



September 7, 2022

This is Amendment No. 1. The specifications in our Invitation For Bids on Program 0379-S, scheduled for opening at 11:00 a.m. on September 12, 2022, are amended as follows:

1. Change the bid opening date to September 14, 2022.
2. On page 64 of the specifications, under “SECTION 3. – DETERMINATION OF AWARD,” the following changes are made:
 - Delete the estimates for line items III. (c) and IV. (b), and in their place, insert the following estimates:

III. (c)	30,000
IV. (b)	30,000
 - Additionally, add the following new line item estimates:

III. (d)	3,500
IV. (c)	3,500
3. On page 66 of the specifications, under “III. PRINTING/IMAGING, BINDING, AND CONSTRUCTION,” insert the following line item:

(d) Mail-out Envelope (6-1/8 x 9-1/2”): Printing in black ink,
including construction.....per 100 envelopes.....\$_____
4. On page 66 of the specifications, under “IV. PAPER,” insert the following line item:

(c) Mail-out Envelopes (6-1/8 x 9-1/2”): White Writing Envelope (24-lb.); or, at
contractor’s option, White Uncoated Text (60-lb.).....\$_____
5. All other specifications remain the same.

Amended bid or acknowledgement of amendment must be submitted via email to: bidsapsdc@gpo.gov for this solicitation. Telephone or facsimile acknowledgement is not acceptable. Bidder must acknowledge receipt of this amendment prior to bid opening. Failure to acknowledge receipt of amendment, by amendment number, prior to bid opening time, may be reason for bid being declared nonresponsive.

Sincerely,

MICHAEL KING
Contracting Officer

U.S. GOVERNMENT PUBLISHING OFFICE
Washington, DC

GENERAL TERMS, CONDITIONS, AND SPECIFICATIONS

For the Procurement of

***Section 1144 Outreach Notices and
Supplemental Security Income (SSI) Transition-Aged Youth 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 October 1, 2022 and ending September 30, 2023 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” and “ECONOMIC PRICE ADJUSTMENT” clause in SECTION 1 of this contract.

Contractor interfacing with SSA’s National File Transfer Management System (FTMS) for electronic transmission of files from SSA to the production facility will take place from October 1, 2022 through December 31, 2022; first production order will be issued on or after January 1, 2023.

BID OPENING Bids shall be publicly opened at 11:00 a.m., prevailing Washington, DC time, on: September 12, 2022.

BID SUBMISSION: Due to the COVID-19 pandemic, the GPO physical office will NOT be open. Based on this, bidders must submit email bids to bidspdc@gpo.gov for this solicitation. No other method of bid submission will be accepted at this time. The program number and bid opening date must be specified in the subject line of the emailed bid submission. ***Bids received after 11:00 a.m. on the bid opening date specified above will not be considered for award.***

BID RESTRICTION: Due to travel restrictions as a result of COVID-19, bidders must have an SSA pre-approved security clearance at the bidder’s physical location(s) that will be used in the production of products for this contract. NOTE: If bidder does not have these requirements completed prior to bid submission, the bidder will be declared non-responsible.

BIDDERS NOTE: ***This program was formerly Program 413-S.*** The specifications have been revised extensively; therefore, all bidders are cautioned to familiarize themselves with all provisions of these specifications before bidding, with particular attention to: “Clause 2352.204-1 – Security and Suitability Requirements (MAR 2018)” requirements specified in SECTION 1.

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

For information of a technical nature, contact Star Thompson at sthompson@gpo.gov or (202) 512-2114.

SECTION 1. - GENERAL TERMS AND CONDITIONS

GPO CONTRACT TERMS: Any contract which results from this Invitation for Bid will be subject to the applicable provisions, clauses, and supplemental specifications of GPO Contract Terms (GPO Pub. 310.2, effective December 1, 1987 (Rev. 01-18)) and GPO Contract Terms, Quality Assurance Through Attributes Program for Printing and Binding (GPO Pub. 310.1, effective May 1979 (Rev. 09-19)).

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-rev-09-19.pdf>.

PREDOMINANT PRODUCTION FUNCTIONS: The predominant production functions are the printing of notices (inkjet printing is allowed), the laser/ion deposition printing/imaging of data at a minimum of 600 x 600 dpi for the notices from electronically transmitted files, folding, inserting, the presorting, mailing, and disposal of waste materials. Any bidder who cannot perform these functions of this contract will be declared non-responsible.

SUBCONTRACTING: The contractor may subcontract the printing and manufacturing of the 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 30 calendar days prior to the start of production at that facility.

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 U.S. Postal Service (USPS) OCR Scanner.

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	O.K. Press Sheets
P-9. Solid and Screen Tint Color Match	O.K. Press Sheets

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

- P-7. O.K. Proofs, average type dimension, electronic media, camera copy, manuscript copy.
- P-9. 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 October 1, 2022 to September 30, 2023 and the second and any succeeding period(s) will extend for 12 months from the end of the last preceding period, except that the length of the final period may vary. The first day of the second and any succeeding period(s) will be the effective date of the economic price adjustment for that period.

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

The economic price adjustment will be the percentage difference between Index averages as specified in this paragraph. An index called the variable index will be calculated by averaging the monthly Indexes from the 12-month interval ending three (3) months prior to the beginning of the period being considered for adjustment. This average is then compared to the average of the monthly Indexes for the 12-month interval ending June 30, 2022, called the base index. The percentage change (plus or minus) of the variable index from the base index will be the economic price adjustment for the period being considered for adjustment.

The Government will notify the contractor by contract modification specifying the percentage increase or decrease to be applied to invoices for orders placed during the period indicated. The contractor 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.

SECURITY REQUIREMENTS: Clause 2352.224-1 Protection of Confidential Information (Dec 2008):

- (a) "Confidential information," as used in this clause, means information or data, or copies or extracts of information or data, that is: (1) provided by the Social Security Administration (SSA) to the contractor for, or otherwise obtained by the contractor in, the performance of this contract; and (2) of a personal nature about an individual, such as name, home address, and social security number, or proprietary information or data submitted by or pertaining to an institution or organization, such as employee pay scales and indirect cost rates.
- (b) The Contracting Officer and the Contractor may, by mutual consent, identify elsewhere in this contract specific information or categories of information that the Government will furnish to the Contractor or that the Contractor is expected to generate which are confidential. Similarly, the Contracting Officer and the Contractor may, by mutual consent, identify such confidential information from time to time during the performance of the contract. The confidential information will be used only for purposes delineated in the contract; any other use of the confidential information will require the Contracting Officer's express written authorization. The Contracting Officer and the Contractor will settle any disagreements regarding the identification pursuant to the "Disputes" clause.
- (c) The Contractor shall restrict access to all confidential information to the minimum number of 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 in conference between SSA's Contracting Officer, Contracting Officer's Technical Representative, and the responsible Contractor official. Upon request, the Contractor will provide SSA with a list of "authorized personnel," that is, all persons who have or will have access to confidential information covered by this clause.
- (d) The Contractor shall process all confidential information under the immediate supervision and control of authorized personnel in a manner that will: protect the confidentiality of the records; prevent the unauthorized use of confidential information; and prevent access to the records by unauthorized persons.
- (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 SSA-301, "Contractor Personnel Security Certification." (See Exhibit A.)

