

Program: No 0153-S										
Term: Date of Award to October 31, 2020										
TITLE: Residual Notices (SSA)										
										Current Contractor
			NPC, INC.		PINNACLE DATA SYSTEMS		SOURCELINK		SOURCELINK	
			Claysburg, PA		Suwanee, GA		Miamisburg, OH		Miamisburg, OH	
ITEM NO.	DESCRIPTION	BASIS OF AWARD	UNIT RATE	COST	UNIT RATE	COST	UNIT RATE	COST	UNIT RATE	COST
I.	PROCESSING/FORMATING FILES:									
(a)	Processing/Formatting Files.....per/notice workload	9	N/C	\$0.00	N/C	\$0.00	N/C	\$0.00	N/C	\$0.00
II.	COMPOSITION:									
(a)	Envelopes.....per envelope.....	17	N/C	\$0.00	N/C	\$0.00	N/C	\$0.00	N/C	\$0.00
(b)	FEQ Instruction sheets.....per 8-1/2 x 11 page.....	46	N/C	\$0.00	N/C	\$0.00	N/C	\$0.00	N/C	\$0.00
III.	PREPRODUCTION TESTS:									
(a)	Transmission Test.....per test.....	1	N/C	\$0.00	N/C	\$0.00	N/C	\$0.00	N/C	\$0.00
(b)	Preproduction Validation Test.....per test.....	1	N/C	\$0.00	N/C	\$0.00	N/C	\$0.00	N/C	\$0.00
IV.	PRINTING/IMAGING, BINDING, AND CONSTRUCTION:									
(a)	*Daily makeready/setup charge.....	250	\$105.00	\$26,250.00	N/C	\$0.00	\$100.00	\$25,000.00	\$25.00	\$6,250.00
(b)	Notices and FEQ Instruction inserts (printing/imaging)									
	.....per 100 printed pages.....	70418	\$0.56	\$39,434.08	\$0.90	\$63,376.20	\$0.760	\$53,517.68	\$0.90	\$63,376.20
(c)	Publications.....per 100 printed pages.....	8585	\$1.11	\$9,529.35	\$1.50	\$12,877.50	\$0.779	\$6,687.72	\$0.33	\$2,833.05
(d)	CRM Return Envelope (5-3/4 x 8-3/4")									
	.....per 100 envelopes.....	4712	\$1.41	\$6,643.92	N/C	\$0.00	\$0.957	\$4,509.38	\$0.66	\$3,109.92
(e)	Mailout Envelope (4-1/8 x 9-1/4")									
	.....per 100 envelopes.....	25785	\$1.02	\$26,300.70	N/C	\$0.00	\$0.955	\$24,624.68	\$0.54	\$13,923.90
(f)	Mailout Envelope (6-1/8 x 9-1/2")									
	.....per 100 envelopes.....	4712	\$1.69	\$7,963.28	N/C	\$0.00	\$1.109	\$5,225.61	\$0.87	\$4,099.44
(g)	Spraying Return Address on Outgoing Envelope									
	.....per 100 envelopes.....	8585	N/C	\$0.00	\$1.00	\$8,585.00	\$1.100	\$9,443.50	\$1.10	\$9,443.50
V.	PAPER:									
(a)	Notices and Instruction inserts: White Offset Book (50-lb.) or, at contractor's option, White Writing (20-lb.)									
	.....per 100 Leaves.....	35209	\$0.77	\$27,110.93	\$0.70	\$24,646.30	\$0.913	\$32,145.82	\$0.69	\$24,294.21
(b)	Publications: White Offset Book (60-lb.)									
	.....per 100 Leaves.....	8585	\$1.03	\$8,842.55	\$0.90	\$7,726.50	\$0.779	\$6,687.72	\$1.03	\$8,842.55
(c)	CRM Return Envelope (5-3/4 x 8-3/4"): White Stock (20-lb.)									
	.....per 100 Leaves.....	4712	\$1.41	\$6,643.92	\$1.20	\$5,654.40	\$0.957	\$4,509.38	\$0.99	\$4,664.88
(d)	Mailout Envelope (4-1/8 x 9-1/4"; 6-1/8 x 9-1/2"): White Wove (24-lb); or, at contractor's option, White Offset Book (60-lb).....per 100 Leaves.....	30497	\$1.12	\$34,156.64	\$2.20	\$67,093.40	\$0.981	\$29,917.56	\$0.91	\$27,752.27

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VI.	INSERTING AND MAILING:									
(a)	Mailers 1, 2, 3, 8, and 9:									
	Personalized English Notice and Mailout envelope									
	.....per 100 Complete mailers.....	25787	\$1.40	\$36,101.80	\$1.00	\$25,787.00	\$2.00	\$51,574.00	\$2.35	\$60,599.45
(b)	Mailers 4, 5, 6, and 7:									
	Personalized Form, Mailout envelope, and CRM return envelope									
	.....per 100 Complete mailers.....	4712	\$1.50	\$7,068.00	\$1.00	\$4,712.00	\$2.00	\$9,424.00	\$3.00	\$14,136.00
VII.	International Mail Sort House:									
(a)	Foreign Enforcement notices (Mailers 4 thru 7)									
	.....per 100 pieces.....	4712	\$4.00	\$18,848.00	\$5.00	\$23,560.00	\$7.80	\$36,753.60	\$7.02	\$33,078.24
	CONTRACTOR TOTALS			\$254,893.17		\$244,018.30		\$300,020.64		\$276,403.61
	DISCOUNT		0.25%	\$637.23	1.00%	\$2,440.18	0.00%	\$0.00	0.00%	\$0.00
	DISCOUNTED TOTALS			\$254,255.94		\$241,578.12		\$300,020.64		\$276,403.61
						AWARDED				

U.S. GOVERNMENT PUBLISHING OFFICE  
Washington, DC

GENERAL TERMS, CONDITIONS, AND SPECIFICATIONS

For the Procurement of  
**Residual Notices**

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

Social Security Administration (SSA)

Single Award

**TERM OF CONTRACT:** The term of this contract is for the period beginning from Date of Award and ending October 31, 2020 plus up to four (4) optional 12-month extension period(s) that may be added in accordance with the “OPTION TO EXTEND THE TERM OF THE CONTRACT” clause in SECTION 1 of this contract.

**BID OPENING:** Bids shall be publicly opened at 11:00 a.m., prevailing Washington, DC time on February 1, 2019.

**Contractor interfacing with SSA’s National File Transfer Management System (FTMS) for electronic transmission of files from SSA to the production facility commence immediately after award and must be completed no later than 90 workdays prior to start of live production. Transmission of live production files will commence on November 1, 2019.**

**BID SUBMISSION:** Submit bid in pre-addressed envelope furnished with solicitation or send to: U.S. Government Publishing Office, Bid Section, Room C-848, Stop: CSPS, 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 January 2018. Hand delivered bids are to be taken to: GPO Bookstore, 710 North Capitol Street, NW, Washington, DC, between the hours of 8:00 a.m. and 4:00 p.m., prevailing Washington, DC time, Monday through Friday. Contractor is to follow the instructions in the bid submission/opening area. If further instruction or assistance is required, call (202) 512-0526.

**BIDDERS, PLEASE NOTE:** This Program was formerly Program 198-S. The specifications have been extensively revised. Special attention is directed to the following:

- “100% ACCOUNTABILITY OF PRODUCTION AND MAILING” requirements specified in Section 1.
- GPO has issued a new GPO Publication 310.2, GPO Contract Terms - Solicitation Provisions, Supplemental Specifications, and Contract Clauses (Rev 1-18). Prospective bidders should carefully read this publication as the applicable terms within become an integral part of this contract. The document is posted at: <https://www.gpo.gov/how-to-work-with-us/vendors/forms-and-standards> along with a list of major revisions; and
- The GPO 910 “BID” Form is no longer required. Bidders are to fill out, sign/initial, as applicable, all pages of “SECTION 4. – SCHEDULE OF PRICES.”

Abstracts of contract prices are available at <https://www.gpo.gov/how-to-work-with-us/vendors/contract-pricing>.

For information of a technical nature, contact Jim Ballou at [jballou@gpo.gov](mailto:jballou@gpo.gov) or (202) 512-0310.

## 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 Publication 310.2, effective December 1, 1987, Rev. 1-18) and GPO Contract Terms, Quality Assurance Through Attributes Program, for Printing and Binding (GPO Publication 310.1, effective May 1979, (Rev. August, 2002)).

GPO Contract Terms (GPO Publication 310.2) – <https://www.gpo.gov/docs/default-source/forms-and-standards-files-for-vendors/contractterms2018.pdf>.

GPO QATAP (GPO Publication 310.1) – <https://www.gpo.gov/docs/default-source/forms-and-standards-files-for-vendors/qatap.pdf>.

**SUBCONTRACTING:** The predominate production function is the laser/ion deposition/ink jet imaging of data; for all notices (minimum 600 x 600 dpi) and the variable return address on the BIC-T mail-out envelopes (Mailers 8 and 9) from electronically transmitted files; and inserting. Any bidder who cannot perform the predominant functions 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: Ink jet imaging is permitted for the spraying/imaging of the SSA field office return addresses on the mail-out envelopes for the BIC-T notices. Ink jet imaging will not be permitted for imaging the notices. Mailers 1 through 7 mail-out envelopes will not require spraying/imaging; these notices will utilize a pre-printed return address on the mail-out envelopes.

The contractor shall 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 60 calendar days prior to the start of production at that facility.

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 shall 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% when run through a USPS OCR Scanner.
- (d) Exception: ANSI X3.17 "Character Set for Optical Character Recognition (OCR A)" shall apply to these specifications. The revisions of this standard, which are effective as of the date of this contract, are those, which shall apply. This applies to the FEQ notices (Mailers 4 through 7).

- (e) Exception: FEQ notices (Mailers 4 through 7) 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.

NOTE: Use of equipment or ink, which in any way adversely affects the scanning of the FEQ forms, will not be allowed.

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

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

<u>Attribute</u>	<u>Specified Standard</u>
P-7. Type Quality and Uniformity	Average Type Dimension in Publication Camera Copy/Manuscript 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 shall be considered to include this clause, except, the total duration of the 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 shall 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 Date of Award to October 31, 2020, 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.

**NOTE:** *The term of the first contract year (base year) is expected to be approximately 20 months; however, the Economic Price Adjustment will be based on the date of actual production. Actual production begins November 1, 2019.*

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 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 shall 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 shall be applied after the invoice price is adjusted.

***NOTE: For the purpose of this contract, the Paper Price Adjustment will be based on the date of actual production. Actual production begins November 1, 2019.***

- $$\frac{\text{X - base index}}{\text{base index}} \times 100 = \underline{\hspace{2cm}}\%$$

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 Item V., "PAPER" in the "SCHEDULE OF PRICES" and will be effective on the first day of any month for which prices are to be adjusted.

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, shall not be based upon the actual change in cost to the contractor, but shall 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 shall 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 shall 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 protect the confidentiality of the records in such a way that unauthorized persons cannot retrieve any such records.
- (c) The contractor shall 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 is 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 contractors employees' may also be subject to the criminal penalties as set forth in that provision.
- (e) The contractor shall 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 Contractor Personnel Security Certification, Form SSA-301 (see Exhibit A). A copy of this signed certification must be forwarded to: Social Security Administration, Printing Management Team (see Exhibit K).
- (f) All confidential information obtained from SSA for use in the performance of this contract shall, 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 shall 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 requirement of the contract.

**SSA External Service Provider Security Requirements:**

This resource identifies the basic information security requirements related to the procurement of Information Technology (IT) services hosted externally to SSA's Network.

See Exhibit L for References To External Service Providers (ESP):

All External Service Providers (ESP) are subject to the following security requirements:

- All ESPs are subjected to SSA's Security Authorization Process, which will entail security testing and evaluation of the in-place security controls. For more information, see NIST SP 800-37, Revision 1.
- ESPs must follow NIST SP 800-53 Revision 4 *Recommended Security Controls for Federal Information Systems and Organizations* for protecting Low or Moderate impact level information as categorized by FIPS 199 for the information system. NOTE: Systems that contain Personally Identifiable Information (PII) are considered "Moderate."
- ESPs must document all deployed (applicable) and planned controls for an information system in a System Security Plan that is in NIST-compliant format. Refer to NIST SP 800-18.
- ESPs classified as Cloud Service Providers (CSP) must adhere to additional FedRAMP security control requirements. Further information may be found at: <http://www.gsa.gov/portal/category/102371>. As part of these requirements CSPs must have a security control assessment performed by a Third Party Assessment Organization (3PAO).
- Upon request from SSA, the ESP shall provide the following network security information and documentation for review and audit purposes:
  - All information security control artifacts required to support the Security Assessment and Authorization (SA&A) process.
  - Intrusion Detection Systems (IDS) configuration.
  - Network firewall configuration.
  - Server and network device patching schedules and compliance.
  - Server, network device, and security logs.
  - Detailed hardware inventory including servers, network devices, and storage.
- ESPs are required to adhere to NIST 800-53 Rev.4 security control framework based on their assigned categorization. Exhibits L, M, N, O, and P outline additional security controls and SSA organizational defined parameters for NIST 800-53, Rev 4. Security requirements specified in these Exhibits are applicable to low and moderately categorized systems unless otherwise designated. For additional information or supplement guidance for these controls, refer Appendix F of NIST 800-53, Rev 4.

**SECURITY WARNING:** It is the contractor's responsibility to properly safeguard personally identifiable information (PII) from loss, theft, or inadvertent disclosure and must immediately notify the Government of any loss of PII. Personally identifiable information is defined as "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 to a specific individual, such as date, place of birth, mother's maiden name, etc."

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

- Familiarize themselves with current information on security, privacy, and confidentiality related 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.
- Are prohibited from having any mobile devices or cameras in sensitive areas that contain any confidential materials. This is to include areas where shredding and waste management occurs.

**Contractor Managers working on this contract must:**

- Continuously 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 screenings 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 their security officer within 24 hours whenever a systems security violation is suspected or discovered.

**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 are not limited to the following:

- Employees are required to have locking file cabinets and 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 ensure safeguard and protection of 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., 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., in a break-room or on an employees' desk).
- Storing electronic files containing Government information on a computer or access device (flash drive, CD, etc.) which other people have access to (not password-protected).
- Misfeasance or willful neglect of duty due to failure to exercise due care resulting in loss, stolen, or inadvertently released PII.

This list does not encompass all failures to safeguard personally identifiable information but is intended to act as an alert to situations that must be avoided. 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.

**NOTE:** Due to PII issues, if the contractor fails to meet these requirements within 60 workdays of start of live production, the contractor will be declared nonresponsive.

**SECURITY AND SUITABILITY REQUIREMENTS FOR GOVERNMENT PRINTING:**

**(a) Suitability Process:**

The background investigation and adjudication processes are compliant with 5 CFR 731 (or equivalent). Any new contractor personnel (i.e., those who have not previously received a suitability determination under this contract) requiring access to a SSA facility, site, information, or system, must complete and submit, through the Contracting Officer's Representative (COR)/SSA Representative, the documents listed in (a)(1) at least 30 workdays prior to the date contractor personnel are to begin work. The suitability process cannot begin until the contractor submits, and SSA receives, accurate and complete documents.

(1) Suitability Document Submission:

- a. Immediately upon award, the Company Point of Contact (CPOC) must provide to the Center for Suitability and Personnel Security (CSPS) and a copy to the COR for all contractor personnel requesting a suitability determination using a secured/encrypted email\* with a password sent separately to [DCHR.OPE.Suitability@ssa.gov](mailto:DCHR.OPE.Suitability@ssa.gov):
  - (i) An e-QIP [applicant listing](#) including the names of all Vendor personnel requesting suitability;
  - (ii) Completed [Optional Form \(OF\) 306, Declaration for Federal Employment](#);
  - (iii) [Fair Credit Reporting Act \(FCRA\) Authorization Form](#);
  - (iv) [Additional Questions for Public Trust Positions Branching](#); and
  - (v) Work authorization for non-United States (U.S.) born applicants, if applicable.
- b. The e-QIP applicant listing must include the contractor's name, the Social Security Administration Vendor number, the CPOC's name, the CPOC's contact information, the COR's name, the COR's contact information, and the full name, Social Security Number, date of birth, place of birth (must show city and state if born in the U.S. OR city and country if born outside of the U.S.), and a valid email address for all contractor personnel requesting suitability. All spelling of names, email addresses, places, and numbers must be accurate and legible.

(2) e-QIP Application:

- a. Once SSA receives all completed documents listed in (a)(1), the Center for Suitability and Personnel Security (CSPS) will initiate the e-QIP process using the e-QIP applicant listing. CSPS will email the e-QIP notification to the CPOC and COR inviting contractor personnel to the e-QIP website to electronically complete the background investigation form (Standard Form (SF) 85P, Questionnaire for Public Trust Positions.
- b. Contractor personnel will have up to 10 workdays to complete the e-QIP application. The 10-day timeframe begins the day CSPS sends the invitation to the CPOC and COR. Contractor personnel must electronically sign the signature pages before releasing the application in e-QIP. Signature pages include the Certification, Release, and Medical Release pages for the SF 85P.

Information about the e-QIP process can be found in the e-QIP Quick Reference Guide for e-QIP Applicants at <https://nbib.opm.gov/e-qip-background-investigations/>.

