All printing must comply with all applicable U.S. Postal Service regulations. The envelope must accept printing without feathering or penetrating to the reverse side.

**Mail-Out Envelopes:** 4-1/8 x 9-1/2" (BEVE only), 6-1/8 x 9-1/2" (EAD & YCER) and 6-1/8 x 9-1/2" (eRPA) require a security tint (lining is acceptable) printed on the inside (back - before manufacture) in black ink. Contractor may use its own design but must guarantee that the product will ensure complete opacity and prevent show through of any material contained therein.

**BRM Envelopes:** Face of envelope to be in BUSINESS REPLY Mail FORMAT. Print FIMs and barcodes using the camera-ready positives provided. The FIMs and barcodes should be placed on the mailing piece according to the current U.S. Postal Service's Domestic Mail Manual, "Barcoded Mail pieces".

**NOTE:** Inside of BRM envelopes must contain a clear area (no pantograph design), approximate size 3-1/2 x 5/8", behind the barcode to ensure the readability of barcode by the U.S. Postal Service equipment.

**RECYCLED PAPER LOGO:** If recycled paper is used, the recycled paper logo and legend must be printed in black ink on the notices and envelopes. The recycled paper logo/legend must be digitized by the contractor and imaged in the bottom left corner of notices aligned with the contractor's control number on the first page of each notice.

**WIRE TRANSMISSION:** Upon award of this contract, the Government will determine the connectivity method between SSA and the Contractor. Internet Protocol (IP) will be the connection protocol for the transmissions. The connectivity method will be through the Internet using an encrypted VPN tunnel or the Government will place an order for a dedicated circuit under GSA's Networx contract to be installed within **60 to 90 calendar days** between the contractor's location and SSA's network interface location. Either connectivity method will be encrypted with the AES256 encryption algorithm. For the Internet option to be used the Contractor must have an Internet ready VPN IPsec capable hardware device. The Government will not be responsible for any cost associated with the VPN Internet connection that the Contractor may occur. The connection method is at the sole discretion of the Government. The cost of the dedicated circuit connection will be borne by the Government. The Government will not be responsible for installation delays of data connections due

to any external influences such as employee strikes, weather, supplies, etc.; which conditions are beyond the control of the Government.

If a dedicated circuit is deemed necessary, SSA will provide the dedicated data connection, including a router, and firewall at the contractors specified locations. The contractor must provide adequate rack space for securing the router and firewall; the contractor must provide a dedicated analog dial-up line within 8 feet of the router. This dedicated analog dial-up line will be used for router management and access for troubleshooting. The line must be in place and active prior to the installation of the circuit/router.

Also, upon contract award, the contractor must provide a complete delivery address with nearest cross-street, contact name and phone number for installation of data transmission services and equipment. The contractor's contact person must be available for delivery of services at the specified location. The Government must not be responsible for incorrect or lack of address information, nor for non-availability of contact persons at the delivery site.

**It is the Contractor's responsibility to notify SSA when systems or data line problems arise and transmission(s) cannot take place. SSA's first point of contact for systems or data line problems must be the HELP DESK at 877-697-4978.**

**FILE TRANSFER MANAGEMENT SYSTEM (FTMS) REQUIREMENTS:** The contractor must provide the capability to interface with SSA's National File Transfer Management System (FTMS) for electronic transmission of notice files from SSA to the production facility. SSA will provide the necessary data connection into the contractor's location. **At the discretion of SSA, the line speed may be either increased or decreased depending on utilization.** The contractor must provide, at their expense, the equipment and operating software platform, and the file transfer software required at their location. The contractor assumes all responsibility for configuration, maintenance, and troubleshooting of their equipment and software. SSA utilizes, and the contractor must provide compatibility with, Managed File Transfer (formerly known as Cyberfusion Integration Suite) software from TIBCO. The Contractor may implement the Managed File Transfer Platform Server that has embedded software encryption capable of being enabled. The personal computers/servers must have the capability to run Managed File Transfer software with encryption enabled using IP protocols on Windows, UNIX (i.e., IBM's AIX, SUN or HP), or z/OS platforms.

SSA will not permit any private class A, B or C IP addresses, i.e., 10.xxx.xxx.xxx type IP addresses from external users on its network. At connection time to SSA, the Contractor will be provided a suitable IP address for access to SSA's network via a firewall. SSA will provide the necessary subnet(s) for connection at the remote site. The contractor will be responsible for their own name/address translation to fulfill the intended purpose of data transfers. SSA will provide Managed File Transfer node information to the Contractor as required to accomplish file transfers.

The Contractor may determine the media type on which files from SSA will be received, to the extent that operator intervention (e.g., a tape mount) is not required at SSA or the Contractor's production facility. Simultaneous multiple transmission sessions must be possible on the Contractor's equipment. All files transmitted by the SSA will be written as Physical Sequential or "flat" files at the Contractor's location and will be distinguished with a "run date" in the Contractor's file name. Virtual Storage Access Method files and Generation Data Groups, supported by IBM/MVS or IBM/ZOS390 operating systems are not permitted under this contract. The contractor's storage format must not preclude the availability of the Managed File Transfer software Checkpoint/Restart feature.

**NOTE: The contractor may not use VM/VSE/ESA on a mainframe system, as this hampers automated file transmission.**

The contractor's FTMS software must be operational for the receipt of data files 24 hours per day, 7 days per week, unless otherwise specified by the Government. The communications protocol between SSA and the contractor will be the Internet Protocol (IP). The contractor must specify the type of Local Area Network (LAN) connection that will be used at the location where the SSA connection is to be installed. The contractor is responsible for providing complete hardware and software compatibility with SSA's existing network. Production file transfers will be established according to SSA's standard procedures for transmission control, dataset naming, and resource security. The contractor's file management

system must accommodate multiple file transmission sessions without intervention at either end. The contractor must have sufficient capacity to support the number of concurrent transmission file sessions as dictated by SSA.

The above will apply, regardless of the number of workloads transmitted to the Contractor daily. If the contractor is awarded multiple SSA notice workloads, there must be sufficient capacity at the contractor's production facility to accept transmission of all files according to their schedules.

In the event that any wire transmission cannot be processed due to media problems, link problems or data transmission circuit/connection outages, the contractor must notify SSA's HELP DESK operations immediately at 410-965-2580 and report required observations and findings.

All data provided by the Government or duplicates made by the contractor or his representatives and any resultant printouts must be accounted for and kept under strict security to prevent their release to any unauthorized persons. Data may not be duplicated in whole or in part for any other purpose than to create material to be used in the performance of this contract. Any duplicate data and any resultant printouts must be maintained 21 workdays after mailing and then destroyed by the contractor.

**WIRE TRANSMISSION TEST, PRE-PRODUCTION VALIDATION TEST AND PRE-PRODUCTION PRESS AND MAIL RUN TESTS AND PAYMENT STUB VALIDATION TEST:** Prior to the commencement of production on the contract, the contractor will be required to demonstrate their ability to perform the contract requirements. The contractor will be required to perform the following tests: Wire Transmission Test, Pre-Production Validation Test and a 12-Hour Preproduction Press and Mail Run Test and a Payment Stub Validation Test.

WIRE TRANSMISSION TEST: After the appropriate bandwidth connection has been installed, the contractor will be required to receive within five (5) workdays up to 128,550 notices (1-20 printed pages per notice). The contractor will be required to perform a record count verification and perform the Coding Accuracy Support System (CASS) certification within one (1) workday after the complete transmission of all notice test files. The contractor will be required to copy the files to their own system and provide SSA's Printing Management (Exhibit K), with the exact counts received (broken down by dataset name) before proceeding with any other processing. SSA will respond immediately for verification. The contractor will be required to run the test file through their CASS certification system to ensure that there are no problems with the reading of the address file. Contractor will be required to report back to SSA with the test results. When the record count verification and CASS certification have been successfully completed, the contractor will be required to process the test files and provide SSA, within two (2) workdays 30 sample notices from each mailer from the wire transmission test files for EAD, YCER, BEVE, and eRPA workloads. Submit these test samples to: SSA, Printing Management, (Exhibit K).

The Government will approve, conditionally approve, or disapprove the samples from the Wire Transmission Test within five (5) workdays of receipt thereof. Approval or conditional approval must not relieve the contractor from complying with the specifications and all other terms and conditions of the contract. A conditional approval must state any further action required by the contractor. A notice of disapproval must state the reasons thereof.

**NOTE:** If errors are found, additional samples will be required until such time as the validation produces no errors.

PRE-PRODUCTION VALIDATION TEST: Prior to commencement of production of orders placed under this contract, and within 5 workdays after Government approval of proofs, the contractor must conduct a pre-production validation test and furnish at least 75 sample notices of each mailer. Notices must be complete and include all variable data from Government furnished files. Inserts and envelopes may be required; contractor will be notified if waived. The container and accompanying documentation must include the GPO jacket, purchase order and program number, and must be submitted to SSA, Printing Management, (Exhibit K). The Government will approve, conditionally approve, or disapprove the samples from the Pre-Production Validation Test within 10 workdays of receipt thereof. Approval or conditional approval must not relieve the contractor from complying with the specifications and all other terms and conditions of the contract. A conditional approval shall state any further action required by the contractor. A notice of disapproval must state the reasons thereof.

**NOTE:** In lieu of hard copy proofs, the Government has the option to request PDF proofs of the envelopes. The contractor is to upload proofs to the SFTP site.

**NOTE:** The Validation Test Samples are to be shipped in the following manner: **Twenty-five (25)** printed samples of each mailer to: Social Security Administration (SSA), Printing Management, (Exhibit K), and **fifty (50)** printed samples to SSA/Wilkes-Barre Data Operations Center, (for EAD & YCER) Attn: Andrea Moore, Room 341, 1150 East Mountain Drive, Wilkes Barre, PA 18702-7997. (for eRPA) Attn: Patrice Gallagher, Room 341, 1150 East Mountain Drive, Wilkes Barre, PA 18702-7997.

**PAYMENT STUB VALIDATION TEST FOR eRPA OP1:** Prior to beginning the Preproduction Press and Mail Run Test, the contractor will be required to provide 100 printed samples of Form SSA-L732-OP1 containing a payment stub for validation of the scanline. The micro-perforation on the payment stub page must be properly located and the payment stub must function properly when processed through the current high-speed scanning equipment owned by SSA. A form is a reject when its OCR print cannot be correctly deciphered on the first pass through the specified reading equipment. Submit fifty (50) printed samples to: Social Security Administration (SSA), Printing Management, (**Exhibit K**), and fifty (50) printed samples to: Social Security Administration (**Exhibit K**).

**PRE-PRODUCTION PRESS AND MAIL RUN TEST:** The contractor will be required to demonstrate their ability to perform the contract requirements, prior to commencement of production, by performing a 12-hour preproduction press and mail run test utilizing the test files transmitted electronically shortly after the post award conference.

The Government will issue a Print Order to the contractor for the each Preproduction Press and Mail Run test. Upon successful completion of all test requirements the contractor will be reimbursed for all applicable costs for a production run, according to SECTION 4: SCHEDULE OF PRICES. If the contractor fails to meet all test requirements they will not be reimbursed for any associated costs.

Contractor must perform each of the preproduction press and mail run test in a continuous 12 hour period as required that will prove to the Government representatives that the contractor can satisfactorily complete the requirements of this contract during live production.

**NOTE:** The contractor will be required to have all composition, proofing, envelopes, pamphlets, scanning equipment and reports for 100% accountability of production and mailing, completed, available, and ready for production prior to beginning the test.

For each test run the contractor is to produce all notices in accordance with contract requirements consisting of the processing of the electronically transmitted test files; the duplex printing and imaging of notices; gathering; folding; inserting of notices and any required inserts; manifesting; presorting; and preparing finished notices for delivery to the USPS. To simulate actual production conditions, the notices must be produced in accordance with all contract specifications and all USPS regulations.

Contractor is required to provide the necessary audit and summary reports for 100% accountability of production and mailing within one hour after the each test is completed.

The 12 or 24-hour period for the printing process will begin when an "OK TO PRINT" is given by the Government representative on-site. The 12-hour period for the inserting and mailing process will begin within two (2) hours after the start of the printing to allow the contractor to print sufficient materials to begin the inserting process. See "SCHEDULE" for the Preproduction Press and Mail Run Test. (See "PRE-PRODUCTION TEST SCHEDULE – Prior to Production Validations and Tests").

During the 12-hour period, the contractor will be required to print and prepare for mailing a **minimum of 61,654** notices the following quantities of EAD, YCER, BEVE and eRPA notices:

Mailer 1- EADER	8,854
Mailer 2- EADEE	28,236
Mailer 3- EADSE	7
Mailer 4- YCERER	552
Mailer 5- YCEREE	2,181
Mailer 6- YCERSE	188
Mailer 7- BEVE	10,554
Mailer 8- eRPA- (English)	10,871
Mailer 9- eRPA - (Spanish/English)	211
<b>TOTAL</b>	<b>61,654</b>

The contractor must perform the EAD, YCER, BEVE and eRPA Notice Preproduction Press and Mail Run Test on the equipment they intend to use during live production and using their personnel. This test must be conducted during normal business hours, Monday through Friday. The press run test run will incorporate all aspects of the program consisting of the receipt of wire transmitted data; the duplex/ imaging (and simplex imaging when an odd page is required) of notices; gathering; folding; binding; inserting; metering (if approved by SSA under certain circumstances); presorting; and preparing finished notices for delivery to the USPS. This must include any and all reprints required during the course of this test. To simulate actual production conditions the product produced must be in accordance with all contract specifications and all USPS regulations. The contractor will be required to have all components necessary for the test, completed prior to beginning the test. Contractor must have adequate supplies on-hand to complete the test. Mailers are to be completed in accordance with contract requirements, inserted into correct envelopes, and prepared for mailing.

All samples must be manufactured at the facilities in which the contract production quantities are to be manufactured. Samples of the preproduction press and mail run test will be brought back to SSA for validation. The Government will approve, conditionally approve, or disapprove the output within seven (7) workdays of receipt thereof. Approval or conditional approval must not relieve the contractor from complying with the specifications and all other terms and conditions of the contract. A conditional approval must state any further action required by the contractor. A notice of disapproval must state the reasons thereof.

**SYSTEMS CHANGE/SIGNATURE CHANGE/NEW NOTICE FILES VALIDATION TEST:** When required, the Government will furnish test files for wire transmission that are to be used in performing a Systems Change/Signature Change/New Notice Files Validation Test. This test is required whenever SSA initiates a systems/programming change, a signature change, or when a new notice workload is developed. The contractor must furnish up to 75 printed samples (no envelopes or enclosures). The Government will approve, conditionally approve or disapprove the samples within (10) workdays of receipt thereof. Submit these samples: 25 to SSA, Printing Management, (Exhibit K) and fifty (50) printed samples to SSA/Wilkes-Barre Data Operations Center, (for EAD & YCER) Attn: Andrea Moore, Room 341, 1150 East Mountain Drive, Wilkes Barre, PA 18702-7997, (for eRPA), Attn: Patrice Gallagher, Room 341, 1150 East Mountain Drive, Wilkes Barre, PA 18702-7997.

The Systems Change/Signature Change/New Notice Files Validation Test must occur without a break in production of daily notices. The Government will inform the contractor in advance when the regular daily wire transmissions will contain the systems changes.

**NOTE:** *Failure of the contractor to perform any of the tests (i.e., Pre-Production Validation Test, Wire Transmission Test, 12-Hour Pre-production Press and Mail Run Test and Systems Change/Signature Change/New Notice Files Validation Test) satisfactorily may be cause for default. The Government reserves the right to waive the requirements of any of these tests. Contractor will be notified at the post-award conference if any test(s) is to be waived.*

**PRODUCTION INSPECTION:** Production inspection(s) may be required at the contractor's/subcontractor's plant for the purpose of establishing that the receipt of transmitted files, the printing of booklets, forms, leaflets and/or envelopes, the imaging, dating of form inserts, collating, folding, inserting and mailing is being accomplished in accordance with contract quality attributes and requirements. A production inspection is for the purpose of setting specific standards that are to be maintained throughout the entire run. It does not constitute a prior approval of the entire run.

When a production inspection is required, the Government will notify the contractor.