A copy of this signed certification must be forwarded to: Social Security Administration, Attn: Cheryl Tarver, DMIM, 1300 Annex Building, 6401 Security Boulevard, Baltimore, MD 21235-6401, or email to: cheryl.tarver@ssa.gov. A copy must also be forwarded to: U.S. Government Publishing Office, 732 North Capitol Street, NW, CSAPS, APS DC, Attn: Contracting Officer, Room C-838, Washington, DC 20401 (email address to be provided after award).

See paragraph (f) below regarding the minimum standards which the safeguards must meet.

- (f) Whenever the Contractor is storing, viewing, transmitting, or otherwise handling confidential information, the Contractor shall comply with the applicable standards for security controls that are established in the Federal Information Security and Management Act (FISMA). (These standards include those set by the National Institute of Standards and Technology (NIST) via the Federal Information Processing Standards (FIPS) publications and NIST Special Publications, particularly FIPS 199, FIPS 200, and NIST Special Publications - 800 series.)

- (g) If the Contractor, in the performance of the contract, uses any information subject to the Privacy Act of 1974, 5 U.S.C. 552a, and/or section 1106 of the Social Security Act, 42 U.S.C. 1306, the Contractor must follow the rules and procedures governing proper use and disclosure set forth in the Privacy Act, section 1106 of the Social Security Act, and the Commissioner's regulations at 20 C.F.R. Part 401 with respect to that information.
- (h) For knowingly disclosing information in violation of the Privacy Act, the Contractor and Contractor employees may be subject to the criminal penalties as set forth in 5 U.S.C. Section 552(i)(1) to the same extent as employees of SSA. For knowingly disclosing confidential information as described in section 1106 of the Social Security Act (42 U.S.C. 1306), the Contractor and Contractor employees may be subject to the criminal penalties as set forth in that provision.
- (i) The Contractor shall assure that each Contractor employee with access to confidential information is made aware of the prescribed rules of conduct, and the criminal penalties for violations of the Privacy Act and/or the Social Security Act.
- (j) Whenever the Contractor is uncertain how to handle properly any material under the contract, the Contractor must obtain written instructions from the Contracting Officer addressing this question. If the material in question is subject to the Privacy Act and/or section 1106 of the Social Security Act or is otherwise confidential information subject to the provisions of this clause, the Contractor must obtain a written determination from the Contracting Officer prior to any release, disclosure, dissemination, or publication. Contracting Officer instructions and determinations will reflect the result of internal coordination with appropriate program and legal officials.
- (k) 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 confidential and may not be disclosed without the written permission of the SSA Contracting Officer. For willfully 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.
- (l) The Government reserves the right to conduct on-site visits to review the Contractor's documentation and in-house procedures for protection of and security arrangements for confidential information and adherence to the terms of this clause.
- (m) The Contractor must include this clause in all resulting subcontracts whenever there is any indication that the subcontractor(s), engaged by the contractor, and their employees or successor subcontractor(s) and their employees might have access to SSA's confidential information.
- (n) The Contractor must assure that its subcontractor(s) and their employees or any successor subcontractor(s) and their employees with access to SSA confidential information are made aware of the prescribed rules of conduct. For knowingly disclosing SSA's confidential information, any subcontractor(s) and their employees or successor subcontractor(s) and their employees may be subject to criminal penalties as described in section 1106 of the Social Security Act (42 U.S.C. 1306) and the Privacy Act (5 U.S.C. 552a).

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 B for References for External Service Providers (ESP).

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

- a. The solution must be located in the United States, its territories or possessions.

NOTE: "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).

- b. Upon request from the SSA Contracting Officer Technical Representative (COTR) the vendor shall provide access to the hosting facility to the U.S. 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 be FedRAMP authorized. 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 Rev 4 before SSA provides data.
- f. All ESPs that process or store Personally Identifiable Information (PII) 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 Authorization Package (SAP) created by an independent assessor. 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 Authorization Package.

NOTE: 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.

NOTE: Independent assessor is any individual or group capable of conducting an impartial assessment of security controls employed within or inherited by an information system.

- 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 Requirements" document.

References - Refer to most up to date revision:

- Federal Information Security Modernization Act (P.L. 113-283), December 2014.
<https://www.govinfo.gov/app/details/PLAW-113publ283>

- Clinger-Cohen Act of 1996 also known as the “Information Technology Management Reform Act of 1996.”
- Privacy Act (P.L. 93-579), December 1974.
<https://www.govinfo.gov/app/details/STATUTE-88/STATUTE-88-Pg1896>
- Homeland Security Presidential Directive (HSPD-12), “Policy for a Common Identification Standard for Federal Employees and Contractors,” August 27, 2004.
<https://www.dhs.gov/homeland-security-presidential-directive-12>
- Revision of OMB Circular No. A–130, “Managing Information as a Strategic Resource,” July 28, 2016.
<https://www.govinfo.gov/content/pkg/FR-2016-07-28/pdf/2016-17872.pdf>
- OMB Memorandum M-04-04, “E-Authentication Guidance for Federal Agencies,” December 16, 2003.
<https://obamawhitehouse.archives.gov/sites/default/files/omb/assets/omb/memoranda/fy04/m04-04.pdf>

and

ITL BULLETIN FOR DECEMBER 2011 REVISED GUIDELINE FOR ELECTRONIC AUTHENTICATION OF USERS HELPS ORGANIZATIONS PROTECT THE SECURITY OF THEIR INFORMATION SYSTEMS.