- c. If contractor personnel needs assistance with e-QIP logon and navigation, they can call the eQIP Hotline at 1-844-874-9940.

(3) Fingerprinting:

- a. The e-QIP notification email also provides contractor personnel with instructions to obtain electronic fingerprinting services. Contractor personnel must report for fingerprint services immediately upon completion and release of the e-QIP application and within 10 workdays from the day CSPS sends the invitation.
- b. If contractor personnel cannot report to the designated fingerprint locations (in the notification email), CSPS will accept completed Field Division (FD) 258 (Exhibit D) fingerprint cards. The COR can provide the FD 258, if required. Contractor personnel must complete all fields on the FD 258. Incomplete fields may delay suitability processing.

- c. If necessary, completed FD 258 fingerprint cards may be mailed, via certified mail along with a completed "Contractor Personnel Suitability" Cover Sheet, to: Social Security Administration, Center for Suitability and Personnel Security, Attn: Suitability Program Officer, 6401 Security Boulevard, 2246 Annex Building, Baltimore, MD 21235.

(4) Status Check:

If contractor personnel have completed each of the steps in (e) (specified below) in their entirety and do not receive a suitability determination within 15 workdays of their last submission, they are to call 1-844-874-9940 to determine suitability status.

(b) Suitability Determination:

- (1) CSPS uses a Federal Bureau of Investigation fingerprint check 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 contractor personnel unsuitable to continue performing under this contract. CSPS will notify the CPOC and the COR of the results of these determinations.
- (2) SSA will not allow contractor personnel access to a facility, site, information, or system until CSPS issues a favorable suitability determination. A suitability determination letter issued by CSPS is valid only for performance on the contractor specified in the letter.
- (3) If personnel has been cleared at a previous contractor's facility and are to perform work under a new contractor, the CPOC must submit a fully completed, legible [Vendor Rollover Request Form](#) to the COR. CSPS will notify the CPOC, COR, and Contract Officer (CO) of suitability to work under the new contractor.

(c) Contractor Personnel Previously Cleared by SSA or Another Federal Agency:

If contractor personnel previously received a suitability determination from SSA or another Federal agency, the CPOC should include this information next to the contractor personnel's name on the initial applicant listing (see paragraph (a)(1)b.) along with the OF306. CSPS will review the information. If CSPS determines another suitability determination is not required, it will provide a letter to the CPOC and the COR indicating the contractor personnel was previously cleared under another Federal contract and does not need to go through the suitability determination process again.

(d) Unsuitable Determinations:

- (1) The contractor must notify the contractor personnel of any unsuitable determinations as soon as possible after receipt of such a determination.
- (2) The contractor must submit requests for clarification for unsuitable determinations in writing within 30 calendar days of the date of the unsuitable determination to the email mailbox or address listed below. Contractor personnel must file their own requests; the contractor may not file requests on behalf of contractor personnel.

[dchr.ope.suitclarify@ssa.gov](mailto:dchr.ope.suitclarify@ssa.gov); OR, Social Security Administration, Center for Suitability and Personnel Security, Attn: Suitability Program Officer, 6401 Security Boulevard, 2246 Annex Building, Baltimore, MD 21235

(e) Contractor Notification to Government:

The contractor shall notify the COR and CSPS within one (1) workday if any contractor personnel is arrested or charged with a crime, or if there is any other change in the status of contractor personnel (e.g., leaves the company, no longer works under the contractor, the alien status changes, etc.) that could affect their suitability determination. The contractor must provide in the notification as much detail as possible, including, but not limited to: name(s) of contractor personnel whose status has changed, SSA Vendor number, the type of charge(s), if applicable, date of arrest, the court date, jurisdiction, and, if available, the disposition of the charge(s).

(f) Email Procedures for Providing the Recipient with the Password for Encrypted Files:

Contractor to send the password to the intended recipient in a separate email message prior to sending the encrypted file or after sending the encrypted file. Do not send the password in the same email message to which the encrypted file is attached.

If possible, it is recommended to provide the password to the COR by telephone or establish a predetermined password between the contractor and the COR.

The COR should also submit the password in a separate email from the documentation when submitting to ^DCHR OPE Suitability. Due to the large volume of submissions, the COR must always provide the password to ^DCHR OPE Suitability in a separate email, even if it is a pre-established password for a contract.

**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 preaward survey of all the contractor's computer, printing, 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 preaward survey will include a review of all subcontractors involved, along with their specific functions; and the contractors/subcontractor's mail, material, personnel, production, quality control/recovery program, and security and backup facility plans, as required by this specification.

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 November 1, 2019.

NOTE: Due to PII issues, if the contractor fails to meet these requirements within 90 workdays of start of live production, the contractor will be declared nonresponsive.

**PREAWARD PRODUCTION PLANS:** As part of the preaward survey, the contractor shall 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 specified below. 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 THE SAME. THE GOVERNMENT RESERVES THE RIGHT TO WAIVE SOME OR ALL OF THESE PLANS.**

**Backup Facility** – The failure to deliver these notices/forms/publications 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 five (5) workdays, contractor must have a backup facility with the capability of producing the notices/forms/publications.

Contingency plans for production must be prepared and submitted to the Contracting Officer as part of the preaward survey. These plans must include the location of the facility to be used, equipment available at the facility, and a timetable for the start-up of production. This plan must also include the transportation of Government materials from one facility to another. Additionally, SSA has the option to install a data connection into the contractor's backup facility.

NOTE: All terms and conditions of this contract will also apply to the backup facility.

**Quality Control Plan** – The contractor shall provide and maintain, within their own organization, an independent quality assurance organization of sufficient size and expertise to monitor the operations performed. Furthermore, the plan must include the names of all quality assurance officials and describe their duties in relationship to this plan. Also, inspecting 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 shall perform, or have performed, the process controls, and tests required to substantiate that the products provided under this contract conform to the specifications and requirements. The contractor shall describe in detail their quality control/quality assurance and recovery plans detailing how, when, and by whom the plans will be performed.

The quality control plan must also include examples with detailed description of all quality control samples and their corresponding inspection reports or logs the contractor will keep to document the quality control performed on each run. The quality control plan must account for the number of pieces mailed daily, the security coverage over the postage meters, as well as the control settings for the meters.

**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 runs and provide for backup and re-running in the event of an unsatisfactory sample and 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 intends to develop. The contractor will perform programming to create two (2) duplicate notices. One, at set intervals throughout production, and the other to divert sample at the insertion stage to complete the following:

- One (1) sample will be, inspected and tested by both the press crew and an independent Quality Assurance Technician who will evaluate compliance of diverted product to contract specifications for the duration of the job.
- One (1) sample will be drawn for the Social Security Administration and will be packed with associated pieces from each print order and shipped weekly, within three (3) workdays of completion of each print order, to the Social Security Administration, Printing Management Team (see Exhibit K).

The plan shall detail the actions to be taken by the contractor when either defects, missing, or mutilated items are discovered. These actions must be consistent with the requirements found in GPO Contract Terms (GPO Publication 310.2, effective December 1, 1987 (Rev. 1-18)).

The plan shall monitor all aspects of the job including material handling and mail flow, to assure that the production and delivery of these notices meet contract 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 180 calendar days subsequent to the date of the check tendered for final payment by the Government Publishing 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 notice files from SSA. The plan must also include the media type in 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 shall demonstrate the contractor’s ability to provide complete hardware and software compatibility with SSA’s existing network (see “TRANSMISSION” for additional information). The contractor must complete a System Plan (see Exhibit G).

Included with the Computer System Plan shall be a resume for each employee responsible for the monitoring and programming of the contractor’s computer system and file transmissions. If the contractor(s) plans to use a consultant, 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; Fully Composed or Mixed Mode) resources and files.

**Mail Plan** – This plan should include sufficient detail as to how the 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 automated presort postal discounts as outlined in the contract.

**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 pickup/delivery.

**Personnel Plan** – 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:

- (1) list of all production equipment and equipment capacities to be utilized on this contract;
- (2) the production capacity currently being utilized on this equipment;
- (3) capacity that is available for these workloads; and,
- (4) if new equipment is to be utilized, documentation of the purchase order, source, delivery schedule, and installation dates are required.

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, during the term of the contract, the contractor changes or adds a subcontractor, the contractor must submit to the Government the new subcontractor’s information 60 calendar days prior to start of production at that facility for Government approval.

**Security Control Plan** – The contractor shall 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 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.

Contractor is cautioned that no Government provided information shall be used for non-Government business. Specifically, no Government information shall 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 shall 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 shall be adhered to by the contractor and/or subcontractor(s).

**Materials** - How all accountable materials will be handled throughout all phases of production.

**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) shall be limited to security-trained employees involved in the production of notices.

Part of the Production Area plan shall include a floor plan detailing the area(s) to be used, showing existing walls, equipment to be used, and the printing and finishing locations.

**Disposal of Waste Materials** – The contractor is required to demonstrate how all waste materials used in the production of sensitive SSA records 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 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.

**RECOVERY SYSTEM:** A recovery system will be required to ensure that all defective, missing, 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 this process 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 USPS facility. An explanation of the contractor's sequential numbering system is required to understand the audit trail required for each and every piece.

**UNIQUE IDENTIFICATION NUMBER:** Unique identifying 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. This test sample must have a unique number and must be produced on each of the seven (7) notices. 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. In addition, all seven (7) notices will include samples produced every 4,000 notices that are processed and mailed directly to Social Security Administration, Printing Management Team (see Exhibit K).

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

SSA will provide updated resources electronically, as necessary. When the contractor receives an update to the printer resources, the contractor shall install them immediately and provide SSA with 100 sample documents, representative of the workload involved, from the test file within one (1) workday for review. Contractor is to continue using existing resources while the samples are being reviewed. Once the samples are approved, the contractor will be told when to start using the new resources. Whenever testing is required, the contractor will be responsible for performing the test on each printer that processes SSA's notices.

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 these changes occur, SSA will print and mail the affected notice workload(s) at their facility for a short period of time. During this time, files for some or all of the notice types may not transmit to the contractor lasting no more than a few days. Only those affected workloads (indicated by filename) will be held back at SSA for validation and production. For example: If the CPS Notice workload were to be changed, SSA would test and print those notices only. The contractor would continue to print and mail the CDR Notice workloads. SSA's Printing Management Team will notify the contractor of these changes as soon as possible. Upon successful testing of the changes, SSA shall transmit the new print resources (if necessary) and resume transmission of the notice file(s).

**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 the 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 has been inserted and accounted for.

**\*CLOSED LOOP PROCESSING:** A method for generating a plurality of mail pieces including error detection and reprinting capabilities. This 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, diverting mail pieces in response to error detection, transmits such errors to a processor which automatically generates a reconfigured print file to initiate reprints for the diverted mail.

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 U.S. postal system. The contractor may create their own sequence number and run date to facilitate their presorting and inserting process but must maintain the original SSA identification number.

NOTE: Contractor must have all hardware, programming and finalized reports in place to meet this requirement at least 90 calendar days prior to the start of live production, on November 1, 2019. Contractor must submit a sample of their proposed Audit and Summary reports with the required preaward production plans for approval (see Exhibit H). The Government considers grounds for the immediate default of this contract if the contractor, at any time, is unable to perform or is found not complying with any part of this requirement.

Notice integrity shall be defined as follows:

- Each notice shall 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, identify, remove, and reprint all effected notices.

Mailing integrity shall be defined as follows:

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

The contractor is responsible for providing the *automated* inserted notice tracking/reporting systems and processes to ensure that 100% of all notices received from SSA with all pages for each notice and 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 leaves within each individual file by mailer number and file date.
- (b) Unique identifier recorded 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. For all instances of variance on a mail piece or if mail pieces are not verified that all leaves are present, that piece and the piece prior to and immediately following must be diverted and reprinted and must be logged.
- (d) Touch and Toss: All spoilage, diverted, mutilated, or mail piece that is acted upon directly by human hands prior to sealing must be immediately recorded, discarded, properly destroyed, and automatically regenerated into a new reprint file for reprint.
- (e) Exit Scanning: A camera system must be mounted just aft of the inserting equipment. This camera system must read a unique code through the window of each mail piece and be 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. The system must ensure 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 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, 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 correctly finished notice amounts must be electronically accountable after insertion through the use of an audit system that is independent of the inserting equipment and operator. The sequence numbers, for each file, must be reconciled; accounting for any spoilage, duplicate, and/or divert the product. If the reconciliation yields deviating results, immediate action must be taken to locate the mail pieces causing the indifference 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 concluded.
- (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 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 (see Exhibit H). Contractor must maintain this information for a 6-month period after mailing.
- (i) 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
- (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 (reprints must all have 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

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 (1) hour of a request via email in and MS Word, MS Excel, or PDF file.

A PDF copy of the summary report(s) and matching USPS 3607R and/or GPO 712 form(s) must be submitted to Social Security Administration, Printing Management Team (see Exhibit K) for each file date within two (2) workdays of mailing.

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 Publishing Office. All notice tracking/reporting data must be retained in electronic form for 21 workdays after mailing, and must be made available to SSA for auditing of contractor performance upon request. 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 pull. 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 are produced, the contractor must be capable of identifying the notice and pull it from the production floor.

**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 one private office of not less than 150 square feet, furnished with one desks, one swivel arm chairs, telephone lines, internet access via wireless or Ethernet for two computers, two work tables, and two four-drawer letter-size files with combination padlock and pendaflex file folders or equal.

On-site representative(s) may be stationed at the contractor’s facility to: provide project coordination in receipt of transmissions; verify addresses; monitor the printing, imaging, folding, inserting, mail processing, quality control, sample selections, inspections; monitor the packing and staging of the mail.

These representative(s) will not have contractual authority, and cannot make changes in the specifications or contract terms, but will bring any and all defects detected to the attention of the Quality Control Officer. The representative(s) must have full and unrestricted access to all production areas where work on this program is performed.

**POSTAWARD CONFERENCE:** Unless waived by the Contracting Officer, the total requirements of the job as indicated in these specifications will be reviewed by Government representatives with the contractor’s representatives at the Social Security Administration, Baltimore, MD, immediately after award. At the Government’s option, the postaward conference may be held via teleconference.

Person(s) that the contractor deems necessary for the successful implementation of the contract must be in attendance.

**PREPRODUCTION MEETING:** A preproduction meeting covering the printing, imaging, folding, inserting, and mailing shall 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 Publishing Office, Social Security Administration and the U.S. Postal Service. The contractor shall present and explain their final plan for the printing, imaging, folding, inserting, and mailing the notices.

The contractor shall 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.

In addition, the contractor shall be prepared to present detailed production plans, including such items as quality assurance, projected commencement dates, equipment loading, pallet needs, etc. The contractor is to provide the name of the representatives responsible for the mailing operations and that individual’s backup.

Person(s) that the contractor deems necessary for the successful implementation of the contract must be in attendance.

**ASSIGNMENT OF JACKETS, PURCHASE ORDER, TASK ORDERS, 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 daily electronic “Task Order” for each job placed with the contractor. A print order will be issued weekly and will indicate the total number of task orders placed and the total number of notices produced that week. The print order will also indicate any other information pertinent to the particular order.

**ORDERING:** Items to be furnished under the contract shall 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 October 31, 2020, 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 shall 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 shall detail the daily volume of notices required. A Print Order (GPO Form 2511) will 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 shall 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 shall not constitute the basis for an equitable price adjustment under this contract.

Except as otherwise provided in this contract, the Government shall order from the contractor all the items set forth which are required to be purchased by the Government activity identified on page 1.

The Government shall 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 shall 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 shall 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 shall 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 as stated in 5 U.S.C. 552a (i)(1) CRIMINAL PENALTIES. 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) CRIMINAL PENALTIES and m(1) GOVERNMENT CONTRACTORS.

### **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.

**PAYMENT:** Submitting invoices for payment via the GPO fax gateway (if no samples are required) utilizing the GPO barcode coversheet program application is the most efficient method of receiving payment. Instruction for using this method can be found at the following web address:

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

Invoices may also be mailed to: U.S. Government Publishing Office, Office of Financial Management, Attn: Comptroller, Stop: FMCE, Washington, DC 20401.

For more information about the billing process, refer to the General Information of the Office of Finance web page located at: <https://www.gpo.gov/how-to-work-with-us/agency/billing-and-payment>.

***Contractor's billing invoice must be itemized in accordance with the items in the "SCHEDULE OF PRICES."***

## SECTION 2. - SPECIFICATIONS

**SCOPE:** These specifications cover the production of mailing packages from nine (9) mailers\*, consisting of English and Spanish personalized notices/forms; multiple language inserts, courtesy reply mail (CRM) envelopes, and mailout envelopes requiring such operations as: the receipt and processing of transmitted data; re-development of AFP resources; composition; printing and imaging; binding; construction; inserting; for BIC-T notices, the extraction of return address from the Mail Run Data (MRD) File and spraying/imaging return addresses on mailout envelopes; providing mail.dat files, metering or manifesting; presorting, commingling, and mailing; and distribution.

**TITLE:** Residual Notices.

This workload contains barcodes and forms that are scanned and read into electronic folders. Due to this requirement, the contractor is required to print all notices at a minimum of 600 x 600 dpi to ensure the proper scanning of all forms and barcodes.