**PRESS SHEET INSPECTION:** Final make-ready press sheets may be inspected and approved at the contractor's plant for the purpose of establishing specified standards for use during the actual press run. Upon approval of the sheets, contractor is charged with maintaining those standards throughout the press run (within QATAP tolerances when applicable) and with discarding all make-ready sheets that preceded approval. When a press sheet inspection is required, it will be specified on the individual print order. See GPO Publication 315.3 (Guidelines for Contractors Holding Press Sheet Inspections) issued August 2002. **NOTE:** A press sheet inspection is for the purpose of setting specific standards that are to be maintained throughout the entire run. It does not constitute a prior approval of the entire run.

When a press sheet inspection is required, the Government will notify the contractor.

**NOTE:** *Before production begins on any new workloads, a production inspection(s) may be required at the contractor's plant.*

**MARGINS:** Will be indicated on print order, sample, or electronic file.

Note: Notices must appear exactly as was approved during validation. Absolutely no deviation will be accepted.

#### **CONSTRUCTION/BINDING:**

**Notices** - Gather all pages of a notice in numerical sequence. Notices are to be nested together with all faces forward. Fold from a flat size of 8-1/2 x 11" down to 8-1/2 x 3-11/16" or 8-1/2 x 5-1/2" as indicated and insert into the appropriate envelope with title out. The address on first page of notice must be visible through window of mail-out envelope. Either wraparound or accordion folds will be acceptable for the tri-fold notices.

**NOTE:** Bilingual Spanish/English notices consist of two parts: the first part is a Spanish notice; the second part is the same notice in English. The two parts must be nested together.

**Payment Stub** – For the eRPA notices, the next to the last leaf of the English ONLY Notice and the next to the last leaf of both the Spanish and the English Notices of the Bilingual Notice will contain a micro-perforated payment stub. However, the micro-perforation will not be on the same leaf for every notice, because the notices have variable page counts. The contractor will be required to identify the payment stub page(s) requiring perforation and ensure that only these pages are perforated.

**Perforation** - It is critical that the micro-perforation on the payment stub page must be 3-1/2" from the bottom of the payment stub page and run along the entire 8-1/2" dimension (See Exhibit J).

**White BRM Envelope:** 5-3/4 x 8-3/4": Envelope must be open, with gummed fold-over flap for sealing and contain high cut diagonal seams or double side seams. Flap depth is at the contractor's option but must meet all USPS requirements. Flap must be coated with a suitable remoistenable glue that will securely seal the return envelope for mailing. (Adhesive must not adhere to the contents of the envelope.)

**White CRM Envelopes:** 5-3/4 x 8-3/4": Envelope must be open, with gummed fold-over flap for sealing and contain high cut diagonal seams or double side seams. Flap depth is at the contractor's option but must meet all USPS requirements.

Flap must be coated with a suitable remoistenable glue that will securely seal the return envelope for mailing. (Adhesive must not adhere to the contents of the envelope.)

Green BRM Envelope: 3-7/8 x 8-7/8": Envelope must be open, with gummed fold-over flap for sealing and contain high cut diagonal or double side seams. Flap depth is at the contractor's option but must meet all USPS requirements. Flap must be coated with suitable remoistenable glue that will securely seal the return envelope for mailing. (Adhesive must not adhere to the contents of the envelope.)

EAD and YCER Mail-Out Envelope: 6-1/8 x 9-1/2": (Requires security tint) Envelope must be open, with gummed fold-over flap for sealing and contain high cut diagonal seams or double side seams. Flap depth is at the contractor's option but must meet all USPS requirements. Flap must be coated with a suitable remoistenable glue that will securely seal the return envelope for mailing.  
(Adhesive must not adhere to the contents of the envelope.)

BEVE Mail-Out Envelope: 4-1/8 x 9-1/2": (Requires security tint) Envelope must be open, with gummed fold-over flap for sealing and contain high cut diagonal seams or double side seams. Flap depth must meet USPS standards and flap must be coated with a suitable remoistenable glue that will securely seal the envelope without adhering to contents, not permit resealing of the envelope and permit easy opening by the recipient. Face of envelope to contain a 4-1/4 x 1-3/4" die cut address window with slightly rounded corners. Die cut is to be located 1/2" from the bottom edge of the envelope and 3/4" from the left edge of the envelope (the long dimension of the window is to be parallel to the long dimension of the envelope). Contractor has the option to adjust the size of the window opening (subject to Government approval), providing the visibility of the computer generated mailing address and barcode on the notice is not obscured, and other extraneous information is not visible when material is inserted into the envelope. Window is to be covered with a suitable poly-type transparent low gloss material that must be clear of smudges, lines, and distortions. Poly-type material must be securely affixed to the inside of the envelope so as not to interfere with insertion of contents. Window material must meet the current U.S. Postal Service's (USPS) readability standards/requirements.

eRPA Mail-Out Envelope: 6-1/8 x 9-1/2": (Requires security tint) Envelope must be open, with gummed fold-over flap for sealing and contain high cut diagonal seams. Flap depth must meet USPS standards and flap must be coated with a suitable remoistenable glue that will securely seal the envelope without adhering to contents, not permit resealing of the envelope and permit easy opening by the recipient. Face of envelope to contain a 4-1/4 x 1-1/2" (or suitable) die cut address window with slightly rounded corners. Die cut is to be located 2" from the bottom edge of the envelope and 3/4" from the left edge of the envelope (the long dimension of the window is to be parallel to the long dimension of the envelope). Contractor has the option to adjust the size of the window opening (subject to Government approval), providing the visibility of the computer generated mailing address and barcode on the notice is not obscured, and other extraneous information is not visible when material is inserted into the envelope. Window is to be covered with a suitable poly-type transparent low gloss material that must be clear of smudges, lines, and distortions. Poly-type material must be securely affixed to the inside of the envelope so as not to interfere with insertion of contents. Window material must meet the current U.S. Postal Service's (USPS) readability standards/requirements.

**PACKING:** Gather the appropriate number of leaves per notice, fold, and insert into mail-out envelope with recipient's name and address on first page facing out for visibility through window envelope. It is the contractor's responsibility to assure that only the computer-generated address and IMB barcode on the notice will be visible through the window in the envelope and that only one notice is inserted into each envelope.

NOTE: When required, the return envelope is to be inserted behind the notice (when viewed from the window side of the envelope). For the eRPA SSA – 732 bilingual notices, the Spanish notice must be in front of the corresponding English notice prior to folding and inserting.

**DISTRIBUTION:** Deliver f.o.b. destination with the first order and whenever SSA makes a significant change to the text, format, or appearance of a notice, 30 complete sample copies of each type of notice, inserted into mail-out envelopes but not sealed. Samples must be printed and constructed in accordance with these specifications. Deliver samples to: SSA, Printing Management, (Exhibit K).

Deliver f.o.b. destination with the first order and whenever copy changes are required, 10 production samples of each mail-out and BRM envelope to: SSA, Mail and Postage Policy Team, Attn: Kevin Jennings, 1309 Annex Bldg., 6401 Security Boulevard, Baltimore, MD 21235-6401.

Deliver f.o.b. destination with the first order and whenever copy changes are required, 10 production samples of each mailer and CRM/BRM envelope to: Social Security Administration (SSA), Printing Management, (Exhibit K).

Mail balance of order f.o.b. contractor's city. The contractor is responsible for all costs incurred in transporting this product to the U.S. Postal Service facility.

**DOMESTIC FIRST-CLASS LETTER-SIZE MAIL:** The contractor is required to prepare foreign and domestic First-Class letter-size mail in accordance with appropriate USPS rules and regulations, including the USPS Domestic and International Mail Manuals and Postal Bulletins, in effect at the time of the mailing.

**CASS and NCOA Certification of EAD, YCER, BEVE, eRPA and New Notice Files**

**NOTE:** All Files provided by SSA to the contractor are not CASS or NCOA certified. Contractor will be required to complete all necessary processing to obtain certification and mail discounts for USPS.

**CASS Certification:** Contractor is required to perform the Coding Accuracy Support System (CASS) certification using USPS certified ZIP+4 software to generate ZIP+4 Codes and Delivery Point Barcodes. Contractor is required to furnish USPS with any required CASS certificates.

**NCOA Certification:** Contractor is required to process all files through USPS approved NCOA software and furnish USPS with required NCOA certification to achieve the required postal discounts. **Important: Contractor cannot change the mailing address on the notice. Notices that require a move update can have the new address printed on a label on the outside of the mailing envelope and placed over the original address information, or sent at the full USPS first class rate.**

The Contractor is required to prepare Domestic First Class letter-size mail pieces and obtain the maximum postage discount allowed by USPS in accordance with the appropriate USPS rules and regulations, including USPS Domestic Mail Manual, and Postal Bulletins on Automation-Compatible First-Class Domestic Mail Automated and Non-automated mail discount structure in effect at the time of the mailing; a) Automation (5-digit); (b) Automation (3-digit); (c) Automation (AADC); (d) Automation (Mixed AADC); (e) Non-automation (Presorted); and (f) Non-automation (Single Piece).

Contractor will be required to presort all mail in this contract and achieve USPS automated postal rates. To achieve the maximum automation compatible postal discount, the contractor is required to either presort the notices prior to printing or sort the mail after the notices are inserted. The contractor may use a Presort subcontractor for the mailing portion of the contract. SSA has the right to inspect the subcontractor for the security of the mailing operation and compliance with the contract. **ALL PIECES WITHOUT BARCODES MUST BE SEPARATED** and mailed as a non-automation rate single piece mailing. The contractor must disclose how they will achieve maximum postage discounts as required in the contract.

**NOTE:** Mail addressed to United States territories and possessions (e.g., American Samoa, Federated States of Micronesia, Guam, Marshall Islands, Northern Mariana Islands, Palau, Puerto Rico, Virgin Islands, Wake Island, and Military Overseas Addresses (APO/FPO mail) is Domestic Mail, not International Mail and should be included in the discount sorting.

SSA requires the use of Permit Imprint. The contractor must use SSA's "Postage and Fees Paid First Class Mail" permit imprint mailing indicia printed on each mail piece. Each mail piece sent under this payment method must bear a permit imprint indicia showing that postage is paid. Permit imprint indicia may be printed directly on mail pieces. Permit imprint mailings must contain at least 200 identical pieces or 50 pounds. The contractor is cautioned to use the permit imprint only for mailing material produced under this contract.

The mail must be metered and any permit imprint must be covered/concealed by a meter strip. The contractor will be reimbursed for the metered postage by submitting a properly completed Postal Service form (or equivalent). All meter supplies will be borne by the contractor.

The contractor is strongly encouraged to use manifest mail when postal regulations allow. The contractor must have a Manifest Mailing System (MMS) for First-Class Mail which has been approved by USPS to document postage charges for this mailing. Each mail piece must be identified with a unique identification number or with a keyline containing a unique identification number and rate information about the piece. Requirements for the MMS are contained in Publication 401 "USPS Guide to the Manifest Mailing System" in effect at the time of the mailing. A copy of the USPS approval for the MMS must be presented at the postaward conference.

**NOTE: Contractor will be required to produce and use a USPS Intelligent Mail Barcode (IMB) Full Service option and achieve the postage discounts available with this option. The contractor will be required to comply with USPS requirements and place the IMB on all notices/mailpieces of this workload.**

The contractor is required to be capable of achieving the postage discounts available with the Full-Service option of the IMB program. The full service option requires the contractor to use Postal One.

**NOTE:** The contractor is responsible for producing and providing all reporting data required for acceptance and processing of full service mail required by USPS for the Intelligent Mail Barcode.

Intelligent Mail Barcoding, delivery address placement and envelopes used for the mailing are among the items that must comply with USPS requirements for automation-compatible mail in effect at the time of the mailing.

In addition, USPS has instituted a verification procedure called a "tap" test. This test is used to screen all mailings with barcoded inserts for proper barcode spacing within the envelope window. When the insert showing through the window is moved to any of its limits inside the envelope, the entire barcode must remain within the barcode clear zone. In addition, a clear space must be maintained that is at least 0.125" between the left and right edges of the window, and at least 0.028" clearance between the Intelligent Mail Bar code and the top and bottom edges of the window.

All letters in a mailing must pass the "tap" test in order to obtain the maximum postal discounts for the ordering agency. The contractor will be responsible for payment of any additional postage resulting from a loss of postage discounts due to failure to pass the "tap" test because of inaccuracy or failure to conform to USPS specifications.

Contractor should be aware that USPS uses the Mail Evaluation Readability Look-up Instrument (MERLIN) to evaluate barcodes. If MERLIN is in effect in the contractor's geographic area, the contractor must ensure that all barcoded mail meets the new barcode standards. The contractor will be responsible for payment of any additional postage resulting from a loss of such discounts due to failure of the contractor-generated barcodes to pass the MERLIN test because of inaccuracy or failure to conform to USPS specifications.

**NOTE:** The Government reserves the right to make changes to the size and position of mail-out envelope window openings during the term of the contract to comply with the USPS new Intelligent Mail Barcode. Notification of a proposed change will be given sufficient time for the contractor to allow for the change and submit proofs to the Government. Therefore, the contractor **should not preprint or maintain more than a 90-day surplus/inventory** of any of the mail-out envelopes required on this contract.

The Government must not be required to purchase from the contractor the surplus/inventory of any of the mail-out envelopes remaining on hand in excess of what was authorized when an envelope change is implemented.

**INTERNATIONAL MAIL:** All items mailed must conform to the appropriate USPS International Mail Manual (IMM), Postal Bulletin, and other USPS rules and regulations in effect at the time of mailing.

Permit imprint (G-11 mailing indicia) may be used for International Mail providing the mailing consists of at least 200 pieces. Permit imprint may not be used if less than 200 pieces. Instead, the mail must be metered and any permit imprint must be covered/concealed by a meter strip. The contractor will be reimbursed for the metered postage by submitting a properly completed Postal Service form (or equivalent) with the contractor's billing invoice. All meter supplies must be borne by the contractor.

If the mailing meets the qualifications for International Priority Airmail (IPA), it should be processed through IPA in accordance with postal rules and regulations in effect at the time of mailing.

Contractor must prepare mailpieces in accordance with the shape-based requirements of First-Class Mail International service listed in the USPS International Mail Manual (IMM) and the additional requirements for IPA as specified in the most recent IMM. The contractor is required to sort the mail to achieve the maximum postage discounts available with the IPA program. To maximize postage savings, the contractor shall sort to the IPA Rate Group 1 through 15. Due to heightened security, many foreign postal administrations require complete sender and addressee information in roman letters and Arabic numerals on postal items.

The complete address of the sender, including ZIP Code and country of origin, should be shown in the upper left corner of the address side of the envelope, package, or card. International Mail return addresses must show as the last line of the address "UNITED STATES OF AMERICA" or "USA", all in capital letters.

All International Mail must be endorsed "PAR AVION" or "AIR MAIL" as described in the "USPS IMM". (The contractor may use a rubber stamp to meet these requirements.) **International Mail cannot contain a presort endorsement.**

**NOTE:** The contractor is cautioned that files listed will contain mail addressed to United States territories and possessions (American Samoa, Federated States of Micronesia, Guam, Marshall Islands, Northern Mariana Islands, Palau, Puerto Rico, Virgin Islands, Wake Island, and **Military Overseas Addresses (APO/FPO mail)**). This mail is Domestic Mail, **NOT** International Mail and should be included in the discount sorting above.

**MAILING DOCUMENTATION:** The contractor must provide SSA with complete copies of all documents, including GPO's Form 712 (Certificate of Conformance), used by USPS to verify and accept the mail (e.g., computer records of presort ZIP+4, barcode breakdown, press runs, etc.). The contractor must place the number that is on top of the GPO Form 712 (the number that starts with "A") in the space provided on the USPS mailing statements. If no space is provided on the mailing statement, place the number in the upper right margin of the mailing statement.

**NOTE:** The contractor will use the **Federal Agency Cost Code of 276-00012** on all mailing documents.

The contractor must provide the copies to SSA's Printing Management via e-mail within 72 hours of being provided to USPS. All copies must be legible and include both obverse and reverse side and should be sent to: Social Security Administration (SSA), Printing Management, (Exhibit K). The contractor is to supply a daily report for each mailing showing the number of notices printed, folded, inserted, and delivered to the post office. These reports are to begin on the day of printing and continue daily until the end of the term of the contract. Report is to be e-mailed to SSA (see Exhibit K).

All expenses incidental to returning materials, submitting proofs, and furnishing sample copies must be borne by the contractor.

**PAYMENTS ON PURCHASE ORDER:** Processing vouchers for payment, FAX the completed invoice to GPO by utilizing the GPO barcode coversheet program application. Access the following hyperlink and follow the instructions as indicated:

<http://winapps.access.gpo.gov/fms/vouchers/barcode/instructions.html>.