<https://csrc.nist.gov/csrc/media/publications/shared/documents/itl-bulletin/itlbul2011-12.pdf>

- FIPS PUB 199, National Institute of Standards and Technology Federal Information Processing Standards Publication 199, Standards for Security Categorization of Federal Information and Information Systems, February 2004.
<https://doi.org/10.6028/NIST.FIPS.199>
- FIPS PUB 200, National Institute of Standards and Technology Federal Information Processing Standards Publication 200, Minimum Security Requirements for Federal Information and Information Systems, March 2006.
<https://doi.org/10.6028/NIST.FIPS.200>
- FIPS 140-3 Security Requirements for Cryptographic Modules, March 22, 2019.
<https://csrc.nist.gov/publications/detail/fips/140/3/final>
- NIST Special Publication 800-18, Guide for Developing Security Plans for Federal Information Systems, February 2006.
<https://doi.org/10.6028/NIST.SP.800-18r1>
- NIST SP 800-30, Guide for Conducting Risk Assessments, September 2012.
<https://doi.org/10.6028/NIST.SP.800-30r1>
- ITL Bulletin Contingency Planning for Information Systems NIST Special Publication (SP) 800-34, Rev. 1.
<https://csrc.nist.gov/CSRC/media/Publications/Shared/documents/itl-bulletin/itlbul2010-07.pdf>
- NIST SP 800-37 Revision 2, Risk Management Framework for Information Systems and Organizations - A System Life Cycle Approach for Security and Privacy, December 2018.
<https://csrc.nist.gov/publications/detail/sp/800-37/rev-2/final>
- NIST SP 800-47, National Institute of Standards and Technology Special Publication 800-47, Security Guide for Interconnecting Information Technology Systems, August 2002.
<https://csrc.nist.gov/publications/detail/sp/800-47/final>

- NIST SP 800-53 Revision 4, Security and Privacy Controls for Federal Information Systems and Organizations, April 2013.
<https://csrc.nist.gov/publications/detail/sp/800-53/rev-4/final>
- NIST SP 800-53A Revision 4, Assessing Security and Privacy Controls in Federal Information Systems and Organizations: Building Effective Assessment Plans, December 2014.
<https://csrc.nist.gov/publications/detail/sp/800-53a/rev-4/final>
- NIST SP 800-60 Volume 1 Revision 1, Guide for Mapping Types of Information and Information Systems to Security Categories, August 2008.
<https://csrc.nist.gov/publications/detail/sp/800-60/vol-1-rev-1/final>

and

NIST SP 800-60 Volume 2 Revision 1, Guide for Mapping Types of Information and Information Systems to Security Categories: Appendices, August 2008.

<https://csrc.nist.gov/publications/detail/sp/800-60/vol-2-rev-1/final>

- OMB M-17-12, Preparing for and Responding to a Breach of Personally Identifiable Information.

See Exhibit B, “SSA External Service Provider Additional Security Requirements” for complete details regarding this requirement.

Templates for Required Security Documents:

- Exhibit C: Security Assessment Report (SAR) Template
- Exhibit D: Risk Assessment Report (RAR) Template
- Exhibit E: Externally Hosted Information System Plan (ESP) Template FY17

PHYSICAL SECURITY: Contractor’s facilities storing SSA assets and information are required to meet the Interagency Security Committee’s standard for Federal facilities. This information can be found in the “Facility Security Plan: An Interagency Security Committee Guide,” dated February 2015, 1st Edition. SSA reserves the right to inspect contractor facilities to ensure compliance with the ISC guidelines. If facilities are found deficient, the contractor must implement corrective actions within 45 calendar days of notification. Requirements can include, but not be limited to, the physical security countermeasures, such as access control systems, closed circuit television systems, intrusion detection systems, and barriers.

Contractor must pass all External Service Provider Security and Physical Security requirements as specified above before the Government can award this contract. Any bidder who cannot obtain approval for any of these security requirements within 60 calendar days of approval of production plans and physical security inspection will be declared non-responsible.

SECURITY WARNING: It is the contractor’s responsibility to properly safeguard personally identifiable information (PII) from loss, theft, or inadvertent disclosure and to immediately notify the Government of any loss of personally identifiable information. Personally identifiable information. (PII) means information that can be used to distinguish or trace an individual’s identity, either alone or when combined with other information that is linked or linkable to a specific individual. The PII may range from common data elements such as names, addresses, dates of birth, and places of employment, to identity documents, Social Security numbers (SSN) or other government-issued identifiers, precise location information, medical history, and biometric records.

All employees working on this contract must:

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

Contractor's managers working on this contract must:

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

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

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

The following list provides examples of situations where PII is not properly safeguarded:

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

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

Clause 2352.224-2A- Protecting and Reporting the Loss of Personally Identifiable Information (May 2019)

(a) *Definitions.*

The following terms are defined for the purposes of this clause:

“Agency” means the Social Security Administration (SSA).

“Breach” means the loss of control, compromise, unauthorized disclosures, unauthorized acquisition, or any similar occurrence where: (1) a person other than an authorized user accesses or potentially accesses personally identifiable information (PII); or (2) an authorized user accesses or potentially accesses personally identifiable information for an other than authorized purpose. A breach is not limited to an occurrence where a person other than an authorized user potentially accesses PII by means of a network intrusion, a targeted attack that exploits website vulnerabilities, or an attack executed through an email message or attachment. A breach may also include the loss or theft of physical documents that include PII and portable electronic storage media that store PII, the inadvertent disclosure of PII on a public website, or an oral disclosure of PII to a person who is not authorized to receive that information. It may also include an authorized user accessing PII for other than an authorized purpose. Often, an occurrence may be first identified as an incident, but later identified as a breach once it is determined that the incident involves PII, as is often the case with a lost or stolen laptop or electronic storage device.

Some common examples of a breach include:

- A laptop or portable storage device storing PII is lost or stolen;
- An email containing PII is inadvertently sent to the wrong person;
- A box of documents with PII is lost or stolen during shipping;
- An unauthorized third party overhears agency employees discussing PII about an individual seeking employment or Federal benefits;
- A user with authorized access to PII sells it for personal gain or disseminates it to embarrass an individual;
- An information technology system that maintains PII is accessed by a malicious actor; or
- PII that should not be widely disseminated is posted inadvertently on a public website.

“Employee(s)” means individual(s) under a direct employee-employer relationship with the Contractor, where the Contractor has the power or right to control and direct the individual in the material details of how work is to be performed.

“Handling of PII” or “handle(s) PII” means accessing, using, creating, collecting, processing, storing, maintaining, disseminating, disclosing, disposing, or destruction of PII, as defined in this clause.

“Incident” means an occurrence that (1) actually or imminently jeopardizes, without lawful authority, the integrity, confidentiality, or availability of information or an information system or (2) constitutes a violation or imminent threat of violation of law, security policies, security procedures, or acceptable use policies.