\*The nine (9) mailers are as follows:

1. Critical Payment System Notices (CPS)
2. Continuing Disability Deferral Notices (CDR)
3. Widow Retirement Notices (Potential Entitlement to Higher Benefits (PEHB) project)
4. Foreign Enforcement Questionnaires (FEQ) SSA-7161 (May/June)
5. Foreign Enforcement Questionnaires (FEQ) SSA-7161 (Sept/Oct)
6. Foreign Enforcement Questionnaires (FEQ) SSA-7162 (May/June)
7. Foreign Enforcement Questionnaires (FEQ) SSA-7162 (Sept/Oct)
8. BIC-T English Notices
9. BIC-T Spanish/English Notices

Future workloads:

10. through 12. New Notices (during term of contract)

Each mailout window envelope (used for the BIC-T notices) will be variable sprayed/imaged with one of approximately 1,300+ different SSA field office (FO) return addresses found in the furnished MRD File.

For Mailers 4 through 7 (FEQ), the instruction inserts are only used once per year, and volumes of each are unknown until files are transmitted. Due to this, the contractor is required program the files to print the instruction inserts in line with the notices. If the contractor decides to pre-print these inserts, they must have sufficient stock to meet the mailing volume; the Government will not be responsible for any overages.

During the term of this contract, the Government expects to develop new notice workloads with the same requirements as the nine (9) 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.

**FREQUENCY OF ORDERS AND QUANTITY:** A print order will be issued weekly and will indicate the total number of task orders placed and total number of copies produced that week. The print order will also indicate any other information pertinent to the particular task orders.

Combined total for all nine (9) workloads is approximately 3,049,700 notices per year.

The Government reserves the right to increase or decrease up to 25% the total number of notices ordered annually. This 25% includes the additional notices occasioned by the one (1) to three (3) new notices workloads developed during the term of this contract.

Transmission schedule is as follows:

- CPS Runs - Each morning Tuesday through Saturday.
- CDR Runs - Each morning Monday through Friday
- FEQ Runs - Twice each year (May/September)
- WIDOW Runs - Three Times each year (February/March; May/June and October/November)
- BIC-T Notices - Monthly

NOTE: This is the anticipated schedule; delays and changes to schedule may occur. Contractor must be prepared to receive files 24/7/365.

**NUMBER OF PAGES:**

Notices: 1 to 4 pages (1 or 2 leaves).

Inserts: 2 to 4 pages (1 or 2 leaves).

Publications: 1 leaf (face and back).

All Envelopes: Face and back (after manufacturing).

**TRIM SIZES:**

Notices: 8-1/2 x 11".

SSA-7161/SSA-7162 Instruction inserts: 8-1/2 x 11".

Publications SSA 05-10529/SSA 05-10989: 8-1/2 x 11".

CRM Return Envelopes: 5-3/4 x 8-3/4".

Mailout Envelopes: 4-1/8 x 9-1/4".

Mailout Envelopes: 6-1/8 x 9-1/2".

**GOVERNMENT TO FURNISH:**

Manuscript for 15 Outgoing envelopes.

Manuscript for 2 CRM Return Envelope.

Camera copy of FIM and Barcode for CRM Return Envelopes.

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

Camera copy or PDF for all FEQ Instruction Inserts.

Camera copy and/or electronic file with GPO 952 form for publications.

Camera copy for signatures.

PS Form 3615, Mailing Permit Application and Customer Profile.

Mailing Indicia - "Postage and Fees Paid"

Official Government Postage Meters (if necessary).

National Change of Address (NCOA) Certificate

Coding Accuracy Support System (CASS) Certificate

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

- Exhibit A: Form SSA-301, Contractor Personnel Security Certification.
- Exhibit B: Security and Suitability Requirements
- Exhibit C: Questionnaire for Public Trust Positions (SF85P)
- Exhibit D: Fingerprint Card
- Exhibit E: Declaration of Federal Employment (OF306)
- 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
- Exhibit J: Postage Meter Activity Log
- Exhibit K: Key SSA and GPO Personnel Contact Information
- Exhibit L: References for External Services Providers (ESP)
- Exhibit M: SSA External Service Provider Security Requirements
- Exhibit N: Additional SSA External Service Provider Security Requirements
- Exhibit O: SAR Template
- Exhibit P: SSP Template

**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.

Files are in print image format and in ZIP Code sequence by dataset name. Contractor will be required to sort files as necessary (i.e., leaf counts or mail weight) to obtain maximum USPS Postal discounts.

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; Fully Composed or Mixed Mode) resources 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 contractor must have software or an operating system which is 100% compliant with the most recent release of the IBM MVS z/OS 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 and MRD File to ensure proper printing and inserting in their environment. *(NOTE: SSA prints 2UP DUPLEX ROLL IN TO ROLL OUT with the 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. Each piece of mail will be assigned a unique alpha/numeric identifier for tracking, insertion, location, and recovery processes.)*

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 to be sprayed/imaged on the mail piece's mail-out envelope, 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).

The BNR file contains information for setting up the intelligent inserters such as file totals, number of mail packets, 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 each 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 postaward conference that are to be used in performing the various preproduction validation tests and preproduction press and mail run 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).

#### **PRINTER RESOURCES: AFP**

SSA will provide the AFP resources for each notice workload. These resources will be provided on the contractor's choice of media (transmission via data connection between the contractor's specified location and the nearest available SSA network interface location or SSA's National Computer Center in Baltimore, MD or email) shortly after the postaward conference. (The test files are to be used in the various preproduction validation tests and the preproduction print/mail run tests. (See the "TRANSMISSION TEST" and "PREPRODUCTION PRESS AND MAIL RUN TEST" specified herein.)

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 z/OS 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.

#### **Government to provide the following at postaward conference, or shortly after:**

*Print Resource Library (AFP) (via e-mail):* Advanced Function Presentation (AFP; Fully Composed or Mixed Mode) resources include page and form definitions; fonts, page segments and overlays (if applicable) for page formatting.

*Preproduction Press and Mail Run Test Files for Transmission:* An AFP formatted print files with the corresponding MRD Files and Banner files will be provided for each workload in the quantities required.

*Revised Resource Library (AFP) via 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 emailed to the contractor as a replacement.

NOTE: Contractor will be responsible for providing any licensed fonts required during the term of this contract.

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 shall install them immediately and provide SSA with 100 sample documents representative of the workload involved, from the test file, within one (1) workday for review. Contractor is to continue using existing resources while the samples are reviewed. Once the samples are approved, the contractor will be told when to start using the new resources. Whenever testing is required, the contractor will be responsible for performing the test on each printer that processes SSA's notices. Submit these samples to Social Security Administration, Printing Management Team (see Exhibit K).

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

**TRANSMISSIONS:** 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. At the Government's option, the Government will either place an order for a dedicated circuit data connection to be installed (within 60 to 90 calendar days) between the contractor's location(s) and SSA's network interface location, or the connectivity method will be through the Internet using an encrypted VPN tunnel. The connection method is at the sole discretion of the Government. The Government shall 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 VPN Internet connection method is deemed necessary, the contractor must have an Internet ready VPN IP security (IPsec) capable device. The Government will not be responsible for any cost associated with the VPN Internet connection that the contractor may incur.

If a dedicated circuit transmission is deemed necessary, SSA will determine the appropriate bandwidth for the connection. The cost of this connection will be borne by the Government. The contractor shall immediately provide a complete delivery address with nearest cross-street, contact name, and phone number for installation of data transmission services and equipment. The contact person at the contractor's site will be available for delivery of services at the specified location. The Government shall not be responsible for incorrect or lack of address information, nor for non-availability of contact person at the delivery site. SSA will provide the necessary dedicated data connection, including a router, modem, and firewall at the contractor's specified location(s).

The contractor shall provide adequate rack space for securing the router and firewall; the contractor shall provide a dedicated analog dial-up line within eight (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 and equipment.

The contractor must provide capability to utilize the capacity of the connection(s) to fulfill the intended purposes of this contract. The contractor shall provide a suitable environment for installation of the equipment. Power specifications for the router(s) are: AC Power Dissipation (280W maximum) and AC input voltage (100 to 240VAC).

The cabinet specifications are: 36U enclosure; frame (72" H x 24" W x 36" D); 23-19 inch appropriate revsa rails (10-32 tapped); louvered side panels; Plexiglas locking front door; solid locking rear door; heavy duty lockable dual width casters; top fan assembly (4 fans); 10- or 12-outlet 20-amp power strip; 19" width slide-out shelf; cable management (wire loops); appropriate cabinet grounding for installation; or equivalent to previous specifications.

It is the contractor's responsibility to notify SSA when systems or connection problems arise and transmission cannot take place. SSA's first point of contact for systems or connectivity problems shall be the HELP DESK at (877) 697-4889.

Any reprogramming and/or reformatting of data supplied by wire transmission or VPN Internet transmission necessitated due to the contractor's method of production shall be the responsibility of the contractor and done at no cost to the Government.

Data provided to the contractor must be retained for 21 workdays after mailing.

**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.

Secure File Transfer Protocols (SFTP) Site: Contractor is required to set up, establish, and maintain an SFTP site that multiple users at SSA can access for passing PDF notice validation samples containing PII to SSA and back. Contractor cannot send PDF notices containing PII via email.

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

Contractor will be responsible for providing any licensed fonts required during the term of this contract.

**FILE TRANSFER MANAGEMENT SYSTEM (FTMS) REQUIREMENTS:** The contractor shall provide the capability to interface with SSA's National FTMS for electronic transmission of designated 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 software from TIBCO product. 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 z/OS 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.

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

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. 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.

Transmission of production files shall be the standard, automated technique. In the event that the transmission network is unavailable for a time period deemed critical by the Government, the files may (at the Government's option) be processed at the SSA print/mail facility.

The contractor's FTMS software shall be operational for the receipt of data files 24 hours a day, seven (7) days a week, unless otherwise specified by the Government. The communications protocol between SSA and the contractor shall 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.

It is the contractor's responsibility to notify SSA when systems or connection problems arise and transmission cannot take place. SSA's first point of contact for systems or connectivity problems shall be the HELP DESK at (877) 697-4889.

The contractor must not compress files in processing data for this contract. It is solely the contractor's responsibility to redevelop/reprogram the AFPDS resources and mail run data to ensure proper printing and inserting in their environment.

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 destroyed by the contractor.

NOTE: Data provided to the contractor must be retained for 21 workdays after mailing.

**FOR QUALITY CONTROL AND AUDITING PURPOSES:** For quality control and auditing purposes, the contractor must not merge different file dates or Mailers with different mailing schedules during processing, printing, and mailing without prior Government approval.

All files transmitted by SSA will be physical sequential. Any alteration of the notice content in the file is not permitted.

The figures indicated below are for Critical Payment System, Continuing Disability Deferral, Foreign Enforcements 7161, Foreign Enforcements 7162, Widow Retirement Notices, and BIC-T Notices estimates that are based on historical data of past production runs. The figures show the minimum and maximum quantities required daily for the notices, 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 mailout 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.**

The maximum number of mailers transmitted from SSA to the contractor in any given day is 261,000 for Mailers 1 through 9 combined.

If this figure is exceeded, the contractor will receive a "Premium Payment" of 15% (as listed in the "SCHEDULE OF PRICES" for Items IV. (b) and (g) and Items VI. (a) and (b) for those extra notices. No additional time will be allowed for the mailing of these notices and all notices for that print order must mail on time to receive the premium payment.

**NOTICES:** Notices ordered under this contract will range from 1 to 4 printed pages (1 to 2 leaves) per notice.

See the following for page and leave counts of each mailer. New notices may contain up to 6 printed pages (no more than 3 leaves.)

***Mailers 1 through 9 will consist of the following:***

- 1. Critical Payment System (CPS) Notice:** Mailers are English notices represented by the following data set name. The mailer consists of 1-leaf (2-page) notices and transmits daily.

Dataset name:	CPSAFP.M1#aaaaa.Ryymmdd
Daily Minimum:	50
Daily Maximum:	2,180
Printed Pages:	2
Leaves:	1
Inserts:	Personalized English Notice Mailout Envelope (4-1/8 x 9-1/4") (PC1 through 8)
Folding:	Tri-Fold

- 2. Continuing Disability Deferral (CDR) Notice:** Mailer is an English only notice represented by the following data set name. The mailer consists of a 1-leaf (2-page) notices and transmits daily.

Dataset name:	CDRAFP.M2#aaaaa.Ryymmdd
Daily Minimum:	200
Daily Maximum:	20,000
Printed Pages:	2
Leaves:	1
Spike:	60,000 (This may occur two (2) times a year in August and November)
Inserts:	Personalized English Notice Mailout Envelope (4-1/8 x 9-1/4") (PC1 through 6)
Folding:	Tri-Fold

- 3. Widow/Spouse RIB Retirement Notice:** Mailers are English only notices represented by the following data set names. The mailer consists of 1-leaf (2-page) notices and transmits three (3) times a year in February/March, May/June, and October/November. Mailers may generate any combination of components below.

Dataset name: WIDAFP.M30aaaaa.Ryymmdd  
Minimum: 1,500  
Maximum: 102,000  
Printed Pages: 1 or 2  
Leaves: 1  
Inserts: Personalized English Notice  
Mailout Envelope (4-1/8 x 9-1/4")  
Folding: Tri-Fold

**Foreign Enforcements Questionnaires SSA-7161 and SSA-7162:** Mailers are English only with multiple language instructions inserts. The mailer consists of 1-leaf (2-page) notices and transmits biannually in May/June and September/October. The contractor is required to print the instruction sheets in-line with the notices as volumes for each instruction is unknown until files are transmitted. These notices are time-sensitive, static forms with variable information mailed to Domestic and Overseas Beneficiaries to maintain eligibility. Mailers may generate any combination of components below:

**4. SSA-7161 (May/June Mailing):**

Dataset name: FENAFP.M47aaaaa.Ryymmdd  
May Minimum: 30,000  
May Maximum: 40,000  
Printed Pages: 2  
Leaves: 1  
Inserts: Personalized Notice/Form SSA-7161-SM  
Mailout Envelope (6-1/8 x 9-1/2")  
CRM Return Envelope (5-3/4 x 8-3/4")  
SSA-7161-GR-INST  
SSA-7161-JA-INST  
SSA-7161-FR-INST  
SSA-7161-GE-INST  
SSA-7161-IT-INST  
SSA-7161-NE-INST  
SSA-7161-PE-INST  
SSA-7161-PO-INST  
SSA-7161-SP-INST  
SSA-7161-SW-INST  
SSA-7161-INST  
Folding: Bi-Fold

**5. SSA-7161 (September/October Mailing):**

Dataset name: FENAFP.M57aaaaa.Ryymmdd  
September Minimum: 5,000  
September Maximum: 10,000  
Printed Pages: 2  
Leaves: 1

Inserts: Personalized Notice/Form SSA-7161-SM  
Mailout Envelope (6-1/8 x 9-1/2")  
CRM Return Envelope (5-3/4 x 8-3/4")  
SSA-7161-SUP  
Folding: Bi-Fold

**6. 7162 (May/June Mailing):**

Dataset name: FENAFP.M67aaaaa.rundate  
May Minimum: 290,000  
May Maximum: 390,000  
Printed Pages: 2  
Leaves: 1  
Inserts: Personalized Notice/Form SSA-7162-SM  
Mailout Envelope (6-1/8 x 9-1/2")  
CRM Return Envelope (5-3/4 x 8-3/4")  
SSA-7162-GR-INST  
SSA-7162-JA-INST  
SSA-7162-FR-INST  
SSA-7162-GE-INST  
SSA-7162-IT-INST  
SSA-7162-NE-INST  
SSA-7162-PE-INST  
SSA-7162-PO-INST  
SSA-7162-SP-INST  
SSA-7162-SW-INST  
SSA-7162-INST  
Folding: Bi-Fold

**7. 7162 (September/October Mailing):**

Dataset name: FENAFP.M77aaaaa.Ryymmdd  
September Minimum: 30,000  
September Maximum: 70,000  
Printed Pages: 2  
Leaves: 1  
Inserts: Personalized Notice/Form SSA-7162-SM  
Mailout envelope 6-1/8 x 9-1/2"  
CRM Return Envelope 5-3/4 x 8-3/4".  
SSA-7162-SUP  
Folding: Bi-Fold

**8. BIC-T English Notice:** Notices are represented by the following data set name. The mailer consists of 1-lead (2-page) notices.

Dataset name: BICAFP.M81aaaaa.Ryymmdd  
Monthly Minimum: 55,000  
Monthly Maximum: 85,000

Printed Pages: 2  
Leaves: 1  
Inserts: Personalized English Notice  
Publication 05-10529  
Mailout Envelope (4-1/8 x 9-1/4") (variable return address)  
Folding: Tri-Fold

- 9. BIC-T Spanish Notice:** Spanish notices are represented by the following data set name. The mailer consists of 2-leaf (4-page) notices.