One copy of billing payment voucher form 1034 for each print order showing amount of billing invoice must be sent within 10 days of delivery date to SSA, (Exhibit K).

Facsimile transmission should only be used when no samples are required with your invoice, otherwise payment will be held up while the invoice is returned to you for the required sample(s).

If mailed, all voucher packages and envelopes **MUST** be mailed to: COMPTROLLER-FMCE, Office of Financial Management, U.S. Government Printing Office, Washington, DC 20401.

**NOTE: Do not mail your invoice to any other GPO Procurement Office**

**SCHEDULE:** Adherence to this schedule must be maintained. Contractor must not start production of any job prior to receipt of the daily electronic task order.

Furnished material and proofs must be picked up from and delivered to: Social Security Administration (SSA), Printing Management, (Exhibit K).

The first task order for actual production will be issued in February 2015.

**SCHEDULE FOR PROOFS:**

The contractor must submit all proofs for envelopes within seven (7) workdays after receipt of furnished materials. Manuscript and camera copy must be returned with proofs.

The Government will approve, conditionally approve, or disapprove these proofs within five (5) workdays of the receipt thereof.

Submit revised proofs, if necessary due to author's alterations, within five (5) workdays after receipt of furnished material.

Revised proofs will be available for pickup within three (3) workdays.

**SCHEDULE FOR PRIOR TO PRODUCTION TESTS:**

Prior to receiving wire transmission of live production data files, the contractor will be required to perform the following tests: (The wire transmission test will begin after the Government is notified of the availability of the system.)

- 1) **Pre-Production Validation Test:** Within five (5) workdays after Government approval of proofs and prior to the Pre-Production Press and Mail Run test, the contractor is required to perform a Pre-Production Validation Test. The contractor must furnish SSA a total of 75 printed samples of each notices twenty five (25) to SSA, Printing Management, (Exhibit K) and **fifty (50)** printed samples to Wilkes-Barre Data Operations Center, Attn: Andrea Moore, 1150 East Mountain Drive, Room 341, Wilkes Barre, PA 18702-7997; from the test files furnished shortly after the post award conference. The Government will approve, conditionally approve or disapprove the samples from the Pre-Production Validation Test within 10 workdays of receipt thereof. (See **PREPRODUCTION VALIDATION TEST**).
- 2) **Programming a New Notice or Notice Change/Signature Validation Test/New and Existing Notice Files Validation Test** –When required, the Government will furnish test files for wire transmission that are to be used performing a Systems Change Validation Test. This test is required whenever SSA initiates a systems/programming change. When required, the contractor will furnish up to 75 printed samples (no envelopes or enclosures) These samples should be furnished to the same above addresses for approval. The Government will approve, conditionally approve or disapprove the samples within seven (7) workdays of receipt thereof.
- 3) **Pre-Production Press and Mail Run Test:** The Contractor will be required to perform a 12-hour press and mail run test on their equipment and using their personnel, within five (5) workdays after Government approval of validation test samples and after the contractor receives the materials necessary to perform the test. The contractor will be required to print and prepare for mailing 61,654 notices. The mailers will be produced in accordance with all contract specifications and USPS regulations. (See “**PRODUCTION PRESS AND MAIL RUN TEST**”).
- 4) **Wire Transmission Test:** The contractor will be required to receive within one workday 208,040 notices (multiple pages). The contractor will be required to perform a Record Count Verification within one workday after the complete transmission of the test file. The contractor will be required to copy the files to their own system and provide SSA’s Printing Management (Exhibit K) with the exact counts received (broken down by

dataset name) before proceeding with any other processing. SSA will respond immediately for verification. When the Record Count Verification has been successfully completed, the contractor will be required to provide SSA, Printing Management, (Exhibit K) within two workdays, 75 samples from the Wire Transmission Test. (**See “WIRE TRANSMISSION TEST”**).

- 5) **eRPA Payment Stub Validation Test:** Within ten (5) workdays after receipt of test files and prior to the Preproduction Press and Mail Run Test, the contractor will be required to perform the eRPA Daily Notice Payment Stub Validation Test.

**PAYMENT STUB NOTICES:** Daily eRPA files will contain notices requiring a micro-perforated payment stub page with an alpha-numeric scanline. The micro-perforation on the payment stub page shall be located 3-1/2” (plus or minus 1/16”) up from the bottom of the page and run along the entire 8-1/2” dimension. The alpha-numeric scanline shall be printed using the OCR-A font. The payment stub page (full 8-1/2 x 11” leaf) is part of the notice itself and will be electronically transmitted.

***NOTE:** The payment stub portion (i.e., the portion below the micro-perforation), once detached, will be scanned. It is critical that the bottom of the OCR-A scanline shall be 1/2” from the bottom of the payment stub page and that, when reading from the right, the first encodable character is encountered at least 1/4” but no more than 5/16” (plus or minus 1/16”) from the right leading edge of the payment stub. The payment stub produced requires precision spacing, printing, and trimming and must be guaranteed to function properly when processed through the current High Speed scanning equipment owned by SSA. A form is a reject when its OCR print cannot be correctly deciphered on the first pass through the specified reading equipment.*

**NOTE: Contractor must notify GPO of the date and time the preproduction press/mail-run test will be performed. In order for proper arrangements to be made, notification must be given at least three (3) workdays prior to all tests.**

The contractor will be required to have all material necessary to perform these tests. Government representatives will witness all phases of the Preproduction Press and Mail Run Test. The contractor must produce a sufficient amount of notices that will prove to the Government representatives that the contractor can satisfactorily complete the requirements of this contract during live production.

**NOTE: Failure of the contractor to perform any of the above tests satisfactorily may be cause for default. The Government reserves the right to waive the requirements of these tests. The contractor will be notified at the Postaward Conference if any test(s) will be waived.**

**PRODUCTION SCHEDULE:** Adherence to this schedule must be maintained. Contractor must not start production of any job prior to receipt of the daily electronic task order and verification of counts from same.

Workday – The term “workday” is defined as Monday through Friday\* each week, excluding of the days on which Federal Government holidays are observed. Also excluded are those days on which the Government Printing Office is not open for the transaction of business, such days of national mourning, hazardous weather, etc.

Federal Government Holidays are as follows: New Year’s Day, Martin Luther King’s Birthday, President’s Day, Memorial Day, Independence Day, Labor Day, Columbus Day, Veterans Day, Thanksgiving Day, and Christmas Day.

*\*NOTE: The contractor’s FTMS software must be operational for the receipt of data files 24 hours a day, seven (7) days a week, unless otherwise specified by the Government. (See “FILE TRANSFER MANAGEMENT SYSTEM (FTMS) REQUIREMENTS” for additional information).*

Live production files will be transmitted on a daily basis Monday through Saturday for the for, BEVE and eRPA notices, except for Federal holidays in which case the data will be transmitted on the next day (i.e., when a Federal holiday falls on a Friday, production files will be transmitted on Saturday).

**NOTE: Contractor must not proceed with processing a transmission until counts are verified against the task order. If a discrepancy is found, the contractor must call SSA’s Scheduling Helpline immediately at 410-966-5469.**

**REGULAR SCHEDULE:**

**EAD and YCER:** Complete production and mailing must be made within 7 workdays after receipt of each complete wire transmission.

**BEVE and eRPA:** Complete production and mailing must be made within 3 workdays after receipt of each complete wire transmission (e.g., transmissions received on Monday must be mailed by close of business the following Thursday, transmissions received on Saturday must be mailed by the close of business Wednesday).

New Notices (mailer X): Complete production and mailing must be made on these notices within 3 to 7 workdays after receipt of each complete wire transmission as specified by the Government; e.g., transmissions received on Monday must be mailed by close of business the following Monday, transmissions received on Saturday, must be mailed by close of business Friday.

**ACCELERATED PRODUCTION SCHEDULE:**

**DAILY MAILERS EXCEEDING ESTIMATED QUANTITIES:** When the number of mailers exceeds the maximum estimated total daily or weekly mailers combined for EAD, YCER, BEVE, and eRPA by up to an additional 25%, the Contractor will receive a 15% Premium Payment for extra mailers. The Premium payment shall apply to all Schedule of Prices except Item III. PAPER and must be documented on the vouchers for payment. No additional time will be allowed for the mailing of these notices. **Failure of the contractor to meet the Accelerated Production Schedule will result in forfeiture of the Premium Payment.**

Sample copies of notices and envelopes (with first order or whenever SSA makes a significant change) delivered on regular or accelerated schedules must be delivered to SSA within 10 workdays after completion of the order. (See "DISTRIBUTION" on page 36 for details.)

**PRODUCTION AND PRESS SHEET INSPECTION:**

The contractor must notify the GPO of the date and time that production inspections can be performed. In order for proper arrangements to be made, notification must be given at least 72 hours in advance. Notify the U.S. Government Printing Office, Contract Administrator, telephone area code (202) 512-0310. Telephone calls will only be accepted between the hours of 8:00 am and 2:00 pm, prevailing Eastern Time. Note: See contract clauses, paragraph 14(e) (1), Inspections and Tests of GPO Contract Terms (GPO Publication 310.2, effective December 1, 1987 (Rev. 6/01)). When supplies are not ready at the time specified by the contractor for inspection, the Contracting Officer may charge to the contractor the additional cost of the inspection.

NOTE: If the backup facility is used for the production of these notices, the Government will require a press sheet inspection. Prior to production, notification must be given at least 72 hours in advance of startup.

Unscheduled material such as shipping documents, receipts or instructions, delivery lists, and labels will be furnished with the order or shortly thereafter. In the event such information is not received in due time, the contractor will not be relieved of any responsibility in meeting the shipping schedule because of failure to request such information.

Upon completion of each order, the contractor is to notify the U.S. Government Printing Office of the date of shipment (or delivery, if applicable). Call (202) 512-0520; callers outside the Washington, DC area may call toll free 800-424-9470 or 800-424-9471.

### SECTION 3. - DETERMINATION OF AWARD

The Government will determine the lowest bid by applying the prices offered in the "**Schedule of Prices**" to the following units of production which are the estimated requirements to produce the first year's under this contract. These units do not constitute, nor are they to be construed as, a guarantee of the volume of work which may be ordered under this contract for a like period of time.

The following item designations correspond to those listed in the "**Schedule of Prices**".

I. (a) 9

II. (a) 250

(b) 6,039

(c) 4,315

(d) 1,489

(e) 57

(f) 1

III. (a) 6,039

(b) 4,315

(c) 1,489

(d) 57

(e) 1

IV. (a) 9

V. (a) 4,315

VI. (a) 1

(b) 1

(c) 1

SECTION 4.- SCHEDULE OF PRICES

Bids offered are f.o.b. destination to Baltimore, Maryland and f.o.b. contractor's city for all mailing.

Bidder must make an entry in each of the spaces provided. Bids submitted with any obliteration, revision, or alteration of the order and manner of submitting bids may be declared nonresponsive.

An entry of NC (No Charge) must be entered if bidder intends to furnish individual items at no charge to the Government.

Bids submitted with NB (No Bid) or blank spaces for an item may be declared nonresponsive.

The Contracting Officer reserves the right to reject any offer that contains prices for individual items of production (whether or not such items are included in the Determination of Award) that are inconsistent or unrealistic in regard to other prices in the same offer or to GPO prices for the same operation if such action would be in the best interest of the Government.

Prices must be submitted for the entire term of the contract and bids qualified for a lesser period will not be considered.

Fractional parts of 1,000 will be prorated at the per 1,000 rate.

Cost of all required paper must be charged under Item III. "PAPER".

**I. COMPOSITION:** Prices offered must be all-inclusive, and must include the cost of all operations, proofs, films and plates if required in accordance with the terms of these specifications for each of the 9 envelopes.

(a) Envelopes..... per envelope .....\$ \_\_\_\_\_

**II. PRINTING/IMAGING and BINDING:** Prices offered must be all-inclusive and include the cost of all proofs, materials and operations necessary for the complete production of the product listed in accordance with these specifications.

(a) \*Daily Makeready/Setup Charge.....\$ \_\_\_\_\_

\*Contractor will be allowed only one (1) makeready/setup charge per workday (maximum 5 per print order). This combined charge shall include all materials and operations necessary to makeready and/or setup the contractor's equipment for all mailers run each day. Invoices submitted with more than one makeready/setup charge per workday will be disallowed.

(b) Leaves..... per 1,000 leaves.....\$ \_\_\_\_\_

(c) Mail-Out Envelope

(4-1/8 x 9-1/2") or (6-1/8 x 9-1/2") ..... per 1,000 envelopes.....\$ \_\_\_\_\_

(d) White BRM Envelope (5-3/4 x 8-3/4") ..... per 1,000 envelopes.....\$ \_\_\_\_\_

(e) White CRM Envelope (5-3/4 x 8-3/4") ..... per 1,000 envelopes.....\$ \_\_\_\_\_

(f) Green BRM Envelope (3-7/8 x 8-7/8") ..... per 1,000 envelopes.....\$ \_\_\_\_\_

\_\_\_\_\_  
Initials

**III. PAPER:** Payment for all paper supplied by the contractor under the terms of these specifications, as. The cost of any paper required for make-ready or running spoilage must be included in the prices offered ordered on the individual task order, will be based on the net number of leaves furnished for the product(s) ordered.

Computation of the net number of leaves will be based on the following:

<b>Personalized Notices:</b>	(8-1/2 x 11")	A charge will be allowed for each page-size leaf.
<b>Envelopes:</b>		
Mail-Out Envelopes:	(4-1/8 x 9-1/2")	One leaf will be allowed for each envelope.
Mail-Out Envelopes:	(6-1/8 x 9-1/2")	One leaf will be allowed for each envelope.
White BRM Return Envelope:	(5-3/4 x 8-3/4")	One leaf will be allowed for each envelope.
Green BRM Return Envelope:	(3-7/8 x 8-7/8")	One leaf will be allowed for each envelope.
White CRM Reply Envelope:	(5-3/4 x 8-3/4")	One leaf will be allowed for each envelope.

**PER**

**1,000 LEAVES**

- (a) Personalized Notices: White OCR Bond (20 lb.) .....\$ \_\_\_\_\_
- (b) Mail-Out Envelope: White Wove (24 lb.) or White Offset Book (60 lb.).....\$ \_\_\_\_\_
- (c) White BRM Envelope: White Wove (20 lb.) .....\$ \_\_\_\_\_
- (d) White CRM Envelope (5-3/4 x 8-3/4") .....\$ \_\_\_\_\_
- (e) Green BRM Envelope: Green Wove (20 lb.) .....\$ \_\_\_\_\_

**IV. PROCESSING/FORMATTING FILES:** The contractor will be allowed only one (1) charge per mailer for the term of the contract to process and/or format the Advanced Function Presentation (AFP) files, AFP Resources, and the Mail Run Data Files supplied necessary to print and mail the package.

- (a) Processing/Formatting Files ..... per Mailer .....\$ \_\_\_\_\_

\_\_\_\_\_  
Initials

**V. INSERTING AND MAILING:** Prices offered must include the cost of all required materials and operations necessary for the mailing of the notice(s) including cost of collating notice(s) (single or multiple leaves) in proper sequence and folding to required size in accordance with these specifications, insertion of notice(s) and reply envelope (if required) into mail-out envelope and mailing in accordance with these specifications.

**PER**

**1,000 MAILERS**

(a) All Mailers : Inserting of required materials for each mailer .....\$ \_\_\_\_\_

**VI. PREPRODUCTION TESTS:** Price offered must include all costs incurred in performing the three (3) tests. Pre-Production Validation Tests or Systems Change/ New Notice File Validation, Daily Notice Payment Stub Validation Test, Wire Transmission Test, as specified in these specifications. These costs shall cover but are not limited to: machine time, personnel, all required materials, wire transmissions, films, plates, paper, printing, imaging, collating, inserting, mail preparation, and any other operations necessary to produce the required quantities of the product in the time specified and in accordance with specifications.

(a) Wire Transmission Test.....\$ \_\_\_\_\_

(b) Pre-Production Validation Tests or Systems Change / New Notice File Validation.....\$ \_\_\_\_\_

(c) Daily Notice Payment Stub Validation Test.....\$ \_\_\_\_\_

**INSTRUCTIONS FOR BID SUBMISSION:** Fill out “Section 4.- Schedule of Prices,” initialing or signing each page in the space(s) provided. Submit two copies (original and one exact duplicate) of the "Schedule of Prices" with two copies of the GPO Form 910, "BID" form. Do not enter bid prices on GPO Form 910; prices entered in the "Schedule of Prices" will prevail.