“Personally identifiable information” (PII) means information that can be used to distinguish or trace an individual’s identity, either alone or when combined with other information that is linked or linkable to a specific individual. The PII may range from common data elements such as names, addresses, dates of birth, and places of employment, to identity documents, Social Security numbers (SSN) or other government-issued identifiers, precise location information, medical history, and biometric records. Within this clause, “PII” shall specifically mean PII that is made or becomes available to the Contractor, including its employees, as a result of performing under this contract.

“Primary agency contact” means the SSA Contracting Officer’s Representative (COR) who is the Contracting Officer’s Technical Representative (COTR) or, for indefinite delivery contracts with individual orders issued against the contract, e.g., task-order contracts, the order’s Task Manager, if one has been assigned. The COR may have one or more designated alternates to act for the COR when the COR is unavailable. If neither the COR nor the designated alternate is available, the alternate shall be considered a responsible agency manager in the office.

“Secure area” or “Secure duty station” means, for the purpose of this clause, either of the following, unless the agency expressly states otherwise on a case-by-case basis: (1) a Contractor employee’s official place of work that is in the Contractor’s established business office in a commercial setting, or (2) a location within the agency or other Federal- or State-controlled premises. A person’s private home, even if it is used regularly as a “home office” (including that of a Contractor management official), shall not be considered a secure area or duty station.

“Suspected breach” means PII that, among other possibilities, has been lost or stolen, or accessed in an unauthorized fashion, but it is not yet confirmed that the PII has been compromised to meet the level of a breach.

(b) *Responsibility for Safeguarding PII.*

- (1) The contractor shall comply with applicable limitations on use, treatment, and safeguarding of PII under the Privacy Act of 1974 (5 U.S.C. § 552a); the Federal Information Security Management Act of 2002 (44 U.S.C. § 3541, et seq.), as amended by the Federal Information Security Modernization Act of 2014 (Pub. L. 113-283); related National Institute of Standards and Technology guidelines; the Paperwork Reduction Act, 44 U.S.C. § 3501-3521; the E-Government Act of 2002, 44 U.S.C. § 3501 note; Office of Management and Budget (OMB) guidance relating to handling of PII, including OMB Memorandum M-17-12, “Preparing for and Responding to a Breach of Personally Identifiable Information”; SSA privacy and security policies and procedures relating to handling of PII; and other Federal laws governing handling of PII.
- (2) The contractor shall establish, maintain, and follow its own policies and procedures to protect the confidentiality of PII (PII policies and procedures) in accordance with the laws, policies, and requirements referenced in this clause and elsewhere in the contract. The contractor’s PII policies and procedures shall include safeguards to protect PII from loss, theft, or inadvertent disclosure and breach procedures.
- (3) The contractor shall restrict handling of PII to only those authorized employees who need it in connection with the performance of work under this contract.
- (4) Unless authorized by this contract or otherwise in writing by SSA, the contractor shall not publish, disclose, release, or otherwise disseminate PII, internally or externally.
- (5) The contractor shall inform its employees who will or may handle PII of their individual responsibility to safeguard it. In addition, the contractor shall educate and train employees as required by FAR 24.301 and enforce employees’ compliance with the contractor’s PII policies and procedures and other requirements relating to handling of PII in this contract. SSA may require the contractor to provide evidence of the performance of training and the content of the training.

- (6) Additional policies, procedures, and requirements involving the handling of PII may be prescribed elsewhere in this contract, including but not limited to information security policies. The contractor shall follow all such policies, procedures, and requirements. If contract performance calls for the contractor handling of PII in a manner not addressed in this clause or elsewhere in the contract that may cause a security question or concern, the contractor shall seek clarification and direction from the agency, prior to commencing the handling of PII in question

(c) *Safeguarding Requirements.*

- (1) The contractor is responsible for safeguarding PII at all times. The contractor shall ensure that PII remains under the immediate supervision and control of authorized employees in a manner that will protect the confidentiality and integrity of PII. Examples of proper safeguarding include, but are not limited to: maintaining the confidentiality of each employee's individual password (by not sharing the password with any other individual or entity and not writing it down); verifying the identity of individuals before disclosing information to them; preventing others in the area from viewing PII on one's computer screen; consistently locking or logging off one's workstation when one is away; and ensuring that PII is appropriately returned or, upon receiving the agency's approval, destroyed when no longer needed. The contractor may use its internal policies and practices, non-disclosure agreements, system security requirements or any other means to accomplish its safeguarding responsibilities.

(2) *Transporting PII Outside a Secure Area/Secure Duty Station.*

- (i) The contractor shall safeguard equipment, files, or documents containing PII when transporting information from a secure area/secure duty station. The contractor shall ensure that the laptops and other electronic devices/media being used to transport PII are encrypted and password protected. The contractor shall ensure that the encryption and password protection are in accordance with any agency-prescribed standards or policies, which shall be communicated separately from this clause. The contractor shall use reasonable protection measures when transporting PII, e.g., storing files in a locked briefcase, not leaving files and/or equipment in plain view.
- (ii) The contractor shall ensure that its PII policies and procedures address transporting PII outside a secure area and emailing PII to and from non-SSA email addresses. The contractor shall provide employees, upon or immediately prior to their commencing work on the contract, with contact information and instructions relating to PII breaches and incidents, based on the contractor's security/PII loss incident policy and procedures. (If the preceding requirement is introduced to the contract under a contract modification, the contractor shall ensure employees are provided this information and instructions within 10 working days of the modification.) The contractor shall periodically remind employees of the foregoing information and instructions per the regular training requirements at (d)(1), below. (**NOTE:** Agency-prescribed contact information and instructions for reporting lost or possibly lost PII are discussed in paragraph (d) below.) SSA may require that the contractor present evidence of compliance with these provisions.