Dataset name: BICAFP.M91aaaaa.Ryymmdd  
Monthly Minimum: 500  
Monthly Maximum: 1,000  
Printed Pages: 4  
Leaves: 2  
Inserts: Personalized English Notice  
Publication 05-10989  
Mailout Envelope (4-1/8 x 9-1/4") (variable return address)  
Folding: Tri-Fold

*New Workload Notices 10 through 12 will consist of the following:*

- 10. File names will be shared as they are developed:**

Daily Minimum: 0 to 28,000  
Daily Maximum: 28,000  
Transmission: Biannual to coincide with widow run  
Printed Pages: 1 to 4  
Leaves: 1 to 2  
Inserts: Personalized English, Domestic, and Foreign Notices will be transmitted in same file  
Mailout envelope (4-1/8 x 9-1/4" or 6-1/8 x 9-1/2")  
CRM Return Envelope (5-3/4 x 8-3/4")  
Folding: Tri-Fold or Bi-fold

- 11. and 12. File names will be shared as they are developed:**

Daily Minimum: 100  
Daily Maximum: 36,000  
Printed Pages: 1 to 6  
Leaves: 1 to 3  
Inserts: Personalized English Notice  
Mailout Envelope (4-1/8 x 9-1/4" or 6-1/8 x 9-1/2")  
CRM Return Envelope (5-3/4 x 8-3/4")  
Folding: Tri-Fold or Bi-fold

**New Notice Workloads:** These new mailers could be English and/or bilingual English/Spanish notices. Notices will consist of 1 to 6 pages (no more than 3 leaves). These mailers may consist of a personalized notice and mailout envelope or a personalized notice, a CRM return envelope, and a mailout envelope. All notice and envelope requirements will match those described in Mailers 1 through 9. Pricing for the New Notice Workload will in accordance with the “SCHEDULE OF PRICES,” as applicable.

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

# – is the PC number 1 through 8 for CPS and 1 through 6 for the CDR workloads.

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.

M – is the mailer identifier.

The files will be broken down and transmitted in segments by PC codes. Each file transmitted will have a banner page (BNR) identifying the PC and required inserts.

The PC codes correspond to the mail-out envelope required for CPS and CDR mailers as follows:

- PC1 - Northeastern (Jamaica, NY)
- PC2 - Mid-Atlantic (Philadelphia, PA)
- PC3 - Southeastern (Birmingham, AL)
- PC4 - Great Lakes (Chicago, IL)
- PC5 - Western (Richmond, CA)
- PC6 - Mid-America (Kansas City, MO)
- PC7 - Office of Central Operations (Domestic and Foreign) (Baltimore, MD)
- PC8 - Office of International Operations (Baltimore, MD)

NOTE: The data set names listed above (and throughout these specifications) may not be the final data set names that will be transmitted to the contractor. Final data set names will be provided to the contractor at or soon after the post award meeting.

#### **Anticipated Yearly Volumes:**

Mailer 1 CPS notices:	155,000
Mailer 2 CDR notices:	1,400,000
Mailer 3 Widow notices:	165,000
Mailer 4 FEQ 7161 (May/June):	32,000
Mailer 5 FEQ 7161 (Sept/Oct):	8,200
Mailer 6 FEQ 7162 (May/June):	380,000
Mailer 7 FEQ 7162 (Sept/Oct):	51,000
Mailer 8: BIC-T English Notices	850,000
Mailer 9: BIC-T Spanish Notices	8,500

#### **Residual Workloads Mailout Envelopes: 4-1/8 x 9-1/4”**

The CPS, CDR, Widow Retirement, and BIC-T Notices each utilize the same size mailout envelope with the exception of the return addresses.

**CPS and CDR Mailout Envelopes:**

<u>Program Service Center</u>	<u>90-Calendar Day Volumes</u>
Northeastern Program Service Center (PC1)	49,071
Mid-Atlantic Program Service Center (PC2)	51,821
Southeastern Program Service Center (PC3)	84,712
Great Lakes Program Service Center (PC4)	57,757
Western Program Service Center (PC5)	57,806
Mid-America Program Service Center (PC6)	69,935
Office of Central Operations (PC7)	137,248
Office of International Operations (PC8)	150

**Mailers 4 through 7 Foreign Enforcement Instruction Inserts\*:**

<u>Inserts</u>	<u>Anticipated Annual Volumes</u>
SSA-7161-GR-INST	585
SSA-7161-JA-INST	715
SSA-7161-FR-INST	2,895
SSA-7161-GE-INST	1,890
SSA-7161-IT-INST	691
SSA-7161-NE-INST	205
SSA-7161-PE-INST	610
SSA-7161-PO-INST	435
SSA-7161-SP-INST	10,275
SSA-7161-SW-INST	225
SSA-7161-SUP	8,170
SSA-7161-INST	31,605
SSA-7162-GR-INST	12,641
SSA-7162-JA-INST	40,495
SSA-7162-FR-INST	68,935
SSA-7162-GE-INST	21,686
SSA-7162-IT-INST	15,800
SSA-7162-NE-INST	3,450
SSA-7162-PE-INST	7,963
SSA-7162-PO-INST	15,362
SSA-7162-SP-INST	75,570
SSA-7162-SW-INST	3,265
SSA-7162-SUP	50,830
SSA-7162-INST	379,520

\*Due to uncertainty of FEQ insert volumes for each run, the contractor is required to develop their programming to print the inserts in line with the notices.

**Mailers 8 and 9 BIC-T Publications:**

<u>Inserts</u>	<u>Anticipated Annual Volumes</u>
05-10529 (English)	763,370
05-10989 (Spanish)	8,065

**PREPRODUCTION TESTS:** Prior to the commencement of production of orders placed under this contract, the contractor will be required to demonstrate their ability to perform to the contract requirements by performing a Transmission Test, a Preproduction Validation Test, a Preproduction Press and Mail Run Test, and a System Change/New Notice Files/Signature Validation Test.

Failure of the contractor to perform any of the tests 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 postaward conference if any test(s) is to be waived.

In the event that any transmission cannot be processed due to media problems, the contractor shall notify SSA within 2 hours of receipt.

In the event any transmission cannot be processed due to link problems or data transmission circuit/connection outages, the contractor shall notify SSA's HELP DESK operations immediately at (410) 965-4889 and report required observations and findings. The contractor shall notify SSA of any reprogramming and/or reformatting of data supplied by wire transmission or VPN Internet transmission necessitated due to the contractor's method of production, within two (2) hours of receipt of the data.

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 destroyed by the contractor. Data provided to the contractor must be retained for 21 workdays after mailing.

**Transmission Test:** After the appropriate bandwidth connection has been installed, the contractor will be required to perform a transmission test.

The contractor will be required to receive within one (1) workday approximately 415,000 notices. Notices range from 2 to 4 printed pages. Within one (1) workday after the complete transmission of the test files, the contractor will be required to copy the files to their own system and provide SSA with the exact counts received (broken down by Mailer and PC, if applicable) before proceeding with any other processing.

The SSA will provide verification the same workday of receipt thereof.

**Preproduction Validation Test:** When the count verification has been successfully completed, the contractor will be required to provide SSA, within two (2) workdays, 360 PDF sample documents from the transmission test.

Contractor shall provide 20 notices per file for each Mailer in their own PDF file (the CPS consists of eight (8) files and the CDR consists of six (6) files).

The contractor shall also print 20 samples for each FEQ (Mailers 4 through 7) for scan testing and deliver those printed samples to the following SSA component: Wilkes-Barre Data Operations Center (see Exhibit K for addresses).

NOTE: For FEQ inserts, the samples must include the inserts.

Contractor to send these test samples to SSA, Printing Management Team, via SFTP.

The Government will approve, conditionally approve, or disapprove the samples from the Preproduction Validation Test within five (5) workdays of receipt thereof. Approval or conditional approval shall 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 shall state the reasons thereof.

***If errors are found, additional samples of notices (as indicated above) will be required until such time as the validation produces no errors.***

***Preproduction Press and Mail Run Test:*** Prior to commencement of production of the contract, the contractor will be required to perform a 12-hour preproduction press and mail run test.

The contractor will be issued a print order for the 12-hour test. Upon successful completion of all test requirements, the contractor will be reimbursed for all applicable costs, in accordance with the contractor's submitted bid prices in the "SCHEDULE OF PRICES."

If the contractor fails to meet all test requirements, the Government will not reimburse the contractor for any associated costs. Failure to meet all test requirements is also grounds for immediate termination of the contract for default.

In order to complete this test, the contractor is to use the files provided from the aforementioned transmission test.

The contractor will be required to have all composition, proofing, envelopes, scanning equipment, and reports for 100% accountability of production and mailing, completed, available, and ready for production prior to beginning the test. Notices are to be completed in accordance with contract requirements, inserted into envelopes, and prepared for mailing.

Contractor will be required to provide the necessary audit and summary reports for 100% accountability of production and mailing within one (1) hour after the run is completed.

NOTE: If a subcontractor is utilized for the sorting and/or mailing of the notices of this contract, the 12-hour test must include the use of this facility. No additional time will be allowed for the transportation and handling of the notices to and from this facility. For the FEQ run, after award and production plans are approved, the volume for the test maybe adjusted once the transportation to and running time at the subcontracted IPA House are known.

The contractor must produce 75,700 notices in a continuous 12-hour period that will prove to the Government representatives that the contractor can satisfactorily complete the requirements of this contract during live production. (For Mailers 1 and 2, the contractor must produce a minimum of 20 notices from each PC.) This includes all reprints (as outlined in "100% ACCOUNTABILITY OF PRODUCTION AND MAILING" specified in SECTION 1) required during the run.

Quantities required per Mailer are as follows:

Critical Payment System Notice	Mailer 1	1,100
Continuing Disability Deferral Notice	Mailer 2	10,000
Federal Enforcement Questionnaire SSA-7161	Mailer 4	6,000
Federal Enforcement Questionnaire SSA-7162	Mailer 6	50,000
BIC-T English Notices	Mailer 8	8,500
BIC-T Spanish Notices	Mailer 9	100

The 12-hour period for the printing process will begin when an "O.K. 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.

The test run will incorporate all aspects of the program consisting of the processing of the electronically transmitted test files; the duplex printing and imaging of notices; gathering; folding; inserting; manifesting; presorting; and preparing finished notices for delivery to the USPS. To simulate actual production conditions, the product to be produced must be in accordance with all contract specifications and all USPS regulations.

The contractor must perform the preproduction press and mail run test on their equipment and using their personnel. The test must be performed on the printing equipment and inserting machines with required scanning equipment that will be used in live production. All samples shall be manufactured at the facilities in which the contract production quantities are to be manufactured.

After completion of the preproduction press and mail run test, the Government will take samples for validation.

The Government will approve, conditionally approve, or disapprove the validation output within seven (7) workdays of receipt thereof. Approval or conditional approval shall 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 shall state the reasons thereof.

***Failure to meet the requirements of the 12-hour test is grounds to immediately terminate the contractor for default.***

***System Change/New Notice Files/Signature Validation Test:*** When required, the Government will furnish test files for transmission that are to be used in performing a Systems Change Validation/New Notice Test. This test is required whenever SSA initiates a systems/programming change or when a new notice workload is developed.

The contractor shall furnish up to 100 printed samples (no envelopes or enclosures).

Contractor to submit these samples to SSA, Printing Management Branch (Exhibit K) within two (2) workdays of receipt of test files.

The Government will approve, conditionally approve or disapprove the samples within seven (7) workdays of receipt thereof.

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

***If errors are found, additional samples of notices (as indicated above) will be required until such time as the validation produces no errors.***

The contractor's FTMS software shall be operational for the receipt of data files 24 hours a day, 7 days a week, unless otherwise specified by the Government. (If there are problems, such as reruns, system problems, etc., files may be transmitted afterhours and/or on Sundays.) (See "FILE TRANSFER MANAGEMENT SYSTEM (FTMS) REQUIREMENTS" for additional information.)

## **VALIDATION SAMPLES:**

All PDF samples must be sent via SFTP.

***Widow Retirement Notices (Potential Entitlement to Higher Benefits (PEHB) Project):*** Validation samples will be required with each order of the Widow Retirement Notices and any time that a copy change is required during the term of the contract.

The contractor shall furnish SSA a total of 50 PDF samples of the notices within two (2) workdays of receipt of the live production file.

***FEQ Notices:*** Validation samples will be required with each order of the Foreign Enforcement Notices and any time that a copy change is required during the term of the contract.

The contractor shall furnish SSA three (3) identical sets of 100 printed samples of the notices with Instruction inserts (50 of each notice type) within two (2) workdays of receipt of furnished files.

The sample selection must contain a notice sample from 50 different consular codes or countries for each notice type (SSA-7161, SSA-7162). One set is to be distributed to each of the following: the Print Management team, Office of Central Operations, and Wilkes-Barre Operations Center (see Exhibit K).

When requested by the Government, the contractor will provide up to 100 additional printed and inserted samples (with all required inserts) of any mailer within five (5) workdays of request.

Samples are to be delivered to: Social Security Administration, Printing Management Team (see Exhibit K).

The Government will approve, conditionally approve or disapprove validation samples within five (5) workdays of receipt thereof.

**COMPOSITION:** Contractor will be required to set type for 17 envelopes and 24 Foreign Enforcement Instruction sheets (English and 10 foreign languages). Helvetica or similar typeface will be utilized.

Sonoran Serif or equivalent fonts are to be used for producing the notices. SSA will provide the font part numbers to the contractor who will validate that they have the proper licenses for each required font.

The contractor will be required to obtain the necessary font for the USPS IMB; SSA will not provide it with Resources supplied.

**PROOFS: Proofs will be required with the initial order and any time that a copy change is required during the term of the contract.**

SSA uses many of the same booklets, leaflets, fact sheets, and forms in several of its print contracts. To reduce the proofing requirements for any revisions, if it is determined that after award the contractor on this program is responsible for the production of any other SSA workloads containing the same publications and/or forms required for this program, then the revisions may be proofed under one of these other programs.

SSA reserves the right to make changes to all proofs. The Government may require one (1) or more sets of revised proofs before rendering an "O.K. to Print."

***Envelopes*** – One (1) "Press Quality" PDF soft proof for content only using the same Raster Image Processor (RIP) used to produce the final printed product. The PDF proof will be evaluated for text flow, image position, and color breaks only. (Proofs will not be used for color match or construction.) Proofs must show all margins and dimensions, indicate trim marks, show flap, and window size and placement.

**FEQ Inserts** – One (1) “Press Quality” PDF soft proof for content only using the same Raster Image Processor (RIP) used to produce the final printed product. The PDF proof will be evaluated for text flow, image position, and color breaks only. (Proofs will not be used for color match.) Proofs must show all margins.

**Publications** – Three (3) sets of inkjet proofs that are G7 profiled and use pigment-based inks. A proofing RIP that provides an option for high quality color matching (such as Device Links Technology and/or ICC Profiles Technology), and meets or exceeds industry tolerance to ISO 12647-7 Standard for Graphic Technology (as of 3/19/09, and future amendments) must be utilized plus GRACoL 2006 Coated #1 specifications (CGATS TR006) must be achieved. Output must be a minimum of 720 x 720 dpi on a GRACoL or SWOP certified proofing media. Proofs must contain the following color control strip to be evaluated for accuracy: IDEAlliance ISO 12647-7 Control Strip 2009 or 2013(i1).

The make and model number of the proofing system utilized shall be furnished with the proofs. These proofs must contain all elements, be in press configuration, and indicate margins. Proofs will be used for color match on press. Direct to plate must be used to produce the final product with a minimum of 2400 x 2400 dpi.

Pantone colors must be simulated on proofs and must be proofed separately on a digital color content, overlay, or inkjet proof. Contractor may be required to submit ink draw downs on actual production stock of Pantone color(s) used to produce the product.

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.

The contractor must not print prior to receipt of an “O.K. to Print.”

**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.

Government Paper Specification Standards No. 12 – [https://www.gpo.gov/docs/default-source/forms-and-standards-files-for-vendors/vol\\_12.pdf?sfvrsn=2](https://www.gpo.gov/docs/default-source/forms-and-standards-files-for-vendors/vol_12.pdf?sfvrsn=2).

All paper used in each copy must be of a uniform shade.

**NOTE Regarding JCP Code A60 Only:** The requirement for postconsumer fiber (as specified in the Government Paper Specification Standards No. 12) for this stock is waived. However, the addition of postconsumer fiber is encouraged provided that the requirements of this Standard are met. All other attributes remain the same.

**Personalized Notices, Forms, and Inserts:** White Offset Book, basis weight: 50 lbs. per 500 sheets, 25 x 38”, equal to JCP Code A60; or, at contractor’s option, White Writing, basis weight: 20 lbs. per 500 sheets, 17 x 22”, equal to JCP Code D10.

**Publications:** White Offset Book Text, basis weight: 60 lbs. per 500 sheets, 25 x 38”, equal to JCP Code A60.

**CRM Return Envelope (5-3/4 x 8-3/4”) –** Any white stock, 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.

**Mailout Envelope (4-1/8 x 9-1/4”) –** White Writing Envelope (or Wove), basis weight: 24 lbs. per 500 sheets, 17 x 22”, bursting strength 24 lb/in<sup>2</sup>, equal to JCP Code V20; or, at contractor’s option, White Offset Book, basis weight: 60 lbs. per 500 sheets, 25 x 38”, equal to JCP Code A60.

**Mailout Envelope (6-1/8 x 9-1/2")** – White Writing Envelope (or Wove), basis weight: 24 lbs. per 500 sheets, 17 x 22", bursting strength 24 lb/in<sup>2</sup>, equal to JCP Code V20; or, at contractor's option, White Offset Book, basis weight: 60 lbs. per 500 sheets, 25 x 38", equal to JCP Code A60.