Bidder \_\_\_\_\_

(City - State)

By \_\_\_\_\_

(Signature and title of person authorized to sign this bid)

(Person to be contacted)

(Telephone Number)



----- Contractor Employee	----- Date

----- Contractor Employee	----- Date

## Exhibit B

### 0401 – Security and Suitability Requirements (JUNE 2011)

a. Acronyms and Definitions

- **Access to a facility, site, system, or information** means physical access to any Social Security Administration (SSA) facility or site, logical access to any SSA information system, or access to programmatic or sensitive information.
- **CO** - Contracting Officer
- **Contractor** – In this clause, this term means any entity that has a relationship with SSA because of this contract. This term includes, but is not limited to, corporations, limited liability partnerships, and individuals.
- **CPOC** – Company Point of Contact as specified by the contract
- **CPSPM** – Center for Personnel Security and Project Management
- **COTR** – Contracting Officer’s Technical Representative
- **Contractor Employee** – In this clause, this term means a person hired by an SSA contractor to provide services in exchange for compensation.
- **PIV** – Personal Identity Verification
- **Subcontractor** – In this clause, this term means any entity that has a relationship with SSA’s contractor because of this contract. This term includes, but is not limited to, corporations, limited liability partnerships, and individuals.
- **Subcontractor Employee** - In this clause, this term means a person hired by a subcontractor to provide services in exchange for compensation.
- **eQIP** - Electronic Questionnaire for Investigations Processing

b. Purpose

This clause provides SSA’s policies and procedures concerning the conduct of background investigations (i.e. suitability determinations). The purpose of these investigations is to determine the suitability of contractors, contractor employees, subcontractors, and subcontractor employees who need access to an SSA facility, site, system, or information. If applicable, the clause also describes the process to obtain a PIV credential.

c. PIV Credentials

A PIV credential will be required for:

- Any contractor, contractor employee, subcontractor, or subcontractor employee requiring access to a SSA information system or routine, unescorted access to a SSA facility or site for a period of six months or more. (See Paragraph k. for more information.)

A PIV credential will not be required for:

- Any contractor, contractor employee, subcontractor, or subcontractor employee requiring escorted access to a SSA facility or site for less than six months.
- Any contractor, contractor employee, subcontractor, or subcontractor employee requiring infrequent escorted access to a SSA facility or site, even if the access may be longer than six months. For example, contractors or contractor employees who provide infrequent facilities/equipment maintenance or repair, conduct onsite shredding, etc.

Please Note: A background investigation is required any time a contractor, contractor employee, subcontractor, or subcontractor employee requires any type of access to a facility, site, system, or information regardless of whether a credential is required or not.

The contractor is required to include the substance of this clause in any subcontract where subcontractors and subcontractor employees will have similar access as described in the preceding paragraphs. However, the contractor is responsible for obtaining all of the required forms (see paragraphs g-i) from its subcontractors and the subcontractors' employees, reviewing these forms, and submitting them to SSA. Subcontractors and subcontractors' employees shall not submit forms directly to SSA.

d. Authorities

- [Homeland Security Presidential Directive 12](#)
- [Office of Management and Budget Memorandum M-05-24](#)
- [The Crime Control Act of 1990, Public Law 101-647](#), subtitle E, as amended by Public Law 102-190 (for childcare center security requirements)
- [Executive Orders 10450](#) and [12968](#) and Title 5, Code of Federal Regulations (CFR), Parts [731](#), [732](#) and [736](#) (for positions assigned a "National Security" designation)

e. Background Investigation and Adjudication Process

The background investigation and adjudication processes are compliant with 5 CFR 731.

f. Listing of Applicants

Upon award, the CPOC will provide to SSA an applicant listing of **all** individuals for whom the contractor is requesting a suitability determination (i.e., background investigation). This listing should include the contractor's name, the contract number, the CPOC's name, the CPOC's contact information, each applicant's full name, each applicant's Social Security number (SSN), each applicant's date of birth, and each applicant's place of birth (must show city and state if born in the United States (U.S.) OR city and country if born outside of the U.S.). The background investigation process does not start until the CPOC submits this applicant listing; therefore, the CPOC should submit the listing as soon as practical after award.

Submit the applicant listing via U.S. Mail to the address located in paragraph i. OR via fax to 410-966-0640.

g. Required Forms

1) eQIP

SSA will initiate the eQIP process using the applicant listing provided by the CPOC. SSA will email notification to the CPOC that each applicant has been invited into the eQIP website to electronically complete their background investigation form. The CPOC will provide the website to the applicants to complete their eQIP form. The applicant will have up to seven (7) calendar days to complete the eQIP form. The seven-day timeframe begins once SSA notifies the CPOC of the eQIP invitation(s). The applicant must print the signature pages of the form (pages 5 and 6 for Standard Form (SF) 85; pages 7-9 for SF 85P), sign the signature pages, and then provide the signed originals to the CPOC.

2) Paper Forms

- **Two (2) Field Division-258 charts, *Applicant Fingerprint Chart*** (The CO will provide the FD-258 charts at the time of contract award.)  
NOTE: The contractor will be responsible for obtaining and providing acceptable fingerprints for use by SSA. Regardless of the method used to fingerprint contractors, contractor employees, subcontractors, or subcontractor employees, (electronic capture or ink) the only acceptable fingerprint chart is the FD-258.
- **Optional Form 306, *Declaration for Federal Employment***  
<http://www.opm.gov/forms/html/of.asp>
- **Fair Credit Reporting Act Authorization Form**  
[Federal Investigations Notice: 98-02](#)
- **Original signed and dated eQIP Signature Pages** (See paragraph g.1 above)
- **If the contractor, contractor employee, subcontractor or subcontractor employee is not a U.S. Citizen**, the individual must

provide SSA with a legible photocopy of his or her work authorization permit and Social Security card.

h. Forms Completion

The CPOC must ensure **all paper forms are fully completed and signed prior to submission to SSA.** The fingerprint charts and all paper forms must be legible or typed in black ink and all signatures must be in black ink. There must be no “breaks” in residences or employment. SSA requires complete addresses, including zip codes and phone numbers. SSA must receive forms within 30 days of signature and date.

SSA will return forms not fully completed to the CPOC. To ensure the forms are completed correctly, obtain a sample of a properly completed form at the following website:

[http://www.ssa.gov/oag/acq/Sample\\_Security\\_Requirement\\_Docs%20.pdf](http://www.ssa.gov/oag/acq/Sample_Security_Requirement_Docs%20.pdf).

Access information related to the eQIP process at: [e-QIP - Quick Reference Guide for the Applicant](#).

i. Forms Submission

The CPOC shall submit **one cover sheet** to SSA containing the names of all of the individuals for whom the contractor is submitting completed paperwork. This cover sheet should include the contract number, each applicant’s full name, each applicant’s SSN, each applicant’s date of birth, and each applicant’s place of birth. Submit this cover sheet along with the completed paper forms and two FD-258 fingerprint charts for each applicant to:

SSA  
CPSPM Suitability Team  
6401 Security Boulevard  
Room 1260 Dunleavy Building  
Baltimore, MD 21235

**Simultaneously, the CPOC must submit a copy of the cover sheet ONLY to the COTR.**

The CPOC must submit the paper forms **at least 15 days prior to the date work is to begin**. For new contract employees, subcontractors, or subcontract employees (i.e., those who had not previously received a suitability determination under this contract) who will need access to a SSA facility, site, information, or system, the contractor must submit these forms at least 15 days prior to beginning work under the contract.

j. Suitability Determination

A Federal Bureau of Investigation fingerprint check will be used as part of the basis for making a suitability determination. This determination is final unless information obtained during the remainder of the full background investigation,

conducted by the Office of Personnel Management, is such that SSA would find the individual unsuitable to continue performing under this contract. CPSPM will notify the CPOC, COTR, and CO of the results of these determinations.

No contractor, contractor employee, subcontractor, or subcontractor employee will be allowed access to a SSA facility, site, information, or system until CPSPM has issued a favorable suitability determination for that contractor, contractor employee, subcontractor, or subcontractor employee.

A contractor is not entitled to an equitable adjustment of the contract because of an unfavorable suitability determination(s). Additionally, if SSA determines that the number or percentage of unfavorable determinations make successful contract performance unlikely, SSA may terminate the contract for cause or default.

The contractor must notify the contractor employee, subcontractor, or subcontractor employee of any unsuitable determinations as soon as possible after receipt of such a determination (see paragraph p., below, for an explanation of the appeals process).

k. Obtaining a Credential

**Note:** This section applies only if the contractor, contractor employee, subcontractor, or subcontractor employee will have access to a facility, site, system, or information as described in the first bullet of paragraph c.

Once the contractor, contractor employee, subcontractor, or subcontract employee receives notification of an acceptable suitability determination, but prior to beginning work under the contract, the contractor, contractor employee, subcontractor, or subcontract employee must appear at the respective Regional Security Office or at SSA Headquarters Parking and Credentialing Office to begin the credentialing process. The contractor, contractor employee, subcontractor, or subcontract employee must present the suitability determination letter and two forms of identification at this meeting. At least one of the forms of identification must be a Government-issued photo identification (ID) (please see [Employment Eligibility Verification, I-9](#), for acceptable forms of ID). For SSA Headquarters access, a completed Form SSA-4395, Application for Access to SSA Facilities, signed by the contractor, contractor employee, subcontractor, or subcontract employee and the COTR is also required. The COTR will provide the SSA-4395 Form to the contractor, contractor employee, subcontractor, or subcontract employee when applicable.

The contractor must contact the COTR to arrange for credentialing. The COTR is responsible for scheduling an appointment for contractors, contractor employees, subcontractors, or subcontract employees to meet with the appropriate SSA Parking and Credentialing Office or Regional Security Office and obtain a credential. Once the COTR makes the appointment, the COTR must contact the contractor to inform the contractor of the credentialing appointment(s). The

COTR must also arrange for the contractor, contractor employees, subcontractors, or subcontract employees to be escorted (by either the COTR or a COTR's representative) to the appropriate credentialing office at the time of this appointment.

Credentialing appointments last approximately 15 minutes. Depending on a contractor's scheduling needs and availabilities, contractor employees, subcontractors, or subcontract employees may be scheduled for credentialing all in one day (this process may take a few hours to complete, depending on the number of employees that need to be credentialed) or contractor employees, subcontractors, or subcontract employees may come in at separate times convenient to the individuals' and the COTR's schedules.

SSA Headquarters' Parking and Credentialing Office representatives can be reached by emailing [Parking.and.Credentialing@ssa.gov](mailto:Parking.and.Credentialing@ssa.gov) or calling 410/965-5910.

Regional Security Office contact information can be found in the Appendix at the end of this clause.

l. Contractors, Contractor Employees, Subcontractors, or Subcontract Employees Previously Cleared by SSA or Another Federal Agency

If a contractor, contractor employee, subcontractor, or subcontract employee previously received a suitability determination from SSA or another Federal agency, the CPOC should include this information next to the individual's name on the initial applicant listing (see paragraph f.). CPSPM will review the information. If CPSPM determines another suitability determination is not required, it will provide a letter to the CPOC and COTR indicating the contractor, contractor employee, subcontractor, or subcontract employee was previously cleared under another Federal contract and does not need to go through the suitability determination process again.

m. Contractor Notification to Government

The contractor shall notify the COTR and CPSPM within one business day if the contractor, contractor employee, subcontractor, or subcontract employee is arrested or charged with a crime during the term of this contract, or if there is any other change in the status of the contractor, contractor employee, subcontractor, or subcontract employee (e.g., the contractor employee leaves the company; the contractor employee no longer works under the contract; the alien status of the contractor, contractor employee, subcontractor, or subcontract employee changes) that could affect the suitability determination for that individual. The contractor must provide in that notification as much detail as possible, including, but not limited to: name(s) of individual whose status has changed, contract number, the type of charge(s), if applicable, the court date, and, if available, the disposition of the charge(s).

n. Contractor Return of PIV Credential

The contractor must account for and ensure that all forms of Government-provided identification (PIV credential) issued to a contractor, contractor employee, subcontractor, or subcontract employee under this contract are returned to SSA's Headquarters' Parking and Credentialing Office or Regional Security Office, as appropriate, as soon as any of the following occur: when no longer needed for contract performance; upon completion of a contractor's, contractor employee's, subcontractor's, or subcontract employee's employment; or upon contract completion or termination.

o. Government Control

The Government has full control over and may grant, deny, or withhold access to a facility, site, system, or information and may remove contractors, or require the contractor to remove contractor employees, subcontractors, or require the subcontractor to remove subcontractor employees from performing under the contract for reasons related to conduct even after the individual has been found suitable to work on the contract (see paragraph q. below).

p. Appeals Process for Unsuitable Determinations

If a contractor, contractor employee, subcontractor, or subcontract employee would like clarification or wishes to appeal an unsuitable determination, his/her request must be in writing and submitted within 30 days of the date of the unsuitable determination. The contractor may not file appeals on behalf of its employees, subcontractors, or subcontract employees; rather, contractor employees, subcontractors, or subcontract employees must file their own individual appeals.

The request for clarification and/or the appeal can be emailed to SSA at [dchr.ope.hspd12appeals@ssa.gov](mailto:dchr.ope.hspd12appeals@ssa.gov), or mailed to:

Social Security Administration  
Attn: CPSPM Suitability Program Officer  
6401 Security Boulevard  
Room 1260 Dunleavy Building  
Baltimore, MD 21235

q. Removal From Duty

SSA may remove a contractor, or request that the contractor immediately remove or cause to be removed any contractor employee, subcontractor, or subcontract employee from working under the contract based on conduct that occurs after a favorable suitability determination. This includes temporarily removing a contract employee, subcontractor, or subcontract employee should the individual be arrested for a violation of law pending the outcome of any judicial proceedings. The contractor must comply with these requests to remove or cause to have removed any contractor employee, subcontractor, or subcontract

employee. The Government's determination may be made based on, but not limited to, incidents involving the misconduct or delinquency as set forth below:

- i. Violation of the Rules and Regulations Governing Public Buildings and Grounds, 41 CFR 101-20.3. This includes any local badging requirements.
- ii. Neglect of duty, including sleeping while on duty; unreasonable delays or failure to carry out assigned tasks; conducting personal affairs while on duty; and refusing to cooperate in upholding the integrity of SSA's security program.
- iii. Falsification or unlawful concealment, removal, mutilation, or destruction of any official documents or records, or concealment of material facts by willful omissions from official documents or records.
- iv. Disorderly conduct, use of abusive or offensive language, quarreling, intimidation by words or actions, or fighting. Also, participating in disruptive activities that interfere with the normal and efficient operations of the Government.
- v. Theft, vandalism, or any other criminal actions.
- vi. Selling, consuming, possessing, or being under the influence of intoxicants, drugs, or substances that produce similar effects.
- vii. Improper use of official authority or credentials.
- viii. Unauthorized use of communications equipment or Government property.
- ix. Misuse of weapon(s) or tools used in the performance of the contract.
- x. Unauthorized access to areas not required for the performance of the contract.
- xi. Unauthorized access to employees' personal property.
- xii. Violation of security procedures or regulations.
- xiii. Prior determination by SSA or other Federal agency that a contractor, contractor employee, subcontractor, or subcontract employee was unsuitable.
- xiv. Unauthorized access to, or disclosure of, agency programmatic or sensitive information, or Internal Revenue Service Tax Return information.
- xv. Unauthorized access to an agency Automated Information System.

- xvi. Unauthorized access of information for personal gain (including, but not limited to, monetary gain), or with malicious intent.
- xvii. Not providing for the confidentiality of and protection from disclosure of information entrusted to them. Certain provisions of the following statutes and regulations that apply to Federal employees also apply equally to contractors, contractor employees, subcontractors, and subcontract employees:
  - The Privacy Act of 1974
  - The Tax Reform Act of 1976 and the Taxpayer Browsing Protection Act of 1997
  - SSA regulation 1
  - The Computer Fraud and Abuse Act of 1986
  - Section 1106 of the Social Security Act
- xviii. Being under investigation by an appropriate authority for violating any of the above.