(iii) *Tracking PII-containing material (files, documents, etc.).*

- (A) Unless the PII is being transported for disposal pursuant to the contract per (c)(3) below, or SSA grants an exception per (c)(2)(iii)(D), below, the contractor shall take appropriate and necessary action to ensure that the PII-containing material, such as file(s) or document(s) being physically transported or transmitted electronically outside the secure area/secure duty station, are tracked through a log. The PII-containing material shall be logged out prior to transport as well as logged back in upon return. The contractor can establish any mechanism for tracking as long as the process, at a minimum, provides for the following information to be logged:

- (1) first and last name of the employee taking/returning the material;
 - (2) the identification of the PII-containing material, such as the name of the file(s) or document(s) containing PII;
 - (3) the media used to transport the PII (e.g., electronic, such as laptop, portable drive, compact disc/digital versatile disc (CD/DVD), or email—be as specific as possible; paper, such as paper file folders or printouts);
 - (4) the reason he/she intends to transport the PII-containing material;
 - (5) the date he/she transported the PII-containing material from the secure area/secure duty station;
 - (6) the date the PII-containing material is due to be returned to the secure area/duty station. See subparagraph (c)(2)(iii)(B), immediately below.
 - (7) the approver's name and phone number.
 - (8) the actual return date of the PII-containing material.
- (B) Materials shall be returned or, when authorized by paragraph (c)(3), documented as destroyed, within 90 calendar days of removal from the office or have contractor supervisory approval for being held longer.
- (C) The log shall be maintained in a secure manner. Upon request by the agency, the contractor shall provide the information from the log in a format (e.g., electronic or paper) that can be readily accessed by the agency. The contractor shall retain the log in accordance with General Records Schedule 4.2, Information Access and Protection Records, Item 40 (disposition authority DAA-GRS-2016-0002-0004). (See Exhibit F.)
- (D) SSA may relieve the contractor of having to comply with these logging requirements for certain transmissions when the contractor is engaged in routine and secure transmission of PII, and SSA determines that there are appropriate security controls in place to track the data through other means.
- (3) *Return and/or Disposal of PII.* The contractor shall return and/or dispose of the PII when the PII is no longer required for performance of this contract, e.g., upon contract completion, per agency direction and requirements. The marked statement(s) below apply to this contract:
- [x] (i) This contract entails the return of PII.
- [x] (ii) This contract entails the disposal of PII. The Contractor shall follow the procedures described in "Disposal of Waste Materials" (see "PREAWARD PRODUCTION PLANS, *Disposal of Waste Materials*").
- (4) *Emailing PII.* The contractor's corporate or organizational email system is deemed not to be secure. Therefore, the contractor shall put policies and procedures in place to ensure that its employees email PII using only the following procedures in (i) and (ii), below:

- (i) *Sending from an SSA email address.* If employees have been given access to the SSA email system, they may use it to send email messages containing PII in the body or in an unencrypted attachment but only to other SSA email addresses (which contain the “name @ssa.gov” format) or to email addresses belonging to an SSA-certified email system. Email directed to any other address(es) may contain PII only if the PII is entirely contained in an encrypted attachment. The contractor shall encrypt PII in accordance with OMB Circular A-130, Managing Information as a Strategic Resource (July 28, 2016).
- (ii) *Sending from a non-SSA email system.* If employees are using the contractor’s own or any other non-agency email system (e.g., Yahoo!, Gmail), they may send email messages transmitting PII only if the PII is entirely contained in an encrypted attachment, per OMB Circular A-130; none of the PII may be in the body of the email itself or in an unencrypted attachment. When emailing from such systems, this procedure applies when emailing PII to any email address, including but not limited to, an SSA email system address. Unless specifically noted otherwise, the contractor and its employees are expected to conduct business operations under this contract using the contractor’s own email system, i.e., in accordance with the foregoing rules for transmitting PII.

SSA may grant written exceptions to compliance with the email requirements in paragraph (c)(4) above when the contractor’s corporate or organizational email system has been deemed by SSA to be secure.

- (d) *Procedures for Reporting PII Breach or Incident.* The agency has its own reporting requirements for PII breaches or incidents. The purpose of the following paragraphs is to ensure that the contractor meets the requirements and shares breach or incident information appropriately. The contractor’s report of a breach or incident will not, by itself, be interpreted as evidence that the contractor failed to provide adequate safeguards for PII.

- (1) *Contractor Responsibility.* In addition to establishing and implementing its own internal procedures referenced in paragraph (b), above, the contractor shall provide regular training (at least annually and when new employees commence work) for contractors on how to identify and report a breach or incident and take reasonable actions to implement agency-prescribed procedures described in paragraph (d)(3) below for reporting PII breaches or incidents. These include training employees handling PII about these procedures, including how to identify and report a PII breach or incident, and otherwise taking appropriate and necessary steps to enforce their compliance in carrying them out. The contractor shall cooperate and exchange information with agency officials, as determined necessary by the agency, in order to report and manage a suspected or confirmed breach or incident effectively. The contractor shall maintain capabilities to determine what agency information was or could have been accessed and by whom, be able to construct a timeline of user activity, determine methods and techniques used to access agency information, and identify the initial attack vector. The contractor shall allow for an inspection, investigation, forensic analysis, and any other action necessary to ensure compliance with OMB memorandum M-17-12 and agency guidance and breach procedures to assist with responding to a breach or incident. SSA may require evidence of compliance with this guidance.

- (2) *Potential Need for Immediate, Direct Reporting by the Employee.* The agency recognizes that contractor employees will likely make the initial discovery of a PII breach or incident. When an employee becomes aware or suspects that PII has been lost or compromised, he/she is required to follow the contractor’s established security/PII breach/incident reporting process (see paragraph (d)(1), above). The contractor’s reporting process, along with the agency’s (see paragraph (d)(3) below), shall require the contractor, and not necessarily the employee, in such circumstances to notify the agency of the breach or incident. However, the contractor shall inform each employee handling or potentially handling PII that he/she must be prepared to notify outside authorities directly and immediately as described in paragraph (d)(3)(v) below, if, shortly following the breach or incident or discovery of the breach or incident, he/she finds it evident that neither an appropriate contractor nor the agency

manager/contact can be reached. The contractor shall emphasize to the employee that timeliness in reporting the incident is critical.