## **PRINTING/IMAGING:**

*NOTE: 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 inventory of any of the components required for Mailers 1, 2, 8, and 9, and no more than a 1-year inventory of any of the components required for Mailers 3 through 7 on this contract. The Government shall 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.*

**Quality Control:** The contractor must maintain a thorough quality assurance program to guarantee that digital imaging is securely fused to the paper; clear and legible; and, that a copy of the finished product is mailed to all addresses contained on furnished files.

**Notices** – Contractor will be required to convert furnished data from electronic transmission for either laser or ion deposition imaging. All imaging/printing shall have a minimum resolution of 600 x 600 dpi.

All notices are duplex printed (face and back, head-to-head) and one side only (when an odd page is required) in black ink only.

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

**FEQ Instruction Inserts (8-1/2 x 11"):** Print head-to-head in black ink with the exception of the following inserts, SSA-7161-SUP and SSA-7162-SUP, which print face only. NOTE: Contractor is required to print these inserts in-line with the notice as exact volumes for each run is unknown until files are transmitted.

**Publications (8-1/2 x 11"):** Print head-to-head in two (2) Pantone ink colors with screens. Match Pantone number as indicated on furnished copy.

**ALL Envelopes** – All envelopes print face and back (after manufacture) in black ink.

All envelopes require a security tint (lining is acceptable) printed on the inside (back - before manufacture) in black ink. Contractor may use his own design but must guarantee that the product will ensure complete opacity and prevent show through of any material contained therein. Printing shall be in accordance with the requirements for the style envelope ordered. All printing shall comply with all applicable U.S. Postal Service regulations. The envelope shall accept printing without feathering or penetrating to the reverse side.

**CRM Return Envelope (5-3/4 x 8-3/4"):** Face of envelope to be in "COURTESY REPLY FORMAT." Inside of CRM return envelope 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. If the pamphlets are printed on recycled paper, the recycled paper logo and legend must print in the same Pantone ink color as the text.

**Notices** – The recycled paper logo/legend must be digitized by the contractor and imaged in the bottom right-hand corner aligned with the contractor's control number on the first page of each notice.

**Envelopes** – The logo/legend must be printed on the back of all envelopes in the bottom left-hand corner.

**MARGINS:** Margins will be as indicated on the print order or furnished electronic file.

**PRESS SHEET INSPECTION:** Final makeready 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 makeready 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 January 2015. 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.

Press sheets must contain control bars for each color of ink on the sheet. Control bars must be placed parallel to the press's ink rollers. The control bars (such as BRUNNER, GATF, GRETAG, or RIT) must show areas consisting of 1/8 x 1/8" minimum solid color patches; tint patches of 25, 50, and 75%; dot gain scale; and gray balance patches for process color (if applicable). These areas must be repeated across the entire press sheet.

*Viewing Light:* Press sheets will be viewed under controlled conditions with 5000 degrees Kelvin overhead luminaries. The viewing conditions must conform to ISO 3664-2009; a viewing booth under controlled conditions with 5000 degrees Kelvin overhead luminaries with neutral gray surroundings must be provided.

#### **BINDING:**

**Notices:** Trim four sides. All pages in the notice are gathered 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, title out. Either wraparound or accordion folds will be acceptable for the tri-fold notices.

**Mailers 1, 2, 3, 8, 9 and Publications:** Trim four sides. Fold from a flat size of 8-1/2 x 11" down to 8-1/2 x 3-11/16".

**Mailers 4, 5, 6, 7 and Instruction Inserts:** Trim four sides. Fold from a flat size of 8-1/2 x 11" down to 8-1/2 x 5-1/2".

**NOTE (Mailers 4 through 7):** Contractor must not deviate from final fold size of 8-1/2 x 5-1/2" due to automated slitting of CRMs when completed forms are received from recipients. The Government must approve any deviation in fold. If not approved, contractor will be required to reprint entire run at no charge to the Government and mail at contractor's expense.

**CONSTRUCTION (Envelopes):** The Government reserves the right to make changes to the size and position of mailout 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 mailout envelopes required on this contract. The Government shall 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.

**CRM Return Envelope (5-3/4 x 8-3/4"):** Envelope must be open side, with gummed, fold-over flap for sealing and contain high-cut diagonal seams or double side seams, at contractor's option. Flap is at 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 remailing. Adhesive must not adhere to the contents of the envelope.

***Mailout Envelope for Mailers 1, 2, 3, 8, and 9 (4-1/8 x 9-1/4"):*** Envelope must be open side, with gummed, fold-over flap for sealing and contain high-cut diagonal seams or double side seams, at contractor's option. Flap is at contractor's option, but must meet all USPS requirements. Flap must be coated with a suitable 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 1-1/2 x 4" die-cut address window with slightly rounded corners. Die-cut window is to be located 1/2" to 5/8" 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). NOTE: 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 USPS readability standards/requirements.

***Mailout Envelope for Mailers 4 through 7 (6-1/8 x 9 1/4"):*** Envelope must be open side, with gummed, fold-over flap for sealing. Flap is at contractor's option, but must meet all USPS requirements. Flap must be coated with a suitable 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 1-1/2 x 4" die-cut address window with slightly rounded corners. Die-cut window is to be located 1/2" to 5/8" 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). NOTE: 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 USPS readability standards/requirements.

**INSERTING:** Gather the folded notice leaves and insert into the required mailout envelope (as specified under "CONSTRUCTION") 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 barcode on the notice will be visible through the window in the envelope with only one notice inserted into each envelope and that the envelope is securely sealed.

When required, insert(s), publication(s), and/or CRM return envelope(s) are inserted behind the notice (when viewed from the window side of the envelope).

**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 publications, forms 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. NOTE: When a production inspection is required, the Government will notify the contractor.

**DISTRIBUTION:**

- Deliver f.o.b. destination with the first order and whenever SSA makes a significant change to the language, format, or appearance of a notice, 10 complete sample copies of each type of notice, inserted into mailout envelopes (but not sealed) and whenever copy change is made to any envelope. Samples shall be delivered to Social Security Administration, Printing Management Team (see Exhibit K).
- Mail f.o.b. contractor's city the balance of order to both domestic and foreign destinations. (The contractor is responsible for all costs incurred in transporting this product to the U.S. Postal Service facility.)

**Mail Meter Requirements:** The contractor will request participation in USPS's Minimum Volume Reduction Program (MVRP) to see if they qualify. If they qualify, meters will not be provided. The MVRP, Re: Domestic Mail Manual section 604.5.1.2, provision provides an exception for approved mailers to the "200 pieces or 50 pounds" rule for Permit Imprint mailings (including certified and foreign mail). Contractor must submit paperwork electronically, including piece level barcode information. Contractor will be required to contact USPS, prior to any MVRP expiration date (if specified by USPS), for additional MVRP approval. The contractor will be required to notify SSA in a timely manner should they encounter any problems with additional USPS MVRP approvals.

If meters are provided, the contractor is responsible for the security of the SSA postage meters, and access is to be restricted to authorized personnel only. Contractors are to place SSA postage meters in a locked position and place them in a secure server room or safe when not in use. The contractor is to advise all staff there is a penalty for the private use of official postage meters (39USC3203).

If meters are provided, contractors should always maintain sufficient postage on the SSA meters. The contractor should contact SSA if they are not sure of how much postage to load or frequency.

The contractor is required to submit spoiled postage/postage error envelope(s)/meter strip(s) and prepare a Postal Service Form 3533, Application for Refund of Fees, Products and Withdraw of Customer Accounts. Forms are not obtainable from the USPS website since they contain a barcode making each form unique. Contractors must go to local Post Offices, postal retail units, or Bulk Mailing Units to obtain the hard copy version of the revised PS Form 3533. USPS will credit the postage refund to SSA through the Official Mail Accounting System (OMAS). SSA requires the contractor to submit a copy of Form 3533 along with the associated print order in which the spoilage occurred and all other postal documentation to the SSA Program Lead.

The contractor must have approval from SSA's Postage Meter Accountability Team for turn-in of SSA postage meter(s) to the meter manufacturer (e.g., excess meter, defective meter, etc.).

If the contractor requires a replacement postage meter, USPS credits any remaining postage to SSA through the USPS' Official Mail Accounting System (OMAS), or the meter manufacturer may transfer the remaining postage from the old meter to the new meter. The contractor should be sure to document the last meter reading (postage remaining amount) before the meter is checked out of service. The contractor may receive a PS Form 3601-C, Postage Meter Activity Report from the meter manufacturer. The contractor is to forward a copy of this report to SSA within three (3) workdays of the transaction.

On the first workday of each month, the contractor must load \$5.00 on all SSA postage meters (including backup postage meters). In addition to the monthly upload, the Government reserves the right to request the contractor to upload additional funds at any time. These uploads are in addition to any routine meter replenishments. As a result of the postage uploads, the contractor may receive a Postage Meter Reset Activity Report Statement from the meter manufacturer. If received, the contractor should retain this documentation for 12 months.

Contractor is not to relocate SSA postage meters to any other building. Contractor is required to contact the SSA Program Lead before any movement of an SSA postage meter.

The contractor is required to prepare all metered mail in accordance with the rules and regulations in USPS's Domestic Mail Manual and International Mail Manual.

Contractors must complete a balance inquiry at the end of each day on meters utilized that day.

NOTE: Contractors should not receive invoicing for meter rentals. If an invoice is received, contractor is to contact the SSA Program Lead immediately.

***Contractor Sites Using "Official Government" Postage Meters with Automated Reporting Capability (Detailed and Limited):*** Postage meters with "Detailed Account Reporting" are capable of providing trend reports, postal class reports, summary reports, chart production, accounts, subaccounts, operator ID's, etc. These meters provide SSA with remote tracking per print program of postage used. This is SSA's preferred meter type. This meter type is ideal for use when processing multiple SSA workloads because of the account and subaccount feature. Contractors will be required to utilize the postage meter account feature for each SSA print program. Contractors may also be required to use subaccount features for each SSA program. If a contractor requires assistance with setup and operating the "accounting" features of the postage meters, SSA will provide a contact to assist them.

Postage meters with "Limited Account Reporting" are capable of providing SSA with remote tracking of the meter date, contractor/location, meter used, start funds available, any refills/refunds, number of pieces (postage applied), total cost, end funds available, and postage used. This meter is best suited for use when processing one single SSA workload. No action is necessary on the part of the contractor since SSA will be view postage meter usage remotely for the individual workload.

***Contractor Sites Using an SSA Postage Meter Activity Log (Manual Process):*** Contractors using mailing equipment that cannot support a postage meter with an internal accounting feature and/or capable of remotely providing SSA with the detailed data it requires when producing multiple workloads will receive a compatible meter but will be required to complete a Postage Meter Activity Log (Exhibit J).

The contractor will forward a completed SSA Postage Meter Activity Log to the appropriate SSA Program Lead/or backup for each print order. If the contractor is producing multiple workloads using the same postage meter, the contractor is required to send the log to each Program Lead/backup. Every field must contain an entry or an N/A if the field does not apply. SSA will return incomplete or incorrect activity logs to the contractor for correction. NOTE: If a primary meter fails and a backup meter is needed to complete the workload, the contractor will need to document the primary meter log in the note field (i.e., meter failed, out of postage, etc.) and create a new activity log (documenting the necessary fields) to use with the backup meter.

NOTE: Use of the above accounting feature or manual logs does not alter the current postal process. Contractors will continue to forward all postal documentation as required in the contract requirements.

***Domestic First-Class Letter-Size Mail:*** The contractor is required to prepare domestic First-Class letter-size mail in accordance with appropriate USPS rules and regulations, including the USPS Domestic Mail Manual and Postal Bulletins, in effect at the time of the mailing.

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 that the mailing permit imprint may be used only for the purpose of mailing material produced under this contract.

The contractor is required 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.

Permit imprint may not be used if the mailing is less than 200 pieces or pieces are not identical. 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). All meter supplies will be borne by the contractor.

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 use the supplied USPS Intelligent Mail Barcode (IMB) with full service option and achieve the maximum postage discounts available with this option. The contractor will be required to comply with USPS requirements and place the IMB on all notices/mail pieces 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.

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.

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.

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.

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 (IMB).

Beginning December 1, 2019, and on the first workday of each month thereafter, contractor must load \$5.00 per month on all postage meters. This action generates a monthly report from the meter company that will allow SSA to accurately account for postage expenditures. NOTE: This is in addition to any other loading that the contractor does.

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

Permit imprint is to be used for International Mail providing the mailing consists of at least 200 pieces. Permit Imprint may not be used if the mailing is less than 200 pieces. Instead, the mail must be metered and any Permit Imprint must be covered/concealed by a meter strip.

If the mailing meets the qualifications for International Priority Airmail (IPA), it must be processed through IPA in accordance with USPS rules and regulations in effect at the time of the mailing. Contractor must prepare mail pieces 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" in all 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 this requirement.

NOTE: International mail cannot contain a presort endorsement. Again, 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.

***Special Handling of the Foreign Enforcement Questionnaire (FEQ) workload (Mailers 4 through 7):*** Contractor will be required to process the Foreign Enforcement Questionnaire (FEQ) workload (Mailers 4 through 7) using an International Presort mail house of their choice to obtain the maximum postage discount available for International Priority Airmail using Direct Country Sacks rates. Use of an International Presort mail house must be used unless contractor is capable of providing the same service. This mail is to be prepared in accordance with the rules and regulations stated in the most current USPS International Mail Manual. Mailing must use Social Security Administration's G-11 permit imprint for this workload. Contractor will not be allocated any additional time to complete this process.

With the possibility of mail interruption due to unrest in foreign countries, occasionally, the contractor will be required to sort out mail destined to a specific country(s) or by country code(s) and ship to a specified address, usually a U.S. Embassy. SSA will provide the country or country code(s) at time of file transmission. Contractor will be required to send out the package via FedEx international First or similar. Contractor will be reimbursed for shipping by submitting all shipping receipts with his billing invoice.

Contractor should be aware that the FEQ files do have minimal domestic addresses that must be sorted out and mailed via USPS domestic mail. Notice addresses may have incorrect country codes, contractor must be able to identify and segregate the notices by the country indicated in the address field.

***Mailing Documentation:*** The contractor shall provide SSA with complete copies of all documents used by USPS to verify and accept the mail (e.g., computer records of presort ZIP+4, barcode breakdown, press runs, etc.) including USPS form 3607R, GPO's Form 712 (Certificate of Conformance), both noted with file date and mailer number. The contractor shall 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.

The contractor is to place SSA's Federal Agency Cost Code 276-00054 on all USPS mailing documents.

The contractor shall provide PDF copies of each GPO 712 and/or USPS 3607R with matching 100% Accountability Summary report to SSA's Printing Management Team (see Exhibit K) via email within 24 hours of being provided to USPS. All copies must be legible and include both obverse and reverse side.

The contractor is required to complete and email to SSA daily an MS EXCEL database/spreadsheet for each day of mailing. The database/spreadsheet will have fields for the contractor to complete. These fields will include: Job Title, Jacket Number, Program and Print Order Numbers, as well as the itemized breakdown of the postage volumes and USPS rates at the time of mailing. The contractor will be required to email the completed database/spreadsheet to Social Security Administration, Printing Management Team (See Exhibit K) within two (2) workdays of each mail drop. (See Exhibit J, Postage Meter Activity Log.)

***National Change of Address (NCOA) and Coding Accuracy Support System (CASS):*** Addresses for Residual Notices come from SSA's Master Beneficiary Record (MBR) database. SSA will provide the latest Coding Accuracy Support System (CASS) certification and USPS National Change of Address (NCOA) move update service for addresses from the MBR.

Upon completion of this contract, the contractor must return all furnished copies made for each envelope, form, and publications to Social Security Administration, Printing Management Team (see Exhibit K). Furnished material must be returned (via overnight carrier) to the Social Security Administration, Printing Management Team (see Exhibit K).

Contractor must provide PDF copies of the billing payment voucher form 1034 showing amount of billing invoice to Social Security Administration, Printing Management Team (see Exhibit K).

All expenses incidental to picking up and returning materials (as applicable), submitting proofs, and furnishing sample copies must be borne by the contractor.

***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 or print order, as applicable. ***If contractor should not receive the electronic task order, they must notify SSA's Printing Management Team immediately.***

Furnished material (as applicable) and hard copy proofs must be picked up from and delivered to: Social Security Administration, Printing Management Team (see Exhibit K).

Manuscript and/or camera copy (as applicable) must be returned with hard copy proofs.

Manuscript and/or camera copy for envelopes and forms will be provided at the postaward meeting.

Contractor is to forward the PDF proof to the SSA contact as specified on the print order. Contractor is required to follow-up with a phone call with SSA to confirm receipt.

In the event that it becomes necessary for the contractor to deviate from the specified mail out date or the quantity to be mailed, the SSA must be notified immediately.

**Proof Schedule:**

The following schedule begins the workday after notification of availability of print order and furnished materials; the workday after notification will be the first workday of the schedule.