## **Appendix: Regional Security Offices**

### Regional Credentialing Contacts for Contractor Employees

#### *Region 1 – Boston*

Management and Operations Support, Lenny Nyren – 617-565-2840

#### *Region 2 – New York*

Center for Materiel Resources, Field Services Team, General Office – 212-264-2603

#### *Region 3 – Philadelphia*

Center for Materiel Resources, Building Management Team,  
General Office - 215-597-8201

#### *Region 4 – Atlanta*

Center for Security and Integrity, Coleman Wicks – 404-562-1252

#### *Region 5 – Chicago*

Management and Operations Support, Building Services Unit

Sharon Young – 312 575-4150

Evelyn Principe – 312 575-6342

Sofia Luna – 312 575-5762

Carlton Brown – 312 575-5957

Cassandra Murphy - 312 575-5067

#### *Region 6 – Dallas*

Center for Materiel Resources, Employee Relations, Veronica Drake – 214-767-2221

#### *Region 7 – Kansas City*

Center for Security Integrity, General Office Line – 816-936-5555

#### *Region 8 – Denver*

Center for Security and Integrity, Phil Mocon – 303-844-4016

#### *Region 9 - San Francisco*

Center for Security and Integrity, Cassandra Mapp - 510-970-4124

#### *Region 10 - Seattle*

Center for Security and Integrity

Lisa Steepleton - 206-615-2186

D'ette Day - 206-615-2149

# Questionnaire for Public Trust Positions

Follow instructions fully or we cannot process your form. Be sure to sign and date the certification statement on Page 7 and the release on Page 8. *If you have any questions, call the office that gave you the form.*

## Purpose of this Form

The U.S. Government conducts background investigations and reinvestigations to establish that applicants or incumbents either employed by the Government or working for the Government under contract, are suitable for the job and/or eligible for a public trust or sensitive position. Information from this form is used primarily as the basis for this investigation. Complete this form only after a conditional offer of employment has been made.

Giving us the information we ask for is voluntary. However, we may not be able to complete your investigation, or complete it in a timely manner, if you don't give us each item of information we request. This may affect your placement or employment prospects.

## Authority to Request this Information

The U.S. Government is authorized to ask for this information under Executive Orders 10450 and 10577, sections 3301 and 3302 of title 5, U.S. Code; and parts 5, 731, 732, and 736 of Title 5, Code of Federal Regulations.

Your Social Security number is needed to keep records accurate, because other people may have the same name and birth date. Executive Order 9397 also asks Federal agencies to use this number to help identify individuals in agency records.

## The Investigative Process

Background investigations are conducted using your responses on this form and on your Declaration for Federal Employment (OF 306) to develop information to show whether you are reliable, trustworthy, of good conduct and character, and loyal to the United States. The information that you provide on this form is confirmed during the investigation. Your current employer must be contacted as part of the investigation, even if you have previously indicated on applications or other forms that you do not want this.

In addition to the questions on this form, inquiry also is made about a person's adherence to security requirements, honesty and integrity, vulnerability to exploitation or coercion, falsification, misrepresentation, and any other behavior, activities, or associations that tend to show the person is not reliable, trustworthy, or loyal.

## Your Personal Interview

Some investigations will include an interview with you as a normal part of the investigative process. This provides you the opportunity to update, clarify, and explain information on your form more completely, which often helps to complete your investigation faster. It is important that the interview be conducted as soon as possible after you are contacted. Postponements will delay the processing of your investigation, and declining to be interviewed may result in your investigation being delayed or canceled.

You will be asked to bring identification with your picture on it, such as a valid State driver's license, to the interview. There are other documents you may be asked to bring to verify your identity as well.

These include documentation of any legal name change, Social Security card, and/or birth certificate.

You may also be asked to bring documents about information you provided on the form or other matters requiring specific attention. These matters include alien registration, delinquent loans or taxes, bankruptcy, judgments, liens, or other financial obligations, agreements involving child custody or support, alimony or property settlements, arrests, convictions, probation, and/or parole.

## Instructions for Completing this Form

1. Follow the instructions given to you by the person who gave you the form and any other clarifying instructions furnished by that person to assist you in completion of the form. Find out how many copies of the form you are to turn in. You must sign and date, in black ink, the original and each copy you submit.

2. Type or legibly print your answers in black ink (if your form is not legible, it will not be accepted). You may also be asked to submit your form in an approved electronic format.

3. All questions on this form must be answered. If no response is necessary or applicable, indicate this on the form (for example, enter "None" or "N/A"). If you find that you cannot report an exact date, approximate or estimate the date to the best of your ability and indicate this by marking "APPROX." or "EST."

4. Any changes that you make to this form after you sign it must be initialed and dated by you. Under certain limited circumstances, agencies may modify the form consistent with your intent.

5. You must use the State codes (abbreviations) listed on the back of this page when you fill out this form. Do not abbreviate the names of cities or foreign countries.

6. The 5-digit postal ZIP codes are needed to speed the processing of your investigation. The office that provided the form will assist you in completing the ZIP codes.

7. All telephone numbers must include area codes.

8. All dates provided on this form must be in Month/Day/Year or Month/Year format. Use numbers (1-12) to indicate months. For example, June 10, 1978, should be shown as 6/10/78.

9. Whenever "City (Country)" is shown in an address block, also provide in that block the name of the country when the address is outside the United States.

10. If you need additional space to list your residences or employments/self-employments/unemployments or education, you should use a continuation sheet, SF 86A. If additional space is needed to answer other items, use a blank piece of paper. Each blank piece of paper you use must contain **your name and Social Security Number at the top of the page.**

## Final Determination on Your Eligibility

Final determination on your eligibility for a public trust or sensitive position and your being granted a security clearance is the responsibility of the Office of Personnel Management or the Federal agency that requested your investigation. You may be provided the opportunity personally to explain, refute, or clarify any information before a final decision is made.

## Penalties for Inaccurate or False Statements

The U.S. Criminal Code (title 18, section 1001) provides that knowingly falsifying or concealing a material fact is a felony which may result in fines of up to \$10,000, and/or 5 years imprisonment, or both. In addition, Federal agencies generally fire, do not grant a security clearance, or disqualify individuals who have materially and deliberately falsified these forms, and this remains a part of the permanent record for future placements. Because the position for which you are being considered is one of public trust or is sensitive, your trustworthiness is a very important consideration in deciding your suitability for placement or retention in the position.

Your prospects of placement are better if you answer all questions truthfully and completely. You will have adequate opportunity to explain any information you give us on the form and to make your comments part of the record.

## Disclosure of Information

The information you give us is for the purpose of investigating you for a position; we will protect it from unauthorized disclosure. The collection, maintenance, and disclosure of background investigative information is governed by the Privacy Act. The agency which requested the investigation and the agency which conducted the investigation have published notices in the Federal Register describing the system of records in which your records will be maintained. You may obtain copies of the relevant notices from the person who gave you this form. The information on this form, and information we collect during an investigation may be disclosed without your consent as permitted by the Privacy Act (5 USC 552a(b)) and as follows:

## PRIVACY ACT ROUTINE USES

1. To the Department of Justice when: (a) the agency or any component thereof; or (b) any employee of the agency in his or her official capacity; or (c) any employee of the agency in his or her individual capacity where the Department of Justice has agreed to represent the employee; or (d) the United States Government, is a party to litigation or has interest in such litigation, and by careful review, the agency determines that the records are both relevant and necessary to the litigation and the use of such records by the Department of Justice is therefore deemed by the agency to be for a purpose that is compatible with the purpose for which the agency collected the records.
2. To a court or adjudicative body in a proceeding when: (a) the agency or any component thereof; or (b) any employee of the agency in his or her official capacity; or (c) any employee of the agency in his or her individual capacity where the Department of Justice has agreed to represent the employee; or (d) the United States Government is a party to litigation or has interest in such litigation, and by careful review, the agency determines that the records are both relevant and necessary to the litigation and the use of such records is therefore deemed by the agency to be for a purpose that is compatible with the purpose for which the agency collected the records.
3. Except as noted in Question 21, when a record on its face, or in conjunction with other records, indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute, particular program statute, regulation, rule, or order issued pursuant thereto, the relevant records may be disclosed to the appropriate Federal, foreign, State, local, tribal, or other public authority responsible for enforcing, investigating or prosecuting such violation or charged with enforcing or implementing the statute, rule, regulation, or order.
4. To any source or potential source from which information is requested in the course of an investigation concerning the hiring or retention of an employee or other personnel action, or the issuing or retention of a security clearance, contract, grant, license, or other benefit, to the extent necessary to identify the individual, inform the source of the nature and purpose of the investigation, and to identify the type of information requested.
5. To a Federal, State, local, foreign, tribal, or other public authority the fact that this system of records contains information relevant to the retention of an employee, or the retention of a security clearance, contract, license, grant, or other benefit. The other agency or licensing organization may then make a request supported by written consent of the individual for the entire record if it so chooses. No disclosure will be made unless the information has been determined to be sufficiently reliable to support a referral to another office within the agency or to another Federal agency for criminal, civil, administrative, personnel, or regulatory action.
6. To contractors, grantees, experts, consultants, or volunteers when necessary to perform a function or service related to this record for which they have been engaged. Such recipients shall be required to comply with the Privacy Act of 1974, as amended.
7. To the news media or the general public, factual information the disclosure of which would be in the public interest and which would not constitute an unwarranted invasion of personal privacy.
8. To a Federal, State, or local agency, or other appropriate entities or individuals, or through established liaison channels to selected foreign governments, in order to enable an intelligence agency to carry out its responsibilities under the National Security Act of 1947 as amended, the CIA Act of 1949 as amended, Executive Order 12333 or any successor order, applicable national security directives, or classified implementing procedures approved by the Attorney General and promulgated pursuant to such statutes, orders or directives.
9. To a Member of Congress or to a Congressional staff member in response to an inquiry of the Congressional office made at the written request of the constituent about whom the record is maintained.
10. To the National Archives and Records Administration for records management inspections conducted under 44 USC 2904 and 2906.
11. To the Office of Management and Budget when necessary to the review of private relief legislation.

## STATE CODES (ABBREVIATIONS)

Alabama	AL	Hawaii	HI	Massachusetts	MA	New Mexico	NM	South Dakota	SD
Alaska	AK	Idaho	ID	Michigan	MI	New York	NY	Tennessee	TN
Arizona	AZ	Illinois	IL	Minnesota	MN	North Carolina	NC	Texas	TX
Arkansas	AR	Indiana	IN	Mississippi	MS	North Dakota	ND	Utah	UT
California	CA	Iowa	IA	Missouri	MO	Ohio	OH	Vermont	VT
Colorado	CO	Kansas	KS	Montana	MT	Oklahoma	OK	Virginia	VA
Connecticut	CT	Kentucky	KY	Nebraska	NE	Oregon	OR	Washington	WA
Delaware	DE	Louisiana	LA	Nevada	NV	Pennsylvania	PA	West Virginia	WV
Florida	FL	Maine	ME	New Hampshire	NH	Rhode Island	RI	Wisconsin	WI
Georgia	GA	Maryland	MD	New Jersey	NJ	South Carolina	SC	Wyoming	WY
American Samoa Trust Territory	AS TT	District of Columbia Virgin Islands	DC VI	Guam	GU	Northern Marianas	CM	Puerto Rico	PR

## PUBLIC BURDEN INFORMATION

Public burden reporting for this collection of information is estimated to average 60 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to Reports and Forms Management Officer, U.S. Office of Personnel Management, 1900 E Street, N.W., Room CHP-500, Washington, D.C. 20415. Do not send your completed form to this address.

## QUESTIONNAIRE FOR PUBLIC TRUST POSITIONS

OPM USE ONLY	Codes	Case Number
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**Agency Use Only (Complete items A through P using instructions provided by USOPM)**

<b>A</b> Type of Investigation	<b>B</b> Extra Coverage	<b>C</b> Sensitivity/Risk Level	<b>D</b> Compu/ADP	<b>E</b> Nature of Action Code	<b>F</b> Date of Action	Month	Day	Year
<b>G</b> Geographic Location	<b>H</b> Position Code	<b>I</b> Position Title						
<b>J</b> SON	<b>K</b> Location of Official Personnel Folder	None NPRC At SON	Other Address			ZIP Code		
<b>L</b> SOI	<b>M</b> Location of Security Folder	None At SOI NPI	Other Address			ZIP Code		
<b>N</b> OPAC-ALC Number	<b>O</b> Accounting Data and/or Agency Case Number							
<b>P</b> Requesting Official	Name and Title		Signature		Telephone Number		Date	

**Persons completing this form should begin with the questions below.**

<b>1 FULL NAME</b> • If you have only initials in your name, use them and state (IO). • If you have no middle name, enter "NMN".	- If you are a "Jr.," "Sr.," "II," etc., enter this in the box after your middle name.					
<b>2 DATE OF BIRTH</b>						
Last Name	First Name	Middle Name	Jr., II, etc.	Month	Day	Year

<b>3 PLACE OF BIRTH</b> - Use the two letter code for the State. City	County	State	Country (if not in the United States)
<b>4 SOCIAL SECURITY NUMBER</b>			

**5 OTHER NAMES USED**

#1 Name	Month/Year	To	Month/Year	#3 Name	Month/Year	To	Month/Year
#2 Name	Month/Year	To	Month/Year	#4 Name	Month/Year	To	Month/Year

<b>6 OTHER IDENTIFYING INFORMATION</b>	Height (feet and inches)	Weight (pounds)	Hair Color	Eye Color	Sex (Mark one box)
					<input type="checkbox"/> Female <input type="checkbox"/> Male

<b>7 TELEPHONE NUMBERS</b>	Work (include Area Code and extension) Day ( ) Night ( )	Home (include Area Code) Day ( ) Night ( )
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<b>8 CITIZENSHIP</b>	<b>b</b> Your Mother's Maiden Name
<b>a</b> Mark the box at the right that reflects your current citizenship status, and follow its instructions.	
<input type="checkbox"/> I am a U.S. citizen or national by birth in the U.S. or U.S. territory/possession. Answer items b and d.	
<input type="checkbox"/> I am a U.S. citizen, but I was NOT born in the U.S. Answer items b, c and d.	
<input type="checkbox"/> I am not a U.S. citizen. Answer items b and e.	

**c UNITED STATES CITIZENSHIP** If you are a U.S. Citizen, but were not born in the U.S., provide information about one or more of the following proofs of your citizenship.

<b>Naturalization Certificate (Where were you naturalized?)</b>				
Court	City	State	Certificate Number	Month/Day/Year Issued
<b>Citizenship Certificate (Where was the certificate issued?)</b>				
City	State	Certificate Number	Month/Day/Year Issued	
<b>State Department Form 240 - Report of Birth Abroad of a Citizen of the United States</b>				
Give the date the form was prepared and give an explanation if needed.	Month/Day/Year	Explanation		
<b>U.S. Passport</b>				
This may be either a current or previous U.S. Passport			Passport Number	Month/Day/Year Issued

**d DUAL CITIZENSHIP** If you are (or were) a dual citizen of the United States and another country, provide the name of that country in the space to the right.

	Country
--	---------

**e ALIEN** If you are an alien, provide the following information:

Place You Entered the United States:	City	State	Date You Entered U.S.	Alien Registration Number	Country(ies) of Citizenship
			Month Day Year		

**9 WHERE YOU HAVE LIVED**

List the places where you have lived, beginning with the most recent (#1) and working back 7 years. All periods must be accounted for in your list. Be sure to indicate the actual physical location of your residence: do not use a post office box as an address, do not list a permanent address when you were actually living at a school address, etc. Be sure to specify your location as closely as possible: for example, do not list only your base or ship, list your barracks number or home port. You may omit temporary military duty locations under 90 days (list your permanent address instead), and you should use your APO/FPO address if you lived overseas.

For any address in the last 5 years, list a person who knew you at that address, and who preferably still lives in that area (do not list people for residences completely outside this 5-year period, and do not list your spouse, former spouses, or other relatives). Also for addresses in the last 5 years, if the address is "General Delivery," a Rural or Star Route, or may be difficult to locate, provide directions for locating the residence on an attached continuation sheet.