(3) *Procedures.*

- (i) When a contractor employee becomes aware of or suspects a PII breach or incident, the Contractor, in accordance with its incident reporting process, shall provide immediate (as soon as possible and without unreasonable delay) notification of the breach or incident to the primary agency contact. If the primary agency contact is not readily available, the contractor shall immediately notify the contact's alternate. (See the worksheet in agency-specific clause 2352.224-2B (Exhibit G) below, for the identity of the designated primary and alternate agency contacts.) The contractor shall act to ensure that each employee, prior to commencing work on the contract, has been given information as to who the primary and alternate agency contacts are and how to contact them. In addition, the contractor shall act to ensure that each employee promptly receives any updates on such information, as they are made available. Whenever the employee removes PII from a secure area/secure duty station, he/she shall comply with the contractor's security policies, including having on hand the current contact information for the primary agency contact and at least one alternate.
- (ii) The contractor shall provide the primary agency contact or the alternate, as applicable, updates on the status of the reported PII loss or compromise as they become available but shall not delay the initial report.
- (iii) The contractor shall provide complete and accurate information about the details of the PII breach or incident to assist the agency contact/alternate, including the following information:
 - (A) Contact information;
 - (B) A description of the PII breach or incident (i.e., nature of the breach, scope, number of files or records, type of equipment or media, etc.) including the approximate time and location of the loss;
 - (C) A description of safeguards used, where applicable (e.g., locked briefcase, redacted personal information, password protection, encryption, etc.);
 - (D) An identification of agency components (organizational divisions or subdivisions) contacted, involved, or affected;
 - (E) Whether the contractor or its employee has contacted or been contacted by any external organizations (i.e., other agencies, law enforcement, press, etc.);
 - (F) Whether the contractor or its employee has filed any other reports (i.e., Federal Protective Service, local police, and agency reports); and
 - (G) Any other pertinent information.
- (iv) The contractor may use the worksheet following this clause to gather and organize information quickly about the incident. The contractor shall ensure that each employee with access to PII under the contract, prior to accessing the PII, has a copy of the worksheet with its instructions (see agency-specific clause 2352.224-2b (Exhibit G), and particularly when transporting PII from a secure duty station.

- (v) There may be rare instances (e.g., outside of business hours) when the contractor is unable to reach either the primary agency contact or the alternate immediately. In such a situation, the contractor shall immediately call the agency's National Network Service Center (NNSC) toll-free at 1-877-697-4889 to file the initial report directly, providing the information in (d)(3)(iii) above and as requested by the NNSC (again, the worksheet in agency-specific clause 2352.224-2B (Exhibit G) may be used to collect and organize the information prior to (and/or during) the call). Overall, during this time, the contractor shall cooperate as necessary with the NNSC or any of the other external organizations described in (d)(3)(iii) above.
- (vi) If the contractor makes a direct report to the NNSC, the contractor shall document the call with the Change, Asset, and Problem Reporting System (CAPRS) number, which the NNSC will assign. The contractor shall provide the CAPRS number to the primary agency contact, or, if unavailable, his/her alternate.
- (vii) Subparagraphs (v)-(vi) apply to all Contractor employees. The contractor shall ensure its internal procedures and PII breach/incident training make clear to employees these responsibilities. Reports to the NNSC should not be delayed because an employee could not reach the contractor's management.
- (viii) The contractor and its employee(s) shall limit disclosures about PII involved in a breach or incident to only those SSA and Contractor employee(s) with a need for the information in order to respond to and take action to prevent, minimize, or remedy the breach or incident. The contractor may disclose breach or incident information to Federal, state, or local law enforcement agencies and other third parties with a need for the information; however, information about the specific PII involved may only be disclosed to such authorities and third parties as Federal law permits. The contractor shall not, without SSA approval, publicly disclose information about PII involved in a breach or incident or SSA's involvement in a breach or incident. The Contractor shall not, without SSA approval, notify individuals affected by the PII breach or incident. The contractor's PII breach and incident reporting process shall ensure that disclosures are made consistent with these requirements. As used in this paragraph, the term PII references only PII covered by this clause.

(e) *Additional Contractor Responsibilities When There Is a Suspected or Confirmed Breach.*

- (1) The contractor shall have a formal security/PII breach or incident reporting process in place that outlines appropriate roles and responsibilities, as well as the steps that must be taken, in the event of a security/PII breach or incident. The plan shall designate who within the contractor's organization has responsibility for reporting the PII breach or incident to the agency.
- (2) In the event of a PII breach or incident, the contractor shall take immediate steps to address consequential security issues that have been identified, including steps to minimize further security risks to those individuals whose personal information was lost, compromised, or potentially compromised.
- (3) The contractor shall confer with SSA personnel in reviewing the actions the contractor has taken and plans to take in dealing with the breach or incident. Additionally, the contractor shall provide any documentation requested by SSA.
- (4) The contractor shall bear the cost for any data breach or incident: (1) occurring outside of SSA-controlled facilities, systems, or environments when the affected PII was in the possession or control of the contractor or its employees, agents, or representatives; or (2) resulting from the contractor or its employees, agents, or representatives' failure to properly safeguard PII or facilities, systems, or other environments containing PII in accordance with this contract's requirements. In addition, as SSA requires, the contractor shall be responsible for or shall assist SSA in taking preventative and remedial

actions that SSA determines are necessary to address such a breach or incident. Preventative and remedial actions may include notification to individuals potentially affected by the breach and other countermeasures to mitigate the risk of harm or to protect PII (e.g., operating call centers and providing resources for potentially affected individuals). SSA will notify the contractor when SSA determines that preventative or remedial action(s) are necessary and instruct the contractor on whether the action(s) will be effectuated by the contractor or SSA. SSA may choose to effectuate the action(s) at the agency's discretion. The contractor shall be responsible for the cost of all preventative or remedial action(s), including those actions effectuated by SSA, resulting from the breaches and incidents covered by this paragraph. Note: Nothing in this paragraph affects the contractor's obligations in paragraph (e)(2) above to take immediate steps to address identified security issues.

(f) *Subcontractor(s)*.

- (1) The contractor shall include this clause in all resulting subcontracts whenever there is any indication that the subcontractor(s) and their employees, or successor subcontractor(s) and their employees, will or may handle PII. When this clause is included in a subcontract, all references to "contractor" in paragraphs (a) through (e) and (h) shall be read to apply to the subcontractor(s).
- (2) The contractor shall take appropriate and necessary action to ensure its subcontractor(s) and their employees, or any successor subcontractor(s) and their employees, comply with this clause.
- (3) *Notification of Subcontractor Handling of PII*. If the contractor engages a subcontractor under this contract whose employee(s) will actually or potentially handle PII, the contractor shall do the following:
 - (i) Notify the SSA COR-COTR and the Contracting Officer of this arrangement in advance of providing access to PII, providing the subcontractor name(s) and address(es) and, upon request, a description of the nature of the PII to which the employee(s) will actually or potentially be given/have access (e.g., phone numbers, SSN); and
 - (ii) Provide the agency's COR-COTR the names of the subcontractor employee(s) who will actually or potentially be assigned and/or have access to the PII. The contractor may satisfy this requirement when submitting the name(s) of the subcontractor employee(s) to the agency's COR-COTR for the requisite security background check described in paragraph (g), below.