- Contractor to submit all required proofs for envelopes, FEQ instruction sheets, and publications within seven (7) workdays after receipt of furnished materials.
- Proofs will be withheld no more than five (5) workdays from receipt at the ordering agency until they are made available for pickup for hard copy proofs or until changes/corrections/“O.K. to print” is furnished via email for PDF proofs. (NOTE: The first workday after receipt of proofs at the ordering agency is day one (1) of the hold time.)
- When required due to AA’s, contractor to submit revised proofs within five (5) workdays of receipt of the author’s alterations.
- Revised proofs will be withheld no more than three (3) workdays from receipt at the ordering agency until they are made available for pickup hard copy proofs or until changes/corrections/“O.K. to print” is furnished via email for PDF proofs. (NOTE: The first workday after receipt of proofs at the ordering agency is day one (1) of the hold time.)

**Preproduction Tests Schedule:**

Prior to receiving transmission of live production data files, the contractor will be required to perform the following tests: (Contractor will be issued a print order for each of these tests.)

*Transmission Test:*

Within one (1) week of the installation of the data connection, the contractor will be required to perform the transmission test. (See “PREPRODUCTION TESTS, *Transmission Test*.”)

- The contractor will be required to receive up to approximately 415,000 notices within one (1) workday.
- The contractor will be required to perform a Record Count Verification within one (1) workday of receipt of complete transmission of all notice test files and furnish the Government with the exact counts.
- The Government will provide verification within one (1) workday of receipt thereof.

*Preproduction Validation Test:*

Within two (2) workdays of verification of the transmission test, the contractor will be required to perform the preproduction validation test. (See “PREPRODUCTION TESTS, *Preproduction Validation Test*.”)

- Contractor shall furnish 380 PDF sample documents from the transmission test.
- The Government will approve, conditionally approve, or disapprove within seven (7) workdays of receipt thereof.

*Preproduction Press and Mail Run Test:*

Within seven (7) workdays of approval of the preproduction validation samples, the contractor will be required to demonstrate their ability to perform this contract using their equipment and personnel. The mailers must be produced in accordance with all contract specifications and USPS regulations. (See “PREPRODUCTION TESTS, *Preproduction Press and Mail Run Test.*”)

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 total of 75,700 notices in a continuous 12-hour period.
- The Government will approve, conditionally approve, or disapprove within seven (7) workdays of receipt thereof.

NOTE: Contractor must notify the GPO of the date and time the preproduction press and mail run tests will be performed. In order for proper arrangements to be made, notification must be given at least seven (7) workdays prior to the test.

*System Change Validation Test:*

- When required, contractor must submit required notice samples within two (2) workdays of receipt of test files.
- The Government will approve, conditionally approve, or disapprove within seven (7) workdays of receipt thereof.

**Validation Schedule:** All PDF samples must be sent via SFTP.

*Widow Retirement Notices:* Contractor must furnish PDF samples of the notices within two (2) workdays of receipt of the live production file.

*FEQ Notices:* Contractor must furnish PDF and/or printed samples within two (2) workdays of receipt of the live production file.

**Production Schedule:**

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

\*NOTE: The contractor’s FTMS software shall be operational for the receipt of data files from 00:01 ET Monday until 24:00 ET Saturday, unless otherwise specified by the Government (See “TRANSMISSIONS” for additional information).

Live production files will be transmitted on a daily basis Monday through Saturday for Critical Payment System, Continuing Disability Deferral and Widow Retirement 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).

Production files for Mailer 3 Widow Retirement Notices are transmitted twice a year usually in May/June and October/November. Production files for Mailers 4 and 5 Foreign Enforcement Questionnaires are transmitted once a year in May/June. Production files for Mailers 6 and 7 are transmitted once a year in September/October.

The first task order for actual production will start after the successful installation and connection of the T-1 line and when all tests and validations are completed and approved.

- Sample copies of notices and envelopes (with first order or whenever SSA makes a significant change) delivered to SSA on regular schedules must be delivered within 10 workdays of completion of the order to Social Security Administration, Printing Management Team (see Exhibit K).
- *Mailer 1 (Critical Payment System Notice):* Contractor must complete production and mailing within five (5) workdays of receipt of each complete transmission.\*
- *Mailer 2 (Continuing Disability Deferral Notices):* Contractor must complete production and mailing within five (5) workdays of receipt of each complete transmission.\*
- *Mailer 3 (Widow Retirement Notices):* Contractor must complete production and mailing within five (5) workdays of receipt of an “O.K. to Print” on proofs.
- *Mailers 4 through 7 (Foreign Enforcements Questionnaires):* Contractor must complete production and mailing within five (5) workdays of receipt of an “O.K. to Print” on proofs.
- *Mailers 8 and 9 (BIC-T Notices):* Contractor to complete production and mailing within five (5) workdays of receipt of each complete transmission.\*
- *Mailers 10 through 12 (New Notices):* Contractor to complete production and mailing within five (5) workdays of receipt of each complete transmission.\*

\*NOTE: 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 the following Friday.

The contractor must notify the GPO of the date and time the press sheet and production inspection can be performed. In order for proper arrangements to be made, notification must be given at least 72 hours prior to the inspection. Notify the U.S. Government Publishing Office, Quality Control for Published Products, Washington, DC 20401, or telephone area code (202) 512-0542. Telephone calls will only be accepted between the hours of 8:00 a.m. and 2:00 p.m., Monday through Friday, 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. 1-18)). 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 production startup.

The ship/deliver date indicated on the print order is the date products ordered for delivery f.o.b. destination must be delivered to the destination specified and the date products ordered for mailing f.o.b. contractor's city must be delivered to the U.S. Postal Service.

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.

For compliance reporting purposes, the contractor must notify the U.S. Government Publishing Office of the date of shipment or delivery, as applicable. Upon completion of each order, contractor must contact the Shared Support Services Compliance Section via email at [compliance@gpo.gov](mailto:compliance@gpo.gov); via telephone at (202) 512-0520; or via facsimile at (202) 512-1364. Personnel receiving email, call, or facsimile will be unable to respond to questions of a technical nature or to transfer any inquiries.

**DAILY MAILERS EXCEEDING ESTIMATED QUANTITIES/PREMIUM PAYMENTS:** The maximum number of mailers transmitted from SSA to the contractor on any given day is 261,000 for Mailers 1 through 9 combined. If this figure is exceeded, the contractor will receive a “Premium Payment” of 15% (as listed in the “SCHEDULE OF PRICES” for Items IV. (b) and (g) and Items VI. (a) and (b) for those extra notices.

No additional time will be allowed for the mailing of these notices and all notices for that print order must mail on time to receive the premium payment.

### 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 one (1) year’s production requirements 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. 9

II. (a) 17  
(b) 46

III. (a) 1  
(b) 1

IV. (a) 250  
(b) 70,418  
(c) 8,585  
(d) 4,712  
(e) 25,785  
(f) 4,712  
(g) 8,585

V. (a) 35,209  
(b) 8,585  
(c) 4,712  
(d) 30,497

VI. (a) 25,787  
(b) 4,712

VII. 4,712

#### SECTION 4 - SCHEDULE OF PRICES

Bids offered are f.o.b. destination to Baltimore, MD, 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 non-responsive.

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

Bids submitted with NB (No Bid), NA (Not Applicable), or blank spaces for an item may be declared non-responsive.

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.

Fractional parts of per 100 will be prorated at the per-100 rate.

Contractor's billing invoice must be itemized in accordance with the line items in the "SCHEDULE OF PRICES."

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

**I. PROCESSING/FORMATING FILES:** The contractor will be allowed only one (1) charge per notice workload for the term of the contract to process and/or format the Advanced Function Presentation (AFP; Fully Composed or Mixed Mode) files, AFP resources and the Mail Run Data Files supplied necessary to print and mail the notices each notice workload.

Processing/Formatting Files.....per notice workload.....\$\_\_\_\_\_

**II. COMPOSITION:** Prices offered must be all-inclusive, and must include the cost of all materials and operations necessary in accordance with the terms of these specifications for each of the 15 mailout envelopes, 2 CRM envelopes, and 24 FEQ Instruction sheets.

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

(b) FEQ Instruction sheets .....per 8-1/2 x 11 page.....\$\_\_\_\_\_

**III. PREPRODUCTION TESTS:** Price offered must include all costs incurred in performing the Transmission Test as specified in these specifications.

(a) Transmission Test.....per test.....\$\_\_\_\_\_

(b) Preproduction Validation Test.....per test.....\$\_\_\_\_\_

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(Initials)

**IV. PRINTING/IMAGING, BINDING, AND CONSTRUCTION:** Prices offered must be all-inclusive and include the cost of all proofs, materials and operations necessary for the printing/imaging, binding, and construction 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 for all nine (9) mailers. This combined charge shall include all materials and operations necessary to makeready and/or setup the contractor's equipment each workday. Invoices submitted with more than one makeready/setup charge per workday will be disallowed.

(b) Notices and FEQ Instruction inserts (printing/imaging) .....per 100 printed pages .....\$ \_\_\_\_\_

(c) Publications .....per 100 printed pages .....\$ \_\_\_\_\_

(d) CRM Return envelopes (5-3/4 x 8-3/4") .....per 100 envelopes .....\$ \_\_\_\_\_

(e) Mailout Envelope (4-1/8 x 9-1/4") .....per 100 envelopes .....\$ \_\_\_\_\_

(f) Mailout Envelope (6-1/8 x 9-1/2") .....per 100 envelopes .....\$ \_\_\_\_\_

(g) Spraying Return Address on Outgoing Envelope.....per 100 envelopes .....\$ \_\_\_\_\_

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

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

Notices, Publications and FEQ Inserts (8-1/2 x 11") – A charge will be allowed for each page-size leaf.

CRM Return Envelopes (5-3/4 x 8-3/4") – One leaf will be allowed for each envelope.

Mailout Envelopes (4-1/8 x 9-1/4") – One leaf will be allowed for each envelope.

Mailout Envelopes (6-1/8 x 9-1/2") – One leaf will be allowed for each envelope.

Per 100 Leaves

(a) Notices and Instruction Inserts: White Offset Book (50-lb.);  
or, at contractor's option, White Writing (20-lb.) .....\$ \_\_\_\_\_

(b) Publications: White Offset Book (60-lb.) .....\$ \_\_\_\_\_

(c) CRM Return Envelope (5-3/4 x 8-3/4"): White stock (20-lb.) .....\$ \_\_\_\_\_

(d) Mailout Envelopes (4-1/8 x 9-1/4"; 6-1/8 x 9-1/2"):  
White Wove (24-lb.); or, at contractor's option,  
White Offset Book (60-lb.) .....\$ \_\_\_\_\_

\_\_\_\_\_  
(Initials)

**VI. INSERTING AND MAILING:** Prices offered must include the cost of all required materials and operations necessary for the mailing of the notice including cost of insertion of notice(s) and appropriate inserts as required (i.e., publication(s) and/or CRM return envelope(s)) into mailout envelope and mailing in accordance with these specifications.

(a) Mailers 1, 2, 3, 8, and 9:

Personalized English Notice and Mailout envelope .....per 100 complete mailers .....\$ \_\_\_\_\_

(b) Mailer 4, 5, 6, and 7:

Personalized Form, Mailout envelope,  
and CRM return envelope .....per 100 complete mailers .....\$ \_\_\_\_\_

**VII. INTERNATIONAL MAIL SORT HOUSE:** Price offered must include all costs incurred to process, transport, sort, and mail the Foreign Enforcement notices to achieve International Priority Airmail rates for Direct Country Sacks.

Foreign Enforcement notices (Mailers 4 through 7) ..... per 100 pieces .....\$ \_\_\_\_\_

**LOCATION OF POST OFFICE:** All mailing will be made from the \_\_\_\_\_

Post Office located at Street Address \_\_\_\_\_,

City \_\_\_\_\_, State \_\_\_\_\_, Zip Code \_\_\_\_\_

\_\_\_\_\_  
(Initials)

**SHIPMENTS:** Shipments will be made from: City \_\_\_\_\_ State \_\_\_\_\_.

The city(ies) indicated above will be used for evaluation of transportation charges when shipment f.o.b. contractor's city is specified. If no shipping point is indicated above, it will be deemed that the bidder has selected the city and state shown below in the address block, and the bid will be evaluated and the contract awarded on that basis. If shipment is not made from evaluation point, the contractor will be responsible for any additional shipping costs incurred.

**DISCOUNTS:** Discounts are offered for payment as follows: \_\_\_\_\_ Percent \_\_\_\_\_ Calendar Days. See Article 12 "Discounts" of Solicitations Provisions in GPO Contract Terms (Publication 310.2).

**AMENDMENT(S):** Bidder hereby acknowledges amendment(s) number(ed) \_\_\_\_\_.

**BID ACCEPTANCE PERIOD:** In compliance with the above, the undersigned agree, if this bid is accepted within \_\_\_\_\_ calendar days (60 calendar days unless a different period is inserted by the bidder) from the date for receipt of bids, to furnish the specified items at the price set opposite each item, delivered at the designated point(s), in exact accordance with specifications.

NOTE: Failure to provide a 60-day bid acceptance period may result in expiration of the bid prior to award.

**BIDDER'S NAME AND SIGNATURE:** Unless specific written exception is taken, the bidder, by signing and submitting a bid, agrees with and accepts responsibility for all certifications and representations as required by the solicitation and GPO Contract Terms – Publication 310.2. When responding by fax or mail, fill out and return one copy of all pages in "SECTION 4. – SCHEDULE OF PRICES," including initialing/signing where indicated.

*Failure to sign the signature block below may result in the bid being declared non-responsive.*

Bidder \_\_\_\_\_  
(Contractor's Name) (GPO Contractor's Code)

\_\_\_\_\_  
(Street Address)

\_\_\_\_\_  
(City – State – Zip Code)

By \_\_\_\_\_  
(Printed Name, Signature, and Title of Person Authorized to Sign this Bid) (Date)

\_\_\_\_\_  
(Person to be Contacted) (Telephone Number) (Email Address)

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**THIS SECTION FOR GPO USE ONLY**

Certified by: \_\_\_\_\_ Date: \_\_\_\_\_ Contracting Officer: \_\_\_\_\_ Date: \_\_\_\_\_  
(Initials) (Initials)

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**EXHIBIT A**  
**Contractor Personnel Security Certification**

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**EXHIBIT A**  
**Contractor Personnel Security Certification**

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**EXHIBIT A**  
**Contractor Personnel Security Certification**

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## EXHIBIT B

### Security and Suitability Requirements

Page 1 of 9

#### 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.)

## EXHIBIT B

### Security and Suitability Requirements

Page 2 of 9

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.

## EXHIBIT B Security and Suitability Requirements

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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](#).

**EXHIBIT B**  
**Security and Suitability Requirements**

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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.

**EXHIBIT B**  
**Security and Suitability Requirements**

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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.

1. 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.

**EXHIBIT B**  
**Security and Suitability Requirements**

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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

**EXHIBIT B**  
**Security and Suitability Requirements**

**Page 7 of 9**

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.

**EXHIBIT B**  
**Security and Suitability Requirements**

**Page 8 of 9**

- 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

**EXHIBIT B**  
**Security and Suitability Requirements**

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*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

**EXHIBIT C**  
**Questionnaire for Public Trust Positions (SF 85P)**

**Page 1 of 11**

Exhibit C

Standard Form 85P  
Revised September 1995  
U.S. Office of Personnel Management  
5 CFR Parts 731, 732, and 736

Form approved:  
OMB No. 3206-0191  
NSN 7540-01-317-7372  
85-1602

## 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.

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### 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**.

# EXHIBIT C

## Questionnaire for Public Trust Positions (SF 85P)

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### 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	AS	District of Columbia	DC	Guam	GU	Northern Marianas	CM	Puerto Rico	PR
Trust Territory	TT	Virgin Islands	VI						

### 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.

**EXHIBIT C**  
**Questionnaire for Public Trust Positions (SF 85P)**

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Standard Form 85P (EG)  
Revised September 1995  
U.S. Office of Personnel Management  
5 CFR Parts 731, 732, and 736

**QUESTIONNAIRE FOR  
PUBLIC TRUST POSITIONS**

Form approved:  
OMB No. 3206-0191  
NSN 7540-01-317-7372  
85-1602

OPM USE ONLY	Codes	Case Number
--------------------	-------	-------------

**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 <input type="checkbox"/> None <input type="checkbox"/> NPRC <input type="checkbox"/> At SON	Other Address				ZIP Code		
<b>L</b> SOI	<b>M</b> Location of Security Folder <input type="checkbox"/> None <input type="checkbox"/> At SOI <input type="checkbox"/> 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". Last Name: _____ First Name: _____ Middle Name: _____ Jr., II, etc.: _____ - If you are a "Jr.," "Sr.," "II," etc., enter this in the box after your middle name.	<b>2 DATE OF BIRTH</b> 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> _____							
<b>5 OTHER NAMES USED</b> #1 Name: _____ Month/Year: _____ To: _____ #2 Name: _____ Month/Year: _____ To: _____ #3 Name: _____ Month/Year: _____ To: _____ #4 Name: _____ Month/Year: _____ To: _____							
<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: _____							
<b>8 CITIZENSHIP</b> <b>a</b> Mark the box at the right that reflects your current citizenship status, and follow its instructions. <table style="width: 100%;"><tr><td style="width: 60%;">I am a U.S. citizen or national by birth in the U.S. or U.S. territory/possession. <b>Answer items b and d.</b></td><td style="width: 40%;"><b>b</b> Your Mother's Maiden Name</td></tr><tr><td>I am a U.S. citizen, but I was NOT born in the U.S. <b>Answer items b, c and d.</b></td><td></td></tr><tr><td>I am not a U.S. citizen. <b>Answer items b and e.</b></td><td></td></tr></table>		I am a U.S. citizen or national by birth in the U.S. or U.S. territory/possession. <b>Answer items b and d.</b>	<b>b</b> Your Mother's Maiden Name	I am a U.S. citizen, but I was NOT born in the U.S. <b>Answer items b, c and d.</b>		I am not a U.S. citizen. <b>Answer items b and e.</b>	
I am a U.S. citizen or national by birth in the U.S. or U.S. territory/possession. <b>Answer items b and d.</b>	<b>b</b> Your Mother's Maiden Name						
I am a U.S. citizen, but I was NOT born in the U.S. <b>Answer items b, c and d.</b>							
I am not a U.S. citizen. <b>Answer items b and e.</b>							
<b>c UNITED STATES CITIZENSHIP</b> 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: _____							
<b>d DUAL CITIZENSHIP</b> 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: _____							
<b>e ALIEN</b> If you are an alien, provide the following information: Place You Entered the United States: _____ City: _____ State: _____ Date You Entered U.S. Month: _____ Day: _____ Year: _____ Alien Registration Number: _____ Country(ies) of Citizenship: _____							

# EXHIBIT C

## Questionnaire for Public Trust Positions (SF 85P)

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### 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.