Month/Year <b>#1</b>	Month/Year To Present	Street Address	Apt. #	City (Country)	State	ZIP Code
Name of Person Who Knows You		Street Address	Apt. #	City (Country)	State	ZIP Code
Telephone Number ( )						
Month/Year <b>#2</b>	Month/Year To	Street Address	Apt. #	City (Country)	State	ZIP Code
Name of Person Who Knew You		Street Address	Apt. #	City (Country)	State	ZIP Code
Telephone Number ( )						
Month/Year <b>#3</b>	Month/Year To	Street Address	Apt. #	City (Country)	State	ZIP Code
Name of Person Who Knew You		Street Address	Apt. #	City (Country)	State	ZIP Code
Telephone Number ( )						
Month/Year <b>#4</b>	Month/Year To	Street Address	Apt. #	City (Country)	State	ZIP Code
Name of Person Who Knew You		Street Address	Apt. #	City (Country)	State	ZIP Code
Telephone Number ( )						
Month/Year <b>#5</b>	Month/Year To	Street Address	Apt. #	City (Country)	State	ZIP Code
Name of Person Who Knew You		Street Address	Apt. #	City (Country)	State	ZIP Code
Telephone Number ( )						

**10 WHERE YOU WENT TO SCHOOL**

List the schools you have attended, beyond Junior High School, **beginning with the most recent (#1) and working back 7 years**. List all College or University degrees and the dates they were received. If all of your education occurred more than 7 years ago, list your most recent education beyond high school, no matter when that education occurred.

Use one of the following codes in the "Code" block:

- 1 - High School
- 2 - College/University/Military College
- 3 - Vocational/Technical/Trade School

For schools you attended in the past 3 years, list a person who knew you at school (an instructor, student, etc.). Do not list people for education completely outside this 3-year period.

For correspondence schools and extension classes, provide the address where the records are maintained.

Month/Year <b>#1</b>	Month/Year To	Code	Name of School	Degree/Diploma/Other	Month/Year Awarded
Street Address and City (Country) of School				State	ZIP Code
Name of Person Who Knew You		Street Address	Apt. #	City (Country)	State
Telephone Number ( )		ZIP Code			
Month/Year <b>#2</b>	Month/Year To	Code	Name of School	Degree/Diploma/Other	Month/Year Awarded
Street Address and City (Country) of School				State	ZIP Code
Name of Person Who Knew You		Street Address	Apt. #	City (Country)	State
Telephone Number ( )		ZIP Code			
Month/Year <b>#3</b>	Month/Year To	Code	Name of School	Degree/Diploma/Other	Month/Year Awarded
Street Address and City (Country) of School				State	ZIP Code
Name of Person Who Knew You		Street Address	Apt. #	City (Country)	State
Telephone Number ( )		ZIP Code			

Enter your Social Security Number before going to the next page

**11 YOUR EMPLOYMENT ACTIVITIES**

List your employment activities, beginning with the present (#1) and working back 7 years. You should list all full-time work, part-time work, military service, temporary military duty locations over 90 days, self-employment, other paid work, and all periods of unemployment. The entire 7-year period must be accounted for without breaks, but you need not list employments before your 16th birthday.

● **Code.** Use one of the codes listed below to identify the type of employment:

- |                                   |   |  |           |
|-----------------------------------|---|--|-----------|
| 1 - Active military duty stations | 5 - State Government (Non-Federal employment)                               | 7 - Unemployment (Include name of person who can verify)     | 9 - Other |
| 2 - National Guard/Reserve        | 6 - Self-employment (Include business and/or name of person who can verify) | 8 - Federal Contractor (List Contractor, not Federal agency) |           |
| 3 - U.S.P.H.S. Commissioned Corps |   |  |           |
| 4 - Other Federal employment      |   |  |           |

● **Employer/Verifier Name.** List the business name of your employer or the name of the person who can verify your self-employment or unemployment in this block. If military service is being listed, include your duty location or home port here as well as your branch of service. You should provide separate listings to reflect changes in your military duty locations or home ports.

● **Previous Periods of Activity.** Complete these lines if you worked for an employer on more than one occasion at the same location. After entering the most recent period of employment in the initial numbered block, provide previous periods of employment at the same location on the additional lines provided. For example, if you worked at XY Plumbing in Denver, CO, during 3 separate periods of time, you would enter dates and information concerning the most recent period of employment first, and provide dates, position titles, and supervisors for the two previous periods of employment on the lines below that information.

Month/Year #1	Month/Year To	Month/Year Present	Code	Employer/Verifier Name/Military Duty Location	Your Position Title/Military Rank		
Employer's/Verifier's Street Address				City (Country)	State	ZIP Code	Telephone Number ( )
Street Address of Job Location (if different than Employer's Address)				City (Country)	State	ZIP Code	Telephone Number ( )
Supervisor's Name & Street Address (if different than Job Location)				City (Country)	State	ZIP Code	Telephone Number ( )
PREVIOUS PERIODS OF ACTIVITY (Block #1)	Month/Year	Month/Year		Position Title	Supervisor		
	To						
	Month/Year	Month/Year		Position Title	Supervisor		
To							
Month/Year	Month/Year			Position Title	Supervisor		
To							
Month/Year #2	Month/Year To		Code	Employer/Verifier Name/Military Duty Location	Your Position Title/Military Rank		
Employer's/Verifier's Street Address				City (Country)	State	ZIP Code	Telephone Number ( )
Street Address of Job Location (if different than Employer's Address)				City (Country)	State	ZIP Code	Telephone Number ( )
Supervisor's Name & Street Address (if different than Job Location)				City (Country)	State	ZIP Code	Telephone Number ( )
PREVIOUS PERIODS OF ACTIVITY (Block #2)	Month/Year	Month/Year		Position Title	Supervisor		
	To						
	Month/Year	Month/Year		Position Title	Supervisor		
To							
Month/Year	Month/Year			Position Title	Supervisor		
To							
Month/Year #3	Month/Year To		Code	Employer/Verifier Name/Military Duty Location	Your Position Title/Military Rank		
Employer's/Verifier's Street Address				City (Country)	State	ZIP Code	Telephone Number ( )
Street Address of Job Location (if different than Employer's Address)				City (Country)	State	ZIP Code	Telephone Number ( )
Supervisor's Name & Street Address (if different than Job Location)				City (Country)	State	ZIP Code	Telephone Number ( )
PREVIOUS PERIODS OF ACTIVITY (Block #3)	Month/Year	Month/Year		Position Title	Supervisor		
	To						
	Month/Year	Month/Year		Position Title	Supervisor		
To							
Month/Year	Month/Year			Position Title	Supervisor		
To							

Enter your Social Security Number before going to the next page

**YOUR EMPLOYMENT ACTIVITIES (CONTINUED)**

<b>#4</b>	Month/Year To	Month/Year	Code	Employer/Verifier Name/Military Duty Location	Your Position Title/Military Rank		
Employer's/Verifier's Street Address				City (Country)	State	ZIP Code	Telephone Number ( )
Street Address of Job Location (if different than Employer's Address)				City (Country)	State	ZIP Code	Telephone Number ( )
Supervisor's Name & Street Address (if different than Job Location)				City (Country)	State	ZIP Code	Telephone Number ( )
<b>PREVIOUS PERIODS OF ACTIVITY (Block #4)</b>	Month/Year To	Month/Year	Position Title		Supervisor		
	Month/Year To	Month/Year	Position Title		Supervisor		
	Month/Year To	Month/Year	Position Title		Supervisor		
<b>#5</b>	Month/Year To	Month/Year	Code	Employer/Verifier Name/Military Duty Location	Your Position Title/Military Rank		
Employer's/Verifier's Street Address				City (Country)	State	ZIP Code	Telephone Number ( )
Street Address of Job Location (if different than Employer's Address)				City (Country)	State	ZIP Code	Telephone Number ( )
Supervisor's Name & Street Address (if different than Job Location)				City (Country)	State	ZIP Code	Telephone Number ( )
<b>PREVIOUS PERIODS OF ACTIVITY (Block #5)</b>	Month/Year To	Month/Year	Position Title		Supervisor		
	Month/Year To	Month/Year	Position Title		Supervisor		
	Month/Year To	Month/Year	Position Title		Supervisor		
<b>#6</b>	Month/Year To	Month/Year	Code	Employer/Verifier Name/Military Duty Location	Your Position Title/Military Rank		
Employer's/Verifier's Street Address				City (Country)	State	ZIP Code	Telephone Number ( )
Street Address of Job Location (if different than Employer's Address)				City (Country)	State	ZIP Code	Telephone Number ( )
Supervisor's Name & Street Address (if different than Job Location)				City (Country)	State	ZIP Code	Telephone Number ( )
<b>PREVIOUS PERIODS OF ACTIVITY (Block #6)</b>	Month/Year To	Month/Year	Position Title		Supervisor		
	Month/Year To	Month/Year	Position Title		Supervisor		
	Month/Year To	Month/Year	Position Title		Supervisor		

**12 YOUR EMPLOYMENT RECORD**

Has any of the following happened to you in the last 7 years? If "Yes," begin with the most recent occurrence and go backward, providing date fired, quit, or left, and other information requested.

	Yes	No

Use the following codes and explain the reason your employment was ended:

- 1 - Fired from a job
- 2 - Quit a job after being told you'd be fired
- 3 - Left a job by mutual agreement following allegations of misconduct
- 4 - Left a job by mutual agreement following allegations of unsatisfactory performance
- 5 - Left a job for other reasons under unfavorable circumstances

Month/Year	Code	Specify Reason	Employer's Name and Address (Include city/Country if outside U.S.)	State	ZIP Code

Enter your Social Security Number before going to the next page →



<b>16 YOUR MILITARY HISTORY</b>	Yes	No
<b>a</b> Have you served in the United States military?		
<b>b</b> Have you served in the United States Merchant Marine?		

List all of your military service below, including service in Reserve, National Guard, and U.S. Merchant Marine. Start with the most recent period of service (#1) and work backward. If you had a break in service, each separate period should be listed.

•**Code.** Use one of the codes listed below to identify your branch of service:

1 - Air Force    2 - Army    3 - Navy    4 - Marine Corps    5 - Coast Guard    6 - Merchant Marine    7 - National Guard

•**O/E.** Mark "O" block for Officer or "E" block for Enlisted.

•**Status.** "X" the appropriate block for the status of your service during the time that you served. If your service was in the National Guard, do not use an "X"; use the two-letter code for the state to mark the block.

•**Country.** If your service was with other than the U.S. Armed Forces, identify the country for which you served.

Month/Year	Month/Year	Code	Service/Certificate No.	Status				Country
				O	E	Active	Active Reserve	
	To							
	To							

<b>17 YOUR SELECTIVE SERVICE RECORD</b>	Yes	No
<b>a</b> Are you a male born after December 31, 1959? If "No," go to 18. If "Yes," go to b.		
<b>b</b> Have you registered with the Selective Service System? If "Yes," provide your registration number. If "No," show the reason for your legal exemption below.		

Registration Number                      Legal Exemption Explanation

<b>18 YOUR INVESTIGATIONS RECORD</b>	Yes	No
<b>a</b> Has the United States Government ever investigated your background and/or granted you a security clearance? If "Yes," use the codes that follow to provide the requested information below. If "Yes," but you can't recall the investigating agency and/or the security clearance received, enter "Other" agency code or clearance code, as appropriate, and "Don't know" or "Don't recall" under the "Other Agency" heading, below. If your response is "No," or you don't know or can't recall if you were investigated and cleared, check the "No" box.		

<b>Codes for Investigating Agency</b> 1 - Defense Department                      4 - FBI 2 - State Department                        5 - Treasury Department 3 - Office of Personnel Management        6 - Other (Specify)	<b>Codes for Security Clearance Received</b> 0 - Not Required                                3 - Top Secret                                      6 - L 1 - Confidential                                4 - Sensitive Compartmented Information    7 - Other 2 - Secret                                        5 - Q
--	--

Month/Year	Agency Code	Other Agency	Clearance Code	Month/Year	Agency Code	Other Agency	Clearance Code

<b>b</b> To your knowledge, have you ever had a clearance or access authorization denied, suspended, or revoked, or have you ever been debarred from government employment? If "Yes," give date of action and agency. <b>Note:</b> An administrative downgrade or termination of a security clearance is not a revocation.	Yes	No
--	-----	----

Month/Year	Department or Agency Taking Action	Month/Year	Department or Agency Taking Action

<b>19 FOREIGN COUNTRIES YOU HAVE VISITED</b>	Yes	No
List foreign countries you have visited, except on travel under official Government orders, beginning with the most current (#1) and working back 7 years. (Travel as a dependent or contractor must be listed.)		
•Use one of these codes to indicate the purpose of your visit: 1 - Business    2 - Pleasure    3 - Education    4 - Other		
•Include short trips to Canada or Mexico. If you have lived near a border and have made short (one day or less) trips to the neighboring country, you do not need to list each trip. Instead, provide the time period, the code, the country, and a note ("Many Short Trips").		
•Do not repeat travel covered in items 9, 10, or 11.		

Month/Year	Month/Year	Code	Country	Month/Year	Month/Year	Code	Country
#1	To			#5	To		
#2	To			#6	To		
#3	To			#7	To		
#4	To			#8	To		

Enter your Social Security Number before going to the next page →

<b>20 YOUR POLICE RECORD</b> <i>(Do not include anything that happened before your 16th birthday.)</i>					Yes	No
In the last 7 years, have you been arrested for, charged with, or convicted of any offense(s)? (Leave out traffic fines of less than \$150.)						
If you answered "Yes," explain your answer(s) in the space provided.						
Month/Year	Offense	Action Taken	Law Enforcement Authority or Court <i>(City and county/country if outside the U.S.)</i>	State	ZIP Code	

<b>21 ILLEGAL DRUGS</b>				Yes	No
The following questions pertain to the illegal use of drugs or drug activity. You are required to answer the questions fully and truthfully, and your failure to do so could be grounds for an adverse employment decision or action against you, but neither your truthful responses nor information derived from your responses will be used as evidence against you in any subsequent criminal proceeding.					
<b>a</b> In the last year, have you <u>illegally</u> used any controlled substance, for example, marijuana, cocaine, crack cocaine, hashish, narcotics (opium, morphine, codeine, heroin, etc.), amphetamines, depressants (barbiturates, methaqualone, tranquilizers, etc.), hallucinogenics (LSD, PCP, etc.), or prescription drugs?					
<b>b</b> In the last 7 years, have you been involved in the illegal purchase, manufacture, trafficking, production, transfer, shipping, receiving, or sale of any narcotic, depressant, stimulant, hallucinogen, or cannabis, for your own intended profit or that of another?					
If you answered "Yes" to "a" above, provide information relating to the types of substance(s), the nature of the activity, and any other details relating to your involvement with illegal drugs. Include any treatment or counseling received.					
Month/Year	Month/Year	Controlled Substance/Prescription Drug Used	Number of Times Used		
	To				
	To				
	To				

<b>22 YOUR FINANCIAL RECORD</b>					Yes	No
<b>a</b> In the last 7 years, have you, or a company over which you exercised some control, filed for bankruptcy, been declared bankrupt, been subject to a tax lien, or had legal judgment rendered against you for a debt? If you answered "Yes," provide date of initial action and other information requested below.						
Month/Year	Type of Action	Name Action Occurred Under	Name/Address of Court or Agency Handling Case	State	ZIP Code	
<b>b</b> Are you now over 180 days delinquent on any loan or financial obligation? Include loans or obligations funded or guaranteed by the Federal Government.						
If you answered "Yes," provide the information requested below:						
Month/Year	Type of Loan or Obligation and Account #	Name/Address of Creditor or Oblige		State	ZIP Code	

After completing this form and any attachments, you should review your answers to all questions to make sure the form is complete and accurate, and then sign and date the following certification and sign and date the release on Page 8.

**Certification That My Answers Are True**

My statements on this form, and any attachments to it, are true, complete, and correct to the best of my knowledge and belief and are made in good faith. I understand that a knowing and willful false statement on this form can be punished by fine or imprisonment or both. (See section 1001 of title 18, United States Code).

Signature <i>(Sign in ink)</i>	Date

**Enter your Social Security Number before going to the next page**

## UNITED STATES OF AMERICA

### AUTHORIZATION FOR RELEASE OF INFORMATION

Carefully read this authorization to release information about you, then sign and date it in ink.

**I Authorize** any investigator, special agent, or other duly accredited representative of the authorized Federal agency conducting my background investigation, to obtain any information relating to my activities from individuals, schools, residential management agents, employers, criminal justice agencies, credit bureaus, consumer reporting agencies, collection agencies, retail business establishments, or other sources of information. This information may include, but is not limited to, my academic, residential, achievement, performance, attendance, disciplinary, employment history, criminal history record information, and financial and credit information. I authorize the Federal agency conducting my investigation to disclose the record of my background investigation to the requesting agency for the purpose of making a determination of suitability or eligibility for a security clearance.