(g) *Security & Suitability Requirements Clause*. For each contractor employee handling PII, the contractor shall fulfill the requirements of the Security & Suitability Requirements Clause, found elsewhere in this contract, to ensure that any such individual has the appropriate background checks.

(h) The contractor shall permit the agency to conduct security reviews and inspections to ensure that the contractor maintains adequate safeguards and security measures for PII in accordance with the terms of this contract. At SSA's request, the contractor shall grant SSA, and its auditors, access to all systems, facilities, equipment, locations, and other environments that create, collect, use, process, store, maintain, disseminate, disclose, or dispose of PII for such reviews and inspections. The contractor is not required to provide SSA access to parts of those systems, facilities, equipment, locations, and other environments that are not impacted by such reviews and inspections

Clause 2352.204-1 – Security and Suitability Requirements (MAR 2018)

(a) Acronyms and Definitions – As used in this clause –

NOTE: For the purposes of this contract, the Contracting Officer's Representative (COR) or Contracting Officer's Technical Representative (COTR) is the SSA representative/Program Lead. The terms "vendor" and "contractor" are used interchangeably throughout this contract. Additionally, the terms "business days" and "workdays" are used interchangeably throughout this contract.

"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" means contracting officer.

"Contractor" means any entity having a relationship with SSA because of this contract. This term includes, but is not limited to, corporations, limited liability partnerships, and sole proprietorships.

"Contractor personnel" means employees of the contractor, employees of the subcontractor, any consultant retained by the contractor or subcontractor, any volunteer or intern of the contractor or subcontractor, and if the contractor or subcontractor is a sole proprietorship, it refers to the sole proprietorship.

"CPOC" means company point of contact as specified by the contract.

"CSPS" means Center for Suitability and Personnel Security.

"e-QIP" means Electronic Questionnaire for Investigations Processing.

"PIV" means Personal Identity Verification.

"Subcontractor" means any entity having a relationship with SSA's contractor because of this contract. This term includes, but is not limited to, corporations, limited liability partnerships, and sole proprietorships.

(b) Purpose

This clause provides SSA's policies and procedures concerning the conduct of background investigations (i.e. suitability determinations) of contractor personnel. A background investigation is required any time contractor personnel requires any type of access to a facility, site, system, or information, whether or not a PIV credential is required. Contractor personnel may be subject to periodic reinvestigation per SSA policy. The purpose of these investigations is to determine the suitability of contractor personnel needing access to a SSA facility, site, system, or information. If applicable, the clause also describes the process to obtain a PIV credential.

(c) PIV Credentials

- (1) A PIV credential is required for contractor personnel 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.)

- (2) A PIV credential is not required for:
 - (i) Contractor personnel requiring escorted access to a SSA facility or site for less than six months; or
 - (ii) Contractor personnel requiring infrequent escorted access to a SSA facility or site, even if the access may be longer than six months (e.g., contractor personnel who provide infrequent facilities or equipment maintenance or repair, or who conduct onsite shredding, etc.).

(d) Authorities

- (1) Homeland Security Presidential Directive 12
(<http://www.dhs.gov/homeland-security-presidential-directive-12>).
- (2) Office of Management and Budget Memorandum M-05-24
(<https://obamawhitehouse.archives.gov/sites/default/files/omb/assets/omb/memoranda/fy2005/m05-24.pdf>).
- (3) The Crime Control Act of 1990, Public Law 101-647, subtitle E, as amended by Public Law 102-190 (for childcare center security requirements)
(<http://www.gpo.gov/fdsys/pkg/USCODE-2010-title42/pdf/USCODE-2010-title42-chap132-subchapV-sec13041.pdf>).
- (4) Executive Orders 13764 and 12968
(<https://www.hsdl.org/?abstract&did=798174>) and
(<https://www.gpo.gov/fdsys/pkg/FR-1995-08-07/pdf/95-19654.pdf>)
- (5) Title 5, Code of Federal Regulations (CFR), Parts 731, 736, and 1400 (for positions assigned a “National Security” designation)
(http://www.ecfr.gov/cgi-bin/text-idx?c=ecfr&tpl=/ecfrbrowse/Title05/5cfr731_main_02.tpl,
http://www.ecfr.gov/cgi-bin/text-idx?c=ecfr&tpl=/ecfrbrowse/Title05/5cfr736_main_02.tpl, and
http://www.ecfr.gov/cgi-bin/text-idx?SID=ea8d9b7f129b58c4b512ea9d68a44761&mc=true&node=pt5.3.1400&rgn=div5%23se5.3.1400_1201)

(e) Suitability Process

The background investigation and adjudication processes are compliant with 5 CFR 731 or equivalent. Any new vendor personnel (i.e., those who have not previously received a suitability determination under this contract) requiring access to an SSA facility, site, information, or system, must complete and submit, through the COR-COTR, the documents listed in (a)(1) at least 30 workdays prior to the date vendor personnel are to begin work. The suitability process cannot begin until the vendor 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 Contracting Officer’s Representative (COR) for all vendor personnel requesting a suitability determination using a secured/encrypted email* with a password sent separately to 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. \(See Exhibit H\)](#);
 - (iii) Fair Credit Reporting Act (FCRA) Authorization Form (Exhibit I);

- (iv) Additional Questions for Public Trust Positions Branching (Exhibit J); and,
 - (v) Work authorization for non-United States (U.S.) born applicants, if applicable.
- b. The e-QIP applicant listing must include the vendor name, the Social Security Administration (SSA) 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 vendor 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 vendor personnel to the e-QIP website to electronically complete the background investigation form (Standard Form (SF) 85P, Questionnaire for Public Trust Positions). (See Exhibit K.)
- b. Vendor personnel will have up to 10 business days to complete the e-QIP application. The 10-day timeframe begins the day CSPS sends the invitation to the CPOC and COR. Vendor 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. Find information about the e-QIP process in the e-QIP Quick Reference Guide for e-QIP Applicants at <https://nbib.opm.gov/e-qip-background-investigations/>.
- c. If vendor personnel need assistance with e-QIP logon and navigation, they can call the e-QIP Hotline at 1-844-874-9940.

(3) Fingerprinting

- a. The e-QIP notification email also provides vendor personnel with instructions to obtain electronic fingerprinting services. Vendor personnel must report for fingerprint services immediately upon completion and release of the e-QIP application and within 10 business days from the day CSPS sends the invitation.
- b. If vendor personnel cannot report to the designated fingerprint locations (in the notification email), CSPS will accept completed Field Division (FD) 258 fingerprint cards. (See Exhibit L.) The COR can provide the FD 258, if required. Vendor personnel must complete all fields on the FD 258. Incomplete fields may delay suitability processing.
- c. If the vendor needs to mail completed FD 258 fingerprint cards, the vendor can send them, via certified mail, along with a completed Vendor 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 vendor personnel have completed each of the steps in (e) in their entirety and do not receive a suitability determination within 15 business days of their last submission, call 1-844-874-9940 to determine suitability status.