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

<b>#1</b>	Month/Year To	Month/Year	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
			Street Address	Apt. #	City (Country)	State
			Telephone Number (   )			
<b>#2</b>	Month/Year To	Month/Year	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
			Street Address	Apt. #	City (Country)	State
			Telephone Number (   )			
<b>#3</b>	Month/Year To	Month/Year	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
			Street Address	Apt. #	City (Country)	State
			Telephone Number (   )			

Enter your Social Security Number before going to the next page

# EXHIBIT C

## Questionnaire for Public Trust Positions (SF 85P)

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### 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 18th 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)     |
| 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 |   | 9 - Other  |
| 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.

<b>#1</b>	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 (    )
<b>PREVIOUS PERIODS OF ACTIVITY (Block #1)</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		
	Month/Year To	Month/Year		Position Title	Supervisor		
<b>#2</b>	Month/Year To	Month/Year		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 #2)</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		
	Month/Year To	Month/Year		Position Title	Supervisor		
<b>#3</b>	Month/Year To	Month/Year		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 #3)</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		
	Month/Year To	Month/Year		Position Title	Supervisor		

Enter your Social Security Number before going to the next page

# EXHIBIT C

## Questionnaire for Public Trust Positions (SF 85P)

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### 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		

<b>12</b>	<b>YOUR EMPLOYMENT RECORD</b>	Yes	No
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.			

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

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

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

Enter your Social Security Number before going to the next page

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List three people who know you well and live in the United States. They should be good friends, peers, colleagues, college roommates, etc., whose combined association with you covers as well as possible the last 7 years. Do not list your spouse, former spouses, or other relatives, and try not to list anyone who is listed elsewhere on this form.

## 14 YOUR MARITAL STATUS

☐ 1 - Never married (*go to question 15*)     
 ☐ 3 - Separated     
 ☐ 5 - Divorced  
☐ 2 - Married     
 ☐ 4 - Legally Separated     
 ☐ 6 - Widowed

Other Names Used (Specify maiden name, names by other marriages, etc., and show dates used for each name)

## 15 YOUR RELATIVES

1 - Mother (*first*)                      3 - Stepmother                      5 - Foster Parent                      7 - Stepchild  
2 - Father (*second*)                      4 - Stepfather                      6 - Child (*adopted also*)

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

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

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	Inactive Reserve	
To								
To								

<b>17 YOUR SELECTIVE SERVICE RECORD</b> <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.	Yes	No

Registration Number

Legal Exemption Explanation

<b>18 YOUR INVESTIGATIONS RECORD</b> <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.	Yes	No

Codes for Investigating Agency

1 - Defense Department

2 - State Department

3 - Office of Personnel Management

4 - FBI

5 - Treasury Department

6 - Other (*Specify*)

Codes for Security Clearance Received

0 - Not Required

1 - Confidential

2 - Secret

3 - Top Secret

4 - Sensitive Compartmented Information

5 - Q

6 - L

7 - Other

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

**b** To your knowledge, have you ever had a clearance or access authorization denied, suspended, or revoked, or have you ever been debarrred from government employment? If "Yes," give date of action and agency. **Note:** An administrative downgrade or termination of a security clearance is not a revocation.

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

<b>19 FOREIGN COUNTRIES YOU HAVE VISITED</b> 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 →

# EXHIBIT C

## Questionnaire for Public Trust Positions (SF 85P)

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<b>20 YOUR POLICE RECORD</b> <i>(Do not include anything that happened before your 18th 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 Obligor	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

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**Questionnaire for Public Trust Positions (SF 85P)**

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Standard Form 85P  
Revised September 1995  
U.S. Office of Personnel Management  
5 CFR Parts 731, 732, and 736

Form approved:  
OMB No. 3206-0191  
NSN 7540-01-317-7372  
85-1602

**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> (      )

**EXHIBIT C**  
**Questionnaire for Public Trust Positions (SF 85P)**

**Page 11 of 11**

Standard Form 85P  
Revised September 1995  
U.S. Office of Personnel Management  
5 CFR Parts 731, 732, and 736

Form approved:  
OMB No. 3206-0191  
NSN 7540-01-317-7372  
85-1602

**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> (       )

## Page 1 of 1

APPLICANT		LEAVE BLANK		TYPE OR PRINT ALL INFORMATION IN BLACK LAST NAME <u>NAM</u> FIRST NAME _____ MIDDLE NAME _____		E8 LEAVE BLANK	
SIGNATURE OF PERSON FINGERPRINTED		ALIASES <u>AKA</u>		O R I G I N A L			
RESIDENCE OF PERSON FINGERPRINTED		CITIZENSHIP <u>CIT</u>		SEX <u>M</u> RACE <u>W</u> AGE <u>25</u> HT <u>5</u> WT <u>140</u>		DATE OF BIRTH <u>DOB</u> Month Day Year	
OFFICIAL SIGNATURE OF OFFICIAL TAKING FINGERPRINTS		FOUR NO. <u>QCA</u>		PLACE OF BIRTH <u>POB</u>			
STREET AND ADDRESS		FB NO. <u>ES</u>		LEAVE BLANK			
		ARMED FORCES NO. <u>MNI</u>		CLASS _____			
		SOCIAL SECURITY NO. <u>SOC</u>		REF. _____			
		MISCELLANEOUS NO. <u>MNI</u>					
<div style="font-size: 100px; font-weight: bold; letter-spacing: 0.5em;">SAMPLE</div>							
LEFT FOUR FINGERS TAKEN SIMULTANEOUSLY		T. THUMB		E. THUMB		RIGHT FOUR FINGERS TAKEN SIMULTANEOUSLY	

**EXHIBIT E**  
**Declaration of Federal Employment (OF 306)**

Page 1 of 3

Exhibit E

**Declaration for Federal Employment**

Form Approved  
OMB No. 3206-0182

**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.

**EXHIBIT E**  
**Declaration of Federal Employment (OF 306)**

Page 2 of 3

**Declaration for Federal Employment**

Form Approved  
OMB No. 3206-0182

**GENERAL INFORMATION**

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

<b>9. During the last 10 years, have you been convicted, been imprisoned, been on probation, or been on parole?</b> (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>	<b>YES</b>	<b>NO</b>
	<input type="checkbox"/>	<input type="checkbox"/>
<b>10. Have you been convicted by a military court-martial in the past 10 years? (If no military service, answer "NO.") 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.</b>	<b>YES</b>	<b>NO</b>
	<input type="checkbox"/>	<input type="checkbox"/>
<b>11. Are you now under charges for any violation of law? 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.</b>	<b>YES</b>	<b>NO</b>
	<input type="checkbox"/>	<input type="checkbox"/>
<b>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? If "YES," use item 16 to provide the date, an explanation of the problem, reason for leaving, and the employer's name and address.</b>	<b>YES</b>	<b>NO</b>
	<input type="checkbox"/>	<input type="checkbox"/>
<b>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.) 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.</b>	<b>YES</b>	<b>NO</b>
	<input type="checkbox"/>	<input type="checkbox"/>

**EXHIBIT E**  
**Declaration of Federal Employment (OF 306)**

Page 3 of 3

**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)

**Appointing Officer:**

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**  
**Fair Credit Report Act Authorization Form**

**Page 1 of 4**

**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 agency 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

**EXHIBIT F**  
**Fair Credit Report Act Authorization Form**

Page 2 of 4

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)

# EXHIBIT F

## Fair Credit Report Act Authorization Form

Page 3 of 4

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.

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### 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.

## EXHIBIT F

### Fair Credit Report Act Authorization Form

Page 4 of 4

- 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:

FOR QUESTIONS REGARDING:	PLEASE CONTACT:
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**

**Page 1 of 1**

**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

## Audit and Summary Report

Page 1 of 1

### 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
<b>TOTALS</b>								
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 I**  
**Mail Run Data (MRD) File**

**Page 1 of 1**

**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.

## Postage Meter Activity Log

Page 1 of 1

## SSA POSTAGE METER ACTIVITY LOG

**CONTRACT NUMBER:**

METER MANUFACTURER:

**METER SERIAL NUMBER:**

[illegible]

**EXHIBIT K**  
**Key SSA and GPO Personnel Contact Information**

**Page 1 of 1**

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## **EXHIBIT L**

### **References for External Service Providers (ESP)**

**Page 1 of 1**

#### References for External Service Providers (ESP)

- Federal Information Security Management Act (FISMA) of 2002.
- Clinger-Cohen Act of 1996 also known as the “Information Technology Management Reform Act of 1996.”
- Privacy Act of 1974 (5 U.S.C. § 552a).
- Homeland Security Presidential Directive (HSPD-12), “Policy for a Common Identification Standard for Federal Employees and Contractors”, August 27, 2004.
- Office of Management and Budget (OMB) Circular A-130, “Management of Federal Information Resources”, and Appendix III, “Security of Federal Automated Information Systems”, as amended.
- OMB Memorandum M-04-04, “E-Authentication Guidance for Federal Agencies.”
- FIPS PUB 199, “Standards for Security Categorization of Federal Information and Information Systems.”
- FIPS PUB 200, “Minimum Security Requirements for Federal Information and Information Systems.”
- FIPS PUB 140-2, “Security Requirements for Cryptographic Modules.”
- NIST Special Publication 800-18, “Guide for Developing Security Plans for Federal Information Systems.”
- NIST Special Publication 800-30, “Risk Management Guide for Information Technology Security Risk Assessment Procedures for Information Technology Systems.”
- NIST Special Publication 800-34, “Contingency Planning Guide for Information Technology Systems.”
- NIST SP 800-37 “Guide for the Security Certification and Accreditation of Federal Information Systems.”
- NIST Special Publication 800-47, “Security Guide for Interconnecting Information Technology Systems.”
- NIST Special Publication 800-53, “Recommended Security Controls for Federal Information Systems.”
- NIST Special Publication 800-53A, “Guide for Assessing the Security Controls in Federal Information Systems, ”CIO Council’s Federal Identity, Credential, and Access Management (FICAM) Roadmap and Implementation Guidance.”
- NIST Special Publication 800-60.
- OMB M-07-16, AIMS Chapter 15: Personally Identifiable Information (PII) Loss and Remediation

## EXHIBIT M

### SSA External Service Provider Security Requirements

Page 1 of 2

#### **SSA External Service Provider Security Requirements**

This resource identifies the basic information security requirements related to the procurement of Information Technology (IT) services hosted externally to SSA's Network.

The following general security requirements apply to all External Service Providers (ESP).

- a. The solution must be located in the United States<sup>1</sup>, its territories or possessions.
- b. Upon request from the SSA Contracting Officer Technical Representative (COTR) the ESP shall provide access to the hosting facility to the US Government or authorized agents for inspection and facilitate an on-site security risk and vulnerability assessment.
- c. The solution must meet Federal Information Processing Standards (FIPS) and guidance developed by the National Institute of Science and Technology (NIST) under its authority provided by the Federal Information Security Management Act (FISMA) to develop security standards for federal information processing systems, and Office of Management and Budget's (OMB) Circular A-130 Appendix III.
- d. ESPs classified as Cloud Service Providers (CSP) must adhere to additional FedRAMP security control requirements. Further information may be found at: <http://www.gsa.gov/portal/category/102371>. As part of these requirements CSPs must have a security control assessment performed by a Third Party Assessment Organization (3PAO).
- e. The ESP shall submit to the SSA COTR documentation describing how the solution implements security controls in accordance with the designated categorization (FIPS 199) and the Minimum Security Requirements for Federal Information and Information Systems (FIPS 200) which requires the use of NIST SP 800-53 Rev4 before SSA provides data.
- f. All ESPs that process or store Personally Identifiable Information (PII) <sup>2</sup> are considered a Moderate impact categorization. If PII or sensitive data (defined by the COTR) is stored or processed by the ESP, then the ESP shall provide a Security Assessment Package (SAP) created by an independent assessor<sup>3</sup>. The SAP should include a System Security Plan (SSP), Security Assessment Report (SAR), Risk Assessment Report (RAR), and Plan of Action & Milestone Report (POA&M). The SAP must be reviewed by SSA before the SSA transfers data to the ESP. Refer to NIST SP 800-37 for more information on the Security Assessment Package.
- g. SSA will consider a self-assessment of security controls for solutions that do not involve sensitive information or PII.

For additional security requirements and NIST 800-53, REV 4 organization defined parameters, refer to "ESP Additional Security Controls" attachment.

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<sup>1</sup> "United States" means the 50 States, the District of Columbia, Puerto Rico, the Northern Mariana Islands, American Samoa, Guam, the U.S. Virgin Islands, Johnston Island, Wake Island, and Outer Continental Shelf Lands as defined in the Outer Continental Shelf Lands Act (43 U.S.C. 1331, et seq.), but does not include any other place subject to U.S. jurisdiction or any U.S. base or possession within a foreign country (29 CFR 4.112).

<sup>2</sup> PII is any information about an individual maintained by an agency, including (1) any information that can be used to distinguish or trace an individual's identity, such as name, social security number, date and place of birth, mother's maiden name, or biometric records; and (2) any other information that is linked or linkable to an individual, such as medical, educational, financial, and employment information.

<sup>3</sup> Independent assessor is any individual or group capable of conducting an impartial assessment of security controls employed within or inherited by an information system.

**EXHIBIT M**  
**SSA External Service Provider Security Requirements**

**Page 2 of 2**

References – Refer to most up to date revision.

- Federal Information Security Management Act (FISMA) of 2002.
- Clinger-Cohen Act of 1996 also known as the "Information Technology Management Reform Act of 1996."
- Privacy Act of 1974 (5 U.S.C. § 552a).
- Homeland Security Presidential Directive (HSPD-12), "Policy for a Common Identification Standard for Federal Employees and Contractors", August 27, 2004.
- Office of Management and Budget (OMB) Circular A-130, "Management of Federal Information Resources", and Appendix III, "Security of Federal Automated Information Systems", as amended.
- OMB Memorandum M-04-04, "E-Authentication Guidance for Federal Agencies."
- FIPS PUB 199, "Standards for Security Categorization of Federal Information and Information Systems."
- FIPS PUB 200, "Minimum Security Requirements for Federal Information and Information Systems."
- FIPS PUB 140-2, "Security Requirements for Cryptographic Modules."
- NIST Special Publication 800-18, "Guide for Developing Security Plans for Federal Information Systems."
- NIST Special Publication 800-30, "Risk Management Guide for Information Technology Security Risk Assessment Procedures for Information Technology Systems."
- NIST Special Publication 800-34, "Contingency Planning Guide for Information Technology Systems."
- NIST SP 800-37 "Guide for the Security Certification and Accreditation of Federal Information Systems."
- NIST Special Publication 800-47, "Security Guide for Interconnecting Information Technology Systems."
- NIST Special Publication 800-53, "Recommended Security Controls for Federal Information Systems."
- NIST Special Publication 800-53A, "Guide for Assessing the Security Controls in
- Federal Information Systems, "CIO Council's Federal Identity, Credential, and Access Management (FICAM) Roadmap and Implementation Guidance"
- NIST Special Publication 800-60
- OMB M-07-16, AIMS Chapter 15: Personally Identifiable Information (PII) Loss and Remediation

## **SSA External Service Provider Security Requirements**

All External Service Providers (ESP) are subject to the following security requirements:

- All ESPs are subjected to SSA's Security Authorization Process, which will entail security testing and evaluation of the in-place security controls. For more information see NIST SP 800-37, Revision 1.
- ESPs must follow NIST SP 800-53 Revision 4 *Recommended Security Controls for Federal Information Systems and Organizations* for protecting Low or Moderate impact level information as categorized by FIPS 199 for the information system. Note: Systems that contain Personally Identifiable Information (PII) are considered "Moderate".
- ESPs must document all deployed (applicable) and planned controls for an information system in a System Security Plan that is in NIST-compliant format. Refer to NIST SP 800-18.
- ESPs classified as Cloud Service Providers (CSP) must adhere to additional FedRAMP security control requirements. Further information may be found at: <http://www.gsa.gov/portal/category/102371>. As part of these requirements CSPs must have a security control assessment performed by a Third Party Assessment Organization (3PAO).
- Upon request from SSA, the ESP shall provide the following network security information and documentation for review and audit purposes:
  - All information security control artifacts required to support the Security Assessment and Authorization (SA&A) process.
  - Intrusion Detection Systems (IDS) configuration.
  - Network firewall configuration.
  - Server and network device patching schedules and compliance.
  - Server, network device, and security logs.
  - Detailed hardware inventory including servers, network devices, and storage.