**I Understand** that, for financial or lending institutions, medical institutions, hospitals, health care professionals, and other sources of information, a separate specific release will be needed, and I may be contacted for such a release at a later date. Where a separate release is requested for information relating to mental health treatment or counseling, the release will contain a list of the specific questions, relevant to the job description, which the doctor or therapist will be asked.

**I Further Authorize** any investigator, special agent, or other duly accredited representative of the U.S. Office of Personnel Management, the Federal Bureau of Investigation, the Department of Defense, the Defense Investigative Service, and any other authorized Federal agency, to request criminal record information about me from criminal justice agencies for the purpose of determining my eligibility for assignment to, or retention in a sensitive National Security position, in accordance with 5 U.S.C. 9101. I understand that I may request a copy of such records as may be available to me under the law.

**I Authorize** custodians of records and other sources of information pertaining to me to release such information upon request of the investigator, special agent, or other duly accredited representative of any Federal agency authorized above regardless of any previous agreement to the contrary.

**I Understand** that the information released by records custodians and sources of information is for official use by the Federal Government only for the purposes provided in this Standard Form 85P, and that it may be redisclosed by the Government only as authorized by law.

Copies of this authorization that show my signature are as valid as the original release signed by me. This authorization is valid for five (5) years from the date signed or upon the termination of my affiliation with the Federal Government, whichever is sooner.

Signature ( <i>Sign in ink</i> )	Full Name ( <i>Type or Print Legibly</i> )	Date Signed
Other Names Used		Social Security Number
Current Address ( <i>Street, City</i> )	State	ZIP Code
		Home Telephone Number ( <i>Include Area Code</i> ) (       )

## UNITED STATES OF AMERICA

### AUTHORIZATION FOR RELEASE OF MEDICAL INFORMATION

Carefully read this authorization to release information about you, then sign and date it in black ink.

#### Instructions for Completing this Release

This is a release for the investigator to ask your health practitioner(s) the three questions below concerning your mental health consultations. Your signature will allow the practitioner(s) to answer only these questions.

I am seeking assignment to or retention in a position of public trust with the Federal Government as a(n)

---

(Investigator instructed to write in position title.)

As part of the investigative process, **I hereby authorize** the investigator, special agent, or duly accredited representative of the authorized Federal agency conducting my background investigation, to obtain the following information relating to my mental health consultations:

Does the person under investigation have a condition or treatment that could impair his/her judgment or reliability?

If so, please describe the nature of the condition and the extent and duration of the impairment or treatment.

What is the prognosis?

I understand that the information released pursuant to this release is for use by the Federal Government only for purposes provided in the Standard Form 85P and that it may be redisclosed by the Government only as authorized by law.

Copies of this authorization that show my signature are as valid as the original release signed by me. This authorization is valid for 1 year from the date signed or upon termination of my affiliation with the Federal Government, whichever is sooner.

Signature ( <i>Sign in ink</i> )	Full Name ( <i>Type or Print Legibly</i> )	Date Signed
Other Names Used	Social Security Number	
Current Address ( <i>Street, City</i> )	State	ZIP Code
		Home Telephone Number ( <i>Include Area Code</i> ) (     )

## EXHIBIT D- Fingerprint Card

<b>APPLICANT</b>	LEAVE BLANK	TYPE OR PRINT ALL INFORMATION IN BLACK				FBI	LEAVE BLANK
		LAST NAME	FIRST NAME	MIDDLE NAME			
SIGNATURE OF PERSON FINGERPRINTED		ALIASES <b>AKA</b>		O R I			
RESIDENCE OF PERSON FINGERPRINTED					DATE OF BIRTH <b>DOB</b> Month Day Year		
SIGNATURE OF OFFICIAL TAKING FINGERPRINTS		CITIZENSHIP <b>CTP</b>	SEX <b>MA</b>	HAIR <b>BRN</b>	EYES <b>BLU</b>	PLACE OF BIRTH <b>POB</b>	
PHONE AND ADDRESS		YOUR NO. <b>OCA</b>	LEAVE BLANK				
		FBI NO. <b>FB</b>	CLASS _____				
		ARMED FORCES NO. <b>MNU</b>	REF. _____				
		SOCIAL SECURITY NO. <b>SOC</b>					
		MISCELLANEOUS NO. <b>MNU</b>					
1. THUMB	2. P. INDEX	3. P. MIDDLE	4. P. RING	5. P. LITTLE			
SAMPLE							
1. THUMB	2. P. INDEX	3. P. MIDDLE	4. P. RING	5. P. LITTLE			
LEFT FOUR FINGERS TAKEN SIMULTANEOUSLY		1. THUMB	2. THUMB	RIGHT FOUR FINGERS TAKEN SIMULTANEOUSLY			

# Declaration for Federal Employment

## Instructions

The information collected on this form is used to determine your acceptability for Federal and Federal contract employment and your enrollment status in the Government's Life Insurance program. You may be asked to complete this form at any time during the hiring process. Follow instructions that the agency provides. If you are selected, before you are appointed you will be asked to update your responses on this form and on other materials submitted during the application process and then to recertify that your answers are true.

All your answers must be truthful and complete. **A false statement on any part of this declaration or attached forms or sheets may be grounds for not hiring you, or for firing you after you begin work. Also, you may be punished by a fine or imprisonment (U.S. Code, title 18, section 1001).**

Either type your responses on this form or print clearly in dark ink. If you need additional space, attach letter-size sheets (8.5" X 11"). Include your name, Social Security Number, and item number on each sheet. We recommend that you keep a photocopy of your completed form for your records.

## Privacy Act Statement

The Office of Personnel Management is authorized to request this information under sections 1302, 3301, 3304, 3328, and 8716 of title 5, U. S. Code. Section 1104 of title 5 allows the Office of Personnel Management to delegate personnel management functions to other Federal agencies. If necessary, and usually in conjunction with another form or forms, this form may be used in conducting an investigation to determine your suitability or your ability to hold a security clearance, and it may be disclosed to authorized officials making similar, subsequent determinations.

Your Social Security Number (SSN) is needed to keep our records accurate, because other people may have the same name and birth date. Public Law 104-134 (April 26, 1996) asks Federal agencies to use this number to help identify individuals in agency records. Giving us your SSN or any other information is voluntary. However, if you do not give us your SSN or any other information requested, we cannot process your application. Incomplete addresses and ZIP Codes may also slow processing.

**ROUTINE USES:** Any disclosure of this record or information in this record is in accordance with routine uses found in System Notice OPM/GOVT-1, General Personnel Records. This system allows disclosure of information to: training facilities; organizations deciding claims for retirement, insurance, unemployment, or health benefits; officials in litigation or administrative proceedings where the Government is a party; law enforcement agencies concerning a violation of law or regulation; Federal agencies for statistical reports and studies; officials of labor organizations recognized by law in connection with representation of employees; Federal agencies or other sources requesting information for Federal agencies in connection with hiring or retaining, security clearance, security or suitability investigations, classifying jobs, contracting, or issuing licenses, grants, or other benefits; public and private organizations, including news media, which grant or publicize employee recognitions and awards; the Merit Systems Protection Board, the Office of Special Counsel, the Equal Employment Opportunity Commission, the Federal Labor Relations Authority, the National Archives and Records Administration, and Congressional offices in connection with their official functions; prospective non-Federal employers concerning tenure of employment, civil service status, length of service, and the date and nature of action for separation as shown on the SF 50 (or authorized exception) of a specifically identified individual; requesting organizations or individuals concerning the home address and other relevant information on those who might have contracted an illness or been exposed to a health hazard; authorized Federal and non-Federal agencies for use in computer matching; spouses or dependent children asking whether the employee has changed from a self-and-family to a self-only health benefits enrollment; individuals working on a contract, service, grant, cooperative agreement, or job for the Federal government; non-agency members of an agency's performance or other panel; and agency-appointed representatives of employees concerning information issued to the employees about fitness-for-duty or agency-filed disability retirement procedures.

## Public Burden Statement

Public burden reporting for this collection of information is estimated to vary from 5 to 30 minutes with an average of 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of the collection of information, including suggestions for reducing this burden, to the U.S. Office of Personnel Management, Reports and Forms Manager (3206-0182), Washington, DC 20415-7900. The OMB number, 3206-0182, is valid. OPM may not collect this information, and you are not required to respond, unless this number is displayed.

# Declaration for Federal Employment

Form Approved  
OMB No. 3206-0182

## GENERAL INFORMATION

1. FULL NAME (First, middle, last) ◆	2. SOCIAL SECURITY NUMBER ◆
3. PLACE OF BIRTH (Include city and state or country) ◆	4. DATE OF BIRTH (MM/DD/YYYY) ◆
5. OTHER NAMES EVER USED (For example, maiden name, nickname, etc) ◆ ◆	6. PHONE NUMBERS (Include area codes) Day ◆ Night ◆

## Selective Service Registration

If you are a male born after December 31, 1959, and are at least 18 years of age, civil service employment law (5 U.S.C. 3328) requires that you must register with the Selective Service System, unless you meet certain exemptions.

- 7a. Are you a male born after December 31, 1959?       YES       NO      *If "NO" skip 7b and 7c. If "YES" go to 7b.*
- 7b. Have you registered with the Selective Service System?       YES       NO      *If "NO" go to 7c.*
- 7c. If "NO," describe your reason(s) in item #16.

## Military Service

8. Have you ever served in the United States military?       YES *Provide information below*       NO  
*If you answered "YES," list the branch, dates, and type of discharge for all active duty.  
 If your only active duty was training in the Reserves or National Guard, answer "NO."*

Branch	From MM/DD/YYYY	To MM/DD/YYYY	Type of Discharge

## Background Information

**For all questions, provide all additional requested information under item 16 or on attached sheets.** The circumstances of each event you list will be considered. However, in most cases you can still be considered for Federal jobs.

For questions 9, 10, and 11, your answers should include convictions resulting from a plea of *nolo contendere* (no contest), but omit (1) traffic fines of \$300 or less, (2) any violation of law committed before your 16th birthday, (3) any violation of law committed before your 18th birthday if finally decided in juvenile court or under a Youth Offender law, (4) any conviction set aside under the Federal Youth Corrections Act or similar state law, and (5) any conviction for which the record was expunged under Federal or state law.

- |  |                          |                          |
|--|--------------------------|--------------------------|
| 9. During the last 10 years, have you been convicted, been imprisoned, been on probation, or been on parole?<br>(Includes felonies, firearms or explosives violations, misdemeanors, and all other offenses.) <i>If "YES," use item 16 to provide the date, explanation of the violation, place of occurrence, and the name and address of the police department or court involved.</i>  | YES                      | NO                       |
| <input type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> |
| 10. Have you been convicted by a military court-martial in the past 10 years? (If no military service, answer "NO.") <i>If "YES," use item 16 to provide the date, explanation of the violation, place of occurrence, and the name and address of the military authority or court involved.</i>  | YES                      | NO                       |
| <input type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> |
| 11. Are you now under charges for any violation of law? <i>If "YES," use item 16 to provide the date, explanation of the violation, place of occurrence, and the name and address of the police department or court involved.</i>  | YES                      | NO                       |
| <input type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> |
| 12. During the last 5 years, have you been fired from any job for any reason, did you quit after being told that you would be fired, did you leave any job by mutual agreement because of specific problems, or were you debarred from Federal employment by the Office of Personnel Management or any other Federal agency? <i>If "YES," use item 16 to provide the date, an explanation of the problem, reason for leaving, and the employer's name and address.</i> | YES                      | NO                       |
| <input type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> |
| 13. Are you delinquent on any Federal debt? (Includes delinquencies arising from Federal taxes, loans, overpayment of benefits, and other debts to the U.S. Government, plus defaults of Federally guaranteed or insured loans such as student and home mortgage loans.) <i>If "YES," use item 16 to provide the type, length, and amount of the delinquency or default, and steps that you are taking to correct the error or repay the debt.</i>                     | YES                      | NO                       |
| <input type="checkbox"/>   | <input type="checkbox"/> | <input type="checkbox"/> |

# Declaration for Federal Employment

Form Approved:  
OMB No. 3206-0182

## Additional Questions

14. Do any of your relatives work for the agency or government organization to which you are submitting this form? (Include: father, mother, husband, wife, son, daughter, brother, sister, uncle, aunt, first cousin, nephew, niece, father-in-law, mother-in-law, son-in-law, daughter-in-law, brother-in-law, sister-in-law, stepfather, stepmother, stepson, stepdaughter, stepbrother, stepsister, half brother, and half sister.) *If "YES," use item 16 to provide the relative's name, relationship, and the department, agency, or branch of the Armed Forces for which your relative works.*
- YES  NO
15. Do you receive, or have you ever applied for, retirement pay, pension, or other retired pay based on military, Federal civilian, or District of Columbia Government service?
- YES  NO

## Continuation Space / Agency Optional Questions

16. Provide details requested in items 7 through 15 and 18c in the space below or on attached sheets. Be sure to identify attached sheets with your name, Social Security Number, and item number, and to include ZIP Codes in all addresses. If any questions are printed below, please answer as instructed (*these questions are specific to your position and your agency is authorized to ask them*).

## Certifications / Additional Questions

**APPLICANT:** *If you are applying for a position and have not yet been selected*, carefully review your answers on this form and any attached sheets. When this form and all attached materials are accurate, read item 17, and complete 17a.

**APPOINTEE:** *If you are being appointed*, carefully review your answers on this form and any attached sheets, including any other application materials that your agency has attached to this form. If any information requires correction to be accurate as of the date you are signing, make changes on this form or the attachments and/or provide updated information on additional sheets, initialing and dating all changes and additions. When this form and all attached materials are accurate, read item 17, complete 17b, read 18, and answer 18a, 18b, and 18c as appropriate.

17. I certify that, to the best of my knowledge and belief, all of the information on and attached to this Declaration for Federal Employment, including any attached application materials, is true, correct, complete, and made in good faith. I understand that a false or fraudulent answer to any question or item on any part of this declaration or its attachments may be grounds for not hiring me, or for firing me after I begin work, and may be punishable by fine or imprisonment. I understand that any information I give may be investigated for purposes of determining eligibility for Federal employment as allowed by law or Presidential order. I consent to the release of information about my ability and fitness for Federal employment by employers, schools, law enforcement agencies, and other individuals and organizations to investigators, personnel specialists, and other authorized employees or representatives of the Federal Government. I understand that for financial or lending institutions, medical institutions, hospitals, health care professionals, and some other sources of information, a separate specific release may be needed, and I may be contacted for such a release at a later date.

17a. Applicant's Signature: \_\_\_\_\_ Date \_\_\_\_\_  
(Sign in ink)

17b. Appointee's Signature: \_\_\_\_\_ Date \_\_\_\_\_  
(Sign in ink)

<b>Appointing Officer:</b> Enter Date of Appointment or Conversion MM / DD / YYYY
---

18. **Appointee (Only respond if you have been employed by the Federal Government before):** Your elections of life insurance during previous Federal employment may affect your eligibility for life insurance during your new appointment. These questions are asked to help your personnel office make a correct determination.

18a. When did you leave your last Federal job? DATE: MM / DD / YYYY

18b. When you worked for the Federal Government the last time, did you waive Basic Life Insurance or any type of optional life insurance?

YES  NO  Do Not Know

18c. If you answered "YES" to item 18b, did you later cancel the waiver(s)? If your answer to item 18c is "NO," use item 16 to identify the type(s) of insurance for which waivers were not canceled.

YES  NO  Do Not Know

## Exhibit F

### Federal Investigations Notice

Letter No. 98-02

Date: March 6, 1998

On September 30, 1997, amendments to the Fair Credit Reporting Act (FCRA) (15 U.S.C. § 1681, *et seq.*) became effective as a result of the Consumer Credit Reporting Reform Act of 1996. The amendments require changes on the part of the users of consumer reports and providers of information to consumer reporting agencies. These changes impact on OPM-IS as the provider of investigative services to other Federal agencies, and on our customer agencies as the final users of credit information gathered as a result of OPM's investigations.

Most notably, **Section 1681b** of title 15 addresses permissible purposes for which consumer reports may be furnished and conditions for furnishing and using consumer reports for employment purposes. If an a enc. intends to use a consumer report for employment purposes, **Subsection 1681b (b) (2)** of title 15 requires that the applicant/employee be notified in a document consisting solely of the notice that a consumer report may be used, and the applicant/employee must authorize this use in writing before the consumer report is obtained.