ESPs are required to adhere to NIST 800-53 Rev.4 security control framework based on their assigned categorization. The following sections outline additional security controls and SSA organizational defined parameters for NIST 800-53, Rev 4. Security requirements below are applicable to low and moderately categorized systems unless otherwise designated. For additional information or supplement guidance for these controls, refer Appendix F of NIST 800-53, Rev 4.

#### **Account Management Requirements**

The purpose of the following is to address requirements for **account and session management** for External Service Providers (ESPs).

##### **SSA Additional Requirements for ESPs:**

- **AC-2** ESPs must employ individual account types on external service provider systems. The use of group, anonymous or temporary accounts is strictly prohibited.
- **AC-2** ESPs must demonstrate the implementation of an approval process that describes how system accounts are created, deleted, disabled, or modified. The process should account for roles in the system and the appropriate authorizations to grant access. Public-facing systems may use a registration process in place of the approval process.
- **AC-2(3)** A deactivation process is required to manage inactive accounts. The process must describe how the system identifies and deactivates inactive accounts that have not been in use for 90 days or more. ESPs must *automatically* disable inactive accounts after 90 days and then remove these disabled accounts after 1 year.
- **AC-2(4)** ESPs must provide the capability to produce a record of all account management activities that occur on the system and develop an automated method to submit these records in the form of a report to SSA.
- **AC-6** ESP administrator accounts and privileged user accounts must be customized to only allow access to specific roles and functions on the system. ESP must provide a list of these functions to the Contract Officer Technical Representative (COTR). *(Moderate and High categorized systems only)*.
- **AC-7** ESPs must enforce a limit of 3 consecutive invalid login attempts by a user during a 20 minute time frame and automatically lock the account/node for 30 minutes when the maximum number of unsuccessful attempts is exceeded. The account shall remain locked for 30 minutes. *(Moderate and High categorized systems only)*.
- **AC-8** ESPs providing services to SSA internal users must display the internally used and approved warning banner.
  - The SSA internal banner is as follows:
    - Only authorized users can access the system.
    - The system is a U.S. Government computer system subject to Federal law.
    - Unauthorized attempts to access or modify any part of SSA's systems are prohibited and subject to disciplinary, civil action or criminal prosecution.

If the system is serving the general public as its user base, the system must display a warning banner containing language that is appropriate to the application. The SSA COTR must approve the public warning banner language prior to implementation.

- **AC-11** ESPs must enforce termination of user sessions after 30 minutes of inactivity. Users must authenticate again after sessions are terminated in order to continue using the application. **(Moderate and High categorized systems only).**
- **AC-17(4)** ESPs must restrict remote access to approved administrative functions and accounts.

#### **Auditing Requirements**

The purpose of the following is to address requirements for **auditing** for External Service Providers (ESPs).

#### **SSA Additional Requirements for ESPs:**

- **(AU-2)** ESPs must maintain an audit log of transactions create, modify, or delete SSA information.
- **(AU-2)** ESPs must maintain an audit log of the following events: Logon/logoff events, account management, privilege or role changes, and administrator activity.
- **(AU-5)** ESPs must report any failure of audit processing that occurs to the SSA COTR within 24 hours.
- **(AU-6)** ESPs must review and analyze information system audit record for indications of inappropriate or unusual activity and report those findings to SSA COTR within 24 hours. ESPs must support monitoring and review of the system for unusual or inappropriate activity daily. This activity must be provided to the COTR immediately for review.
- **(AU-6)** ESPs must provide user and transaction log reports to SSA when requested.
- **(AU-7(1))** ESPs must allow for scoping of audit criteria for efficient reporting capability.
- **(AU-11)** ESPs must retain online audit logs for 90 days.
- **(AU-11)** ESPs must retain audit records for seven (7) years.

#### **Awareness and Training Requirements**

The purpose of the following is to address requirements for **awareness and training** for External Service Providers (ESPs).

**SSA Additional Requirements for ESPs:**

- **(AT-2)** ESP contractors and their employees or sub-contractors must complete SSA provided security awareness training at least annually.
- **(AT-3)** ESPs must provide role based training to all employees who fulfill special roles or duties in regards to SSA data or systems.
- **(AT-4)** ESPs must retain and produce records of role based training completions for 3 years.

**Configuration Management Requirements**

The purpose of the following is to address requirements for **configuration management** for External Service Providers.

**SSA Additional Requirements for ESPs:**

- **(CM-2(3))** ESPs must define and deploy an approved device configuration on each device used to provide services to SSA at least annually.
- **CM-6** ESPs must periodically scan the device configuration of each device used to provide services to SSA and identify deviations from the approved device configuration. Deviations shall be logged and corrected within 24 hours. The ESP shall submit device scan reports to SSA upon request.
- **CM-8** ESPs must maintain an inventory all IT assets that store, process, or transmit SSA data and provide to SSA upon request.
- **CM-9** The contractor shall maintain a configuration management plan that addresses the roles, responsibilities, processes, and procedures to manage inventory throughout the lifecycle.

**Contingency Planning Requirements**

The purpose of the following is to address requirements for **contingency planning** for External Service Providers.

**SSA Additional Requirements for ESPs:**

- **(CP-2)** ESP must submit a contingency plan that will support and meet the SSA supplied recovery objectives and must be maintained, reviewed and, if necessary updated at least annually.

**EXHIBIT N**  
**Additional SSA External Service Provider Security Requirements**

Page 5 of 11

- **(CP-9)** ESPs must encrypt all Media used for backup and archiving purposes using Federal Information Processing Standard (FIPS) 140-2 compliant solutions. **(Moderate and High categorized systems only).**

**Identification and Authentication Requirements**

The purpose of the following is to address requirements for **identification and authentication** for External Service Providers (ESPs).

**SSA Additional Requirements for ESPs:**

- **(IA-2(12))** Identity, Authorization and Access Management (IdAAM) - The External Service Providers must seamlessly integrate with the SSA's Federation Service. This service is based on OAuth and SAML (Security Assertion Markup Language) 2.0 standards and enables SSA to meet its two factor authentication requirements as specified in Homeland Security Presidential Directive (HSPD)-12, dated August 12, 2004. This service enables SSA to leverage an internal Microsoft's Active Directory to create a single SSA-Wide directory of all users. Currently, SSA users are required to authenticate using their SSA HSPD-12 PIV Smart Card at the workstation. In certain acceptable instances, users can revert to user name and password, while the Department is transitioning to HSPD-12 PIV Smart Card Authentication. The External Service Providers must support both authentications methods.
- **(IA-6)** ESPs must mask all fields on a system that has a logon screen that requires credentials, to prevent unauthorized exposure.
- **(IA-7)** The ESP must encrypt credentials used for e-authentication. The encryption solution must be compliant with FIPS 140-2. **(Moderate and High categorized systems only).**

**Incident Response Requirements**

The purpose of the following is to address requirements for **incident response** for External Service Providers.

**SSA Additional Requirements for ESPs:**

- **(IR-6)** ESPs will receive the incident response capability timeframe and reporting requirements from the SSA COTR.
- **(IR-6)** ESPs Incident Response plan must require all security incidents of US CERT categories 1,2,3,4 and 6 must be reported to SSA COTR.
- **(IR-7)** ESPs are responsible for notifying the appropriate SSA COTR when there is a security incident that has been categorized 1,2,3,4 or 6 per US CERT

regulations. The COTR is authorized to issue orders to take down external systems or components to perform IR, forensics, further loss of data, etc.

#### **Maintenance Requirements**

The purpose of the following is to address requirements for **maintenance** for External Service Providers.

##### **SSA Additional Requirements for ESPs:**

- **(MA-2)** ESP must retain records of maintenance activities performed on IT devices used to provide services to SSA. Maintenance activity logs must be made available upon request.
- **(MA-2)** IT equipment and media used to provide services to SSA must be sanitized prior to removal from the ESP's facility for maintenance or disposal purposes. The ESP must maintain a log as evidence that the IT equipment or media was sanitized prior to removal. Logs must be made available upon request. Refer to NIST SP 800-88 for more information on media sanitization.

#### **Media Protection Requirements**

The purpose of the following is to address requirements for **media protection** for External Service Providers.

##### **SSA Additional Requirements for ESPs:**

- **(MP-2)** Removable media used to store SSA data must be encrypted using a FIPS 140-2 compliant encryption solution.
- **(MP-3)** ESP must label or mark (human readable) all media containing PII or other sensitive SSA data as "SSA Confidential Unclassified Information". **(Moderate and High categorized systems only).**
- **(MP-4)** ESP must have a documented process describing how IT equipment and media are controlled to ensure the security and confidentiality of SSA data.
- **(MP-5)** ESP must maintain chain of custody for IT equipment and media during transport outside of controlled-access facilities. Transport of media outside of controlled areas must be performed by authorized personnel.

**EXHIBIT N**  
**Additional SSA External Service Provider Security Requirements**

Page 7 of 11

**Planning Requirements**

The purpose of the following is to address requirements for the **planning** for External Service Providers (ESPs).

**SSA Additional Requirements for ESPs:**

- **(PL-2)** ESP must develop a System Security Plan (SSP) compliant with SP SP 800-18. The SSP shall be submitted to the SSA COTR.
- **(PL-2)** ESP must conduct an annual security review of the solution used to provide services to SSA. The System Security Plan (SSP) must be updated to reflect changes affecting the security of SSA data.
- **(PL-4)** The SSA COTR will provide the SSA Rules of Behavior (within the SSA Information System Security Handbook) for ESP systems that support internal users providing services to SSA. The rules of behavior ensure users are familiar with information security, privacy, and confidentiality practices.

**Risk Assessment Requirements**

The purpose of the following is to address requirements for **risk assessment** for External Service Providers (ESPs).

**SSA Additional Requirements for ESPs:**

- **(RA-3)** ESPs shall conduct a risk assessment to assess the risk and magnitude of harm that could result from the unauthorized access, use, disclosure, disruption, modification, or destruction of sensitive SSA information. The risk assessment should be reviewed annually and updated every three years or when a significant change occurs.
- **(RA-5)** ESP must scan IT equipment used to provide services to SSA for security vulnerabilities at least monthly. The contractor must use a commercially available scanning tool. The scanning must include vulnerabilities identified in DHS national vulnerability database. Vulnerability scan reports must be retained for 12 months and submitted to the SSA COTR upon request.

**Security Assessments and Authorization Requirements**

The purpose of the following is to address requirements for **security assessments and authorization** for External Service Providers (ESPs).

**SSA Additional Requirements for ESPs:**

- **(CA-2)** ESPs must develop an assessment plan that includes:
  - Annual assessment of a subset of controls
  - Triennial comprehensive assessment (full scope)
  - Assessments as needed when a significant change occurs on the system.
- **(CA-2)** ESP and COTR must define what a significant change is and require a new assessment whenever a significant change occurs. *Significant change is defined in NIST Special Publication 800-37 Revision 1, Appendix F.*
- **(CA-3)** The contractor shall document in the SSA security plan, all connections to contractor resources made to external information systems, and applications. Examples of connections would include: connections to subcontractor sites, connections used for remote administration, connections made to contractor's company/corporate networks, etc. These connections shall be reviewed and monitored on an ongoing basis, at least annually to determine the need for ongoing use by the contractor management. **(Moderately categorized systems only).**
- **(CA-5)** For any security reports issued to the contractor, including internal independent reviews, the contractor is responsible for developing a POA&M that identifies corrective actions and/or mitigating controls for any identified vulnerabilities. Contractors shall report to COTR POA&M progress at least monthly. In addition, the contractor must provide artifacts to update POA&M items at least 7 days prior to milestone completion date to ensure SSA has sufficient time to review.
- **(CA-7)** ESP must monitoring the effectiveness of its security controls on a continual basis and take appropriate corrective actions as necessary to ensure SSA data is protected from unauthorized access, modification or disclosure.

#### **System and Communication Requirements**

The purpose of the following is to address requirements for **system and communications** for External Service Providers (ESPs).

#### **SSA Additional Requirements for ESPs:**

- **(SC-4)** ESP must logically or physically segregate SSA data from that of other customer if a multi-tenant environment is used to provide services to SSA. **(Moderate and High categorized systems only).**
- **(SC-7(1))** ESPs shall physically allocate publicly accessible information system components to separate subnetworks with separate physical network interfaces.
- **(SC-7(4))** ESPs must provide traffic flow policy for each managed interface to SSA COTR for review and approval prior to implementation.

**EXHIBIT N**  
**Additional SSA External Service Provider Security Requirements**

Page 9 of 11

- **(SC-8)** ESP must encrypt PII and other sensitive SSA data when stored on persistent storage devices, or when transmitted over approved system interconnections, using a FIPS 140-2 compliant encryption solution **(Moderate and High categorized systems only)**.
- **(SC-10)** ESPs must terminate user sessions automatically after 15 minutes of inactivity. **(Moderate and High categorized systems only)**.
- **(SC-15)** ESPs use of collaborative computing devices (e.g., networked whiteboards, cameras, and microphones) on systems hosting /processing/ shall have their remote activation capability removed/disabled.
- **(SC-17)** For all ESPs, who manage information systems, the information system shall utilize automated mechanisms with supporting procedures in place for digital certificate generation, installation, and distribution. Subscriber key pairs are generated and stored using FIPS 140-2 Security Level 2 or higher cryptographic modules. The same public/private key pair is not to be used for both encryption and digital signature. Private keys are protected using, at a minimum, a strong password. A certificate is revoked if the associated private key is compromised; management requests revocation; or the certificate is no longer needed. **(Moderate and High categorized systems only)**.
- **(SC-18)** Mobile code is software that is executed from a host machine to run scripts on a client machine, including animation scripts, movies, etc. Mobile code is a powerful computing tool that can introduce risks to the user's information system. Whenever an ESP is developing or deploying the mobile code technology, this shall be identified in the ESP's security plan to SSA. Contractors, who use mobile code, shall be subject to a source code review by SSA personnel to ensure that there is no potential risk in introducing malicious code into the contractor/user's environment. **(Moderate and High categorized systems only)**.

**Personnel Security Requirements**

The purpose of the following is to address requirements for **personnel security** for External Service Providers.

**SSA Additional Requirements for ESPs:**

- **(PS-4)** ESP must terminate employee and sub-contractor access to the solution used to provide services to SSA immediately upon reassignment or separation.
- **(PS-6)** ESP personnel who are granted access to IT equipment, media or data used to provide services to SSA must agree and sign a non-disclosure agreement prohibiting unauthorized disclosure of SSA data encountered in the performance of their duties.

- **(PS-7)** ESP sub-contractors are bound to the same security requirements as employees.
- **(PS-8)** ESP must inform the SSA project officer of any violation of security requirements within 24 hours.

#### **System and Information Integrity Requirements**

The purpose of the following is to address requirements for **system and information integrity** for External Service Providers.

#### **SSA Additional Requirements for ESPs:**

- **(S1-2)** ESPs will remediate discovered flaws in the information system according to a process that is approved by the COTR.
- **(SI-3)** ESP must submit alerts on malicious code detection and actions performed on malicious code to the SSA COTR for review.
- **(SI-4)** The ESP shall employ tools and techniques to monitor events on the information system to detect attacks, vulnerabilities, and detect, deter, and report on unauthorized use of the information system. Whenever there is an elevated security level, the monitoring efforts shall be increased as necessary to enable deterrence, detection, and reporting to take place so that corrective actions shall be made to the networked environment.
- **(SI-5)** ESPs must receive advisories (from US CERT) on a regular basis and take appropriate actions as necessary.
- **(SI-11)** The information system shall identify security relevant error conditions and handle error conditions in an expeditious manner. **(Moderately and High categorized systems only).**

#### **Government Access Requirements (FedRAMP)**

To the extent required to carry out a program of inspection to safeguard against threats and hazards to the security, confidentiality, integrity, availability, and reliability of any non-public government data collected and stored by the Offeror, the Offeror shall afford the government access to the Offeror's facilities, installations, technical capabilities, operations, documentation, records and databases. The Provider shall also identify how the following compliance, oversight and law enforcement objectives can be effectively and efficiently conducted by SSA in the event such activity is deemed by SSA to be appropriate and necessary relative to the facilities, installations, operations,

documentation, databases, IT systems, devices, and personnel used in performance of the contract, regardless of the location:

- Audits;
- Inspections;
- Evaluations;
- Investigations;
- Continuous monitoring of the security posture and continued effectiveness of management, operational and technical controls (including IT asset and device discovery, inventory and security configurations);
- Penetration testing; and
- Vulnerability testing