**Subsection 1681b (b)(3)** of title 15 requires that, before taking adverse action relative to an employment decision based on a consumer report, the agency must provide the consumer with a copy of the report, and a copy of the Federal Trade Commission's (FTC) Consumer Rights Notice.

The notice, disclosure, certification and adverse action requirements of the **FCRA** do not directly apply to OPM-IS in its role as the provider of investigative services to other requesting Federal agencies. However, we do obtain credit reports on behalf of other Federal agencies, and will require those Federal agencies to certify that they are the procurer of the credit report and that they are compliant with the FCRA's relevant provisions. We are, therefore, sending under separate cover a request to each agency for a one-time blanket certification to this effect, to be completed and returned to OPM-IS no later than May 1, 1998.

We will ask that the certification acknowledge that the requesting Federal agency is the procurer of the credit report for purposes of compliance with the FCRA.

We will also ask that the requesting Federal agency certify that it is compliant with all relevant provisions of the FCRA. This certification should include certification that the agency will (a) clearly and conspicuously disclose to the

subject of investigation, in a written document consisting solely of the disclosure, that the agency may obtain a credit report for employment purposes; and (b) obtain the subject's written authorization to obtain the credit report. It will also state that the agency will not take adverse action against the subject of investigation, based in whole or in part upon the credit report, without first providing the subject a copy of the report and a written description of the subject's rights as described by the FTC under **Section 1681g(c)(3)** of title 15. Finally, the certification must state that the requesting Federal agency will not use any information from the consumer report in violation of any applicable equal employment opportunity law or regulation.

A sample release for obtaining written authorization from each affected applicant/employee, as well as a copy of the FTC's Consumer Rights Notice are attached for your information and may be reproduced as necessary. You can obtain additional information regarding the FCRA at the Federal Trade Commission's web site (<http://www.ftc.gov>).

Attachments

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**Inquiries: OPM-IS, Oversight and Technical Assistance Division, 202-606-1042**  
**OPM-FIPC, Contract Management Branch, 724-794-5612**  
**Code:736**  
**Distribution: SOI/SON's**  
**Letter Expires: When superseded**

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SAMPLE RELEASE  
Fair Credit Reporting Act of 1970, as amended

PLEASE TAKE NOTICE THAT ONE OR MORE CONSUMER CREDIT REPORTS MAY BE OBTAINED FOR EMPLOYMENT PURPOSES PURSUANT TO THE FAIR CREDIT REPORTING ACT, AS AMENDED, 15 U. S. C., §1681, ET SEQ. SHOULD A DECISION TO TAKE ANY ADVERSE ACTION AGAINST YOU BE MADE, BASED EITHER IN WHOLE OR IN PART ON THE CONSUMER CREDIT REPORT, THE CONSUMER REPORTING AGENCY THAT PROVIDED THE REPORT PLAYED NO ROLE IN THE AGENCY'S DECISION TO TAKE SUCH ADVERSE ACTION.

Information provided by you on this form will be furnished to the consumer reporting agency in order to obtain information in connection with an investigation to determine your (1) fitness for Federal employment, (2) clearance to perform contractual service for the Federal Government, and/or (3) security clearance or access. The information obtained may be redisclosed to other Federal agencies for the above purposes and in fulfillment of official responsibilities to the extent that such disclosure is permitted by law.

I hereby authorize the \_\_\_\_\_ to obtain such report(s) from any  
(Name of Requesting Agency)  
consumer/credit reporting agency for employment purposes.

\_\_\_\_\_  
(Print Name)

\_\_\_\_\_  
(SSN)

\_\_\_\_\_  
(Signature)

\_\_\_\_\_  
(Date)

Your Social Security Number is needed to keep records accurate, because other people may have the same name. Executive Order 9397 also asks Federal agencies to use this number to help identify individuals in agency records.

---

### A Summary of Your Rights Under the Fair Credit Reporting Act

The federal Fair Credit Reporting Act (FCRA) is designed to promote accuracy, fairness, and privacy of information in the files of every "consumer reporting agency" (CRA). Most CRAs are credit bureaus that gather and sell information about you -- such as if you pay your bills on time or have filed bankruptcy -- to creditors, employers, landlords, and other businesses. You can find the complete text of the FCRA, 15 U.S. C. 1681-1681u, at the Federal Trade Commission's web site (<http://www.FTC.GOV>). The FCRA gives you specific rights, as outlined below. You may have additional rights under state law. You may contact a state or local consumer protection agency or a state attorney general to learn those rights.

- You must be told if information in your file has been used against you. Anyone who uses information from a CRA to take action against you -- such as denying an application for credit, insurance, or employment -- must tell you, and give you the name, address, and phone number of the CRA that provided the consumer report.
- You can find out what is in your file. At your request, a CRA must give you the information in your file, and a list of everyone who has requested it recently. There is no charge for the report if a person has taken action against you because of information supplied by the CRA, if you request the report within 60 days of receiving notice of the action. You also are entitled to one free report every twelve months upon request if you certify that (1) you are unemployed and plan to seek employment within 60 days, (2) you are on welfare, or (3) your report is inaccurate due to fraud. Otherwise, a CRA may charge you up to eight dollars.
- You can dispute inaccurate information with the CRA. If you tell a CRA that your file contains inaccurate information, the CRA must investigate the items (usually within 30 days) by presenting to its information source all relevant evidence you submit, unless your dispute is frivolous. The source must review your evidence and report its findings to the CRA. (The source also must advise national CRAs -- to which it has provided the data -- of any error.) The CRA must give you a written report of the investigation, and a copy of your report if the investigation results in any change. If the CRA's investigation does not resolve the dispute, you may add a brief statement to your file. The CRA must normally include a summary of your statement in future reports. If an item is deleted or a dispute statement is filed, you may ask that anyone who has recently received your report be notified of the change.
- Inaccurate information must be corrected or deleted. A CRA must remove or correct inaccurate or unverified information from its files, usually within 30 days after you dispute it. However, the CRA is not required to remove accurate data from your file unless it is outdated (as described below) or cannot be verified. If your dispute results in any change to your report, the CRA cannot reinsert into your file a disputed item unless the information source verifies its accuracy and completeness. In addition, the CRA must give you a written notice telling you it has reinserted the item. The notice must include the name, address and phone number of the information source.
- You can dispute inaccurate items with the source of the information. If you tell anyone -- such as a creditor who reports to a CRA -- that you dispute an item, they may not then report the information to a CRA without including a notice of your dispute. In addition, once you've notified the source of the error in writing, it may not continue to report the information if it is, in fact, an error.
- Outdated information may not be reported. In most cases, a CRA may not report negative information that is more than seven years old; ten years for bankruptcies.
- Access to your file is limited. A CRA may provide information about you only to people with a need recognized by the FCRA -- usually to consider an application with a creditor, insurer, employer, landlord, or other business.

- Your consent is required for reports that are provided to employers, or reports that contain medical information. A CRA may not give out information about you to your employer, or prospective employer, without your written consent. A CRA may not report medical information about you to creditors, insurers, or employers, without your permission.
- You may choose to exclude your name from CRA lists for unsolicited credit and insurance offers. Creditors and insurers may use file information as the basis for sending you unsolicited offers of credit or insurance. Such offers must include a toll-free phone number for you to call if you want your name and address removed from future lists. If you call, you must be kept off the lists for two years. If you request, complete, and return the CRA form provided for this purpose, you must be taken off the lists indefinitely.
- You may seek damages from violators. If a CRA, a user or (in some cases) a provider of CRA data, violates the FCRA, you may sue them in state or federal court.

The FCRA gives several different federal agencies authority to enforce the FCRA:

<b>FOR QUESTIONS REGARDING:</b>	<b>PLEASE CONTACT:</b>
CRA's creditors and others not listed below	Federal Trade Commission Consumer Response Center-FCRA Washington, DC 20580 202-326-3761
National banks, Federal branches/agencies of foreign banks (word "National" or initials "N.A." appear in or after banks name)	Office of the Comptroller of the Currency Compliance Management Mail Stop 6-6 Washington, DC 20219 800-613-6743
Federal Reserve System member banks (except national banks, and Federal branches/agencies of foreign banks)	Federal Reserve Board Division of Consumer & Community Affairs Washington, DC 20551 202-452-3693
Savings associations and federally chartered savings banks (word "Federal" or initials "F.S.B." appear in federal institutions name)	Office of Thrift Supervision Consumer Programs Washington, DC 20552 800-842-6929
Federal credit unions (words "Federal Credit Union" appear in institution's name)	National Credit Union Administration 1775 Duke Street Alexandria VA 22314 703-518-6360
State chartered banks that are not members of the Federal Reserve System	Federal Deposit Insurance Corp. Div. of Compliance & Consumer Affairs Washington, DC 20429 202-934-FDIC
Air, surface, or rail common carriers regulated by former Civil Aeronautics Board of Interstate Commerce Commission	Department of Transportation Office of Financial Management Washington, DC 20590 202-366-1306
Activities subject to the Packers and Stockyards Act, 1921	Department of the Agriculture Office of Deputy Administrator-GIPSA Washington, DC 20250 202-720-7051

# EXHIBIT G

## SYSTEM PLAN

TYPE OF PROPOSED MAINFRAME PLATFORM\_\_\_\_\_

TYPE OF PERSONAL COMPUTER\_\_\_\_\_

MEDIA TO BE USED FOR RECEIPT OF FILE TRANSMISSION\_\_\_\_\_

FILE STORAGE MEDIUM\_\_\_\_\_

CYBERFUSION INSTALLED?\_\_\_\_\_

AMOUNT OF AVAILABLE FILE STORAGE SPACE\_\_\_\_\_

TYPE OF PRINT STREAM MAIL RUN CONTROL SYSTEM\_\_\_\_\_

TYPE OF NETWORK PLATFORM (i.e., NOVELL/NT/UNIX)\_\_\_\_\_

**Exhibit H**  
**100% Accountability and Summary Reports**

Full Audit report must include the following information (reprints must have the same information):

1. Program Number/Job Name/Print Order/File Date
2. PC#/Sequence numbers/Total Volume
3. Inserter ID and Operator
4. Date of insertion
5. Start and End time
6. Start and End Range (sequence numbers)
7. Total for each Start and End Range
8. Event (i.e. Processed, Spoiled, Diverted and reason: Missing Piece, Unverified, Misread etc.)
9. Status (i.e. Inserted, Routed to Reprint Area, etc.)
10. Totals
  - a. Machine inserted
  - b. Sent to Reprint
  - c. Reprints Recovered
  - d. Records Accounted For
  - e. Duplicates
  - f. Duplicated Verified
  - g. Records less duplicates
  - h. Reported Output
  - i. Variances

Example:

<b>Audit Report</b>								
<b>Program 123-S/SSA Notices Name/PO#54001/File Date</b>								
<b>PC # and Sequence Numbers and Volume</b>								
Inserter ID	Date	Start Time	End Time	Start Range	End Range	Total	EVENT	STATUS
Inserter 1	05/10/12	10:31:04 AM	11:12:45 AM	19386	21567	2182	Standard Processing	Inserted
Operator Joe	05/10/12	11:12:50 AM	11:12:50 AM	21568		1	Diverted	Routed to Reprint
	05/10/12	11:13:10 AM	11:28:06 AM	21569	22516	948	Standard Processing	Inserted
	05/10/12	11:28:07 AM	11:28:10 AM	22517	22518	2	Diverted/ leave count unverified	Routed to Reprint
	05/10/12	11:29:30 AM	11:29:35 AM	22519	22521	3	Diverted/missing piece	Routed to Reprint
	05/10/12	11:29:45 AM	11:30:15 AM	22522		1	Diverted/manual insertion of pub	Manual Scan
	05/10/12	11:30:34 AM	11:40:35 AM	22523		1	Diverted/misread	Manual Scan
-----								
Inserter 2	05/11/12	8:12:50 AM	8:12:50 AM	21568		1	Standard Processing	Inserted
(REPRINTS)	05/11/12	8:28:07 AM	8:28:10 AM	22517	22518	2	Standard Processing	Inserted
Operator Sue	05/11/12	8:29:30 AM	8:29:35 AM	22519	22521	3	Standard Processing	Inserted
-----								
<b>TOTALS</b>								
			Machine Inserted:			26604		
			Sent to Reprints:			582		
			Reprints Recovered:			582		
			Records Accounted for:			27186		
			Duplicates:			16		
			Duplicates Verified:			16		
			Records Less Duplicates:			27170		
			Reported Output:			27170		
			Variance:			0		

## Exhibit H (cont'd)

The Summary Report must include the following; Reprints must also have all of the same information:

1. Job Name/Print Order
2. Piece Quantity
3. Sequence number range (Start and End Range)
4. Start date and time
5. End date and time
6. Total Processed Pieces
7. Total Reprints
8. Total Pieces Inserted
9. Total Variances
10. Job Complete or Incomplete

<b><u>Summary Report</u></b>			
<b><u>Job Information</u></b>		<b><u>Operation Information</u></b>	
Job Name:	XYZ Notice		
PO #	54001	Start Range:	1
Piece Quantity:	35862	End Range	35862
Job Status:	Completed		
Date Created:	05/10/12		10:29:54
Date Completed:	05/11/12		14:22:34
<b><u>Statistical Summary</u></b>			
35537 Processed Pieces -		Completed 05/10/12	
325 Processed Reprints -		Completed 05/11/12	
35862 Total Pieces Inserted -		Completed 05/11/12	
0 Variances -		Job Complete	

# Exhibit I

## Mail Run Data File (MRDF) Or Item Level Accountability File

<u>Record Descriptions</u>	<u>Position</u>	<u>Length</u>
Job ID	1 – 5	5
Piece ID	6 – 11	6
Total Pages	12 – 13	2
Select Feeder 2 (0 = No Feed, 1 = Feed)	14	1
Select Feeder 3	15	1
Select Feeder 4	16	1
Select Feeder 5	17	1
Select Feeder 6	18	1
Select Feeder 7	19	1
Select Feeder 8	20	1
Select Feeder 9	21	1
Select Feeder 10	22	1
Vertical Stacker 1 (Seal envelope, do not meter)	23	1
Vertical Stacker 2 (Do not seal envelope, do not meter)	24	1
Vertical Stacker 3 (Overweight)	25	1
Vertical Stacker 4 (Trash)	26	1
Sealer (0 = No Outsort, 1 = Outsort)	27	1
Meter 1 (0 = Print, 1 = No Print)	28	1
Meter 2	29	1
Customer Name	30	40
Address Line 1	70	40
Address Line 2	110	40
Address Line 3	150	40
Address Line 4	190	40
Address Line 5	230	40
Address Line 6	270	40
Zip Code	310	5
+4	315	4
+2	319	2
Return Name	321	40
Address Line 1	361	40
Address Line 2	401	40
Address Line 3	441	40
Address Line 4	481	40
Account ID	521	16
Input File Name	537	44
IMBC Codes	581	65
Service Type	646	3
IMBC SerialID	649	9
Filler	658	3
User Defined	661	29
Vendor ID	690	4
Code Name	694	5
Total Documents	699	2
End	701	1

NOTE: There is one record for each mail packet.

**EXHIBIT J**

**PERFORATED PAYMENT STUB TO BE SUPPLIED AT POSTAWARD**

# Exhibit K

## **CONTACT INFORMATION**

### **Print Management Branch**

Social Security Administration  
Jamey Cunningham,  
Room 1340 Annex Building,  
6401 Security Boulevard,  
Baltimore, MD 21235-6401  
Phone-(410)966-8480 Fax-(410)965-6400  
[Jamey.cunningham@ssa.gov](mailto:Jamey.cunningham@ssa.gov)

Social Security Administration  
Cheryl Tarver  
Room 1363 Annex Building,  
6401 Security Boulevard,  
Baltimore, MD 21235-6401  
Phone-(410)965-7253 Fax-(410)965-6400  
[Cheryl.tarver@ssa.gov](mailto:Cheryl.tarver@ssa.gov)

### **Mail and Postage Policy Team**

Social Security Administration  
Attn: Francine Moore  
1712 Annex Bldg.,  
6401 Security Boulevard,  
Baltimore, MD 21235-6401  
Phone-(410)965-5055 Fax-(410)965-6400  
[Francine.Moore@ssa.gov](mailto:Francine.Moore@ssa.gov)

### **Payment Stub Validation**

Social Security Administration  
Danielle McCray

(Address to be provided at time of Validation)

215-597-0529

### **Help Desk**

410-965-2580

### **GPO**

David Love  
202-512-0310