(f) 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 vendor 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 vendor 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 vendor specified in the letter.
- (3) If personnel have been cleared at a previous contractor's facility and are to perform work under a new vendor, the CPOC must submit a fully completed, legible [Contractor Personnel Rollover Request Form](#) to the COR. (See Exhibit M.) CSPS will notify the CPOC, COR, and Contracting Officer (CO) of suitability to work under the new vendor.

(g) Vendor Personnel Previously Cleared by SSA or Another Federal Agency

If vendor personnel previously received a suitability determination from SSA or another Federal agency, the CPOC should include this information next to the vendor personnel's name on the initial applicant listing (see paragraph (a)(1)(b)) along with the OF 306. 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 vendor personnel were previously cleared under another Federal contract and do not need to go through the suitability determination process again.

- (h) 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.

(i) Unsuitable Determinations

- (1) The vendor must notify the contractor personnel of any unsuitable determinations as soon as possible after receipt of such a determination.
- (2) The vendor 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. Vendor personnel must file their own requests; vendor may not file requests on behalf of vendor personnel.

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

(j) Vendor Notification to Government

The vendor shall notify the COR and CSPS within one business day if any vendor personnel are arrested or charged with a crime, or if there is any other change in the status of vendor personnel (e.g., leaves the company, no longer works under the vendor, the alien status changes, etc.) that could affect their suitability determination.

The vendor must provide in the notification as much detail as possible, including, but not limited to: name(s) of vendor 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).

(k) Obtaining a Credential

- (1) This section applies only if contractor personnel will have access to a SSA information system or routine or unescorted access to a SSA facility or site for a period of six months or more as described in paragraph (c)(1).
- (2) Once the contractor personnel receive notification of an acceptable suitability determination, but prior to beginning work under the contract, the contractor personnel must appear at the respective Regional Security Office or SSA Headquarters Parking and Credentialing Office to begin the credentialing process. The contractor must contact the COR-COTR to arrange for credentialing. Once the COR-COTR makes the appointment, the COR-COTR must contact the contractor to inform the contractor of the credentialing appointment(s). The COR-COTR will also arrange for the contractor personnel to be escorted (by either the COR-COTR or a COR-COTR's representative) to the appropriate credentialing office at the time of this appointment. The contractor personnel 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) (for acceptable forms of ID see List of Acceptable Documents on OAG's [website](#)). For SSA Headquarters access, a completed Form SSA-4395, Application for Access to SSA Facilities, signed by the contractor personnel and the COR-COTR is also required. The COR-COTR will provide the SSA-4395 Form to the contractor personnel when applicable.
- (3) Credentialing appointments last approximately 15 minutes. Depending on a contractor's scheduling needs and availabilities, contractor personnel may be scheduled for credentialing all in one day (this process may take a few hours to complete, depending on the number of contractor personnel that need to be credentialed) or they may come in at separate times convenient to the contractor personnel's and the COR-COTR's schedules.
- (4) Contacts
 - a. SSA Headquarters' Parking and Credentialing Office representatives can be reached at Parking.and.Credentialing@ssa.gov or 410-965-5910.
 - b. Research Triangle Park Parking and Credentialing Office representatives can be reached at SSC.Parking.and.Credentialing@ssa.gov or 877-586-6650, extensions 25206 or 25207.
 - c. Regional Security Office contact information is in the Appendix at the end of this clause.

(l) Contractor Return of PIV Credential

The contractor must account for and ensure that all forms of Government-provided identification (PIV credential) issued to contractor personnel 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 any contractor personnel employment; or upon contract completion or termination.

(m) 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 contractor personnel, or require the contractor to remove contractor personnel from performing under the contract for reasons related to conduct even after contractor personnel are found suitable to work on the contract (see paragraph (n) below).

(n) Removal From Duty

The CO, in coordination with the COR-COTR and CSPS, may remove a contractor, or request the contractor immediately remove any contractor personnel from working under the contract based on conduct that occurs after a favorable suitability determination. This includes temporarily removing contractor personnel arrested for a violation of law pending the outcome of any judicial proceedings. The contractor must comply with these requests to remove any contractor personnel. The Government's determination may be made based on, but not limited to, these incidents involving the misconduct or delinquency:

- (1) Violation of the Rules and Regulations Governing Public Buildings and Grounds, 41 CFR 101-20.3. This includes any local credentialing requirements.
- (2) 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.
- (3) Falsification or unlawful concealment, removal, mutilation, or destruction of any official documents, records, or Government property or concealment of material facts by willful omissions from official documents or records.
- (4) 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.
- (5) Theft, vandalism, or any other criminal actions.
- (6) Selling, consuming, possessing, or being under the influence of intoxicants, drugs, or substances that produce similar effects.
- (7) Improper use of official authority or credentials.
- (8) Unauthorized use of communications equipment or Government property.
- (9) Misuse of weapon(s) or tools used in the performance of the contract.
- (10) Unauthorized access to areas not required for the performance of the contract.

- (11) Unauthorized access to SSA's employees' personal property.
 - (12) Violation of security procedures or regulations.
 - (13) Prior contractor personnel unsuitability determination by SSA or another Federal agency.
 - (14) Unauthorized access to, or disclosure of, agency programmatic or sensitive information, or Internal Revenue Service Tax Return information.
 - (15) Failure to ensure the confidentiality of or failure to protect from disclosure, agency information entrusted to them. Certain provisions of these statutes and regulations apply to Federal employees, and apply equally to contractor personnel: 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, and Section 1106 of the Social Security Act.
 - (16) Being under investigation by an appropriate authority for violating any of the above.
- (o) The contractor is required to include the substance of this clause in any subcontract requiring the subcontractor to access a SSA facility, site, system, or information. However, the contractor must obtain, review, and submit to SSA all of the completed and required forms (see paragraph (e)) from the subcontractor. SSA will not accept completed forms from anyone other than the contractor.

Regional Security Offices and Regional Credentialing Contacts for Contractor Personnel:

Region 1 – Boston

Management and Operations Support, Wilson Osorio, (617) 565-2840

Region 2 – New York

Center for Materiel Resources, Physical Security and Safety Team, Emmanuel Fernandez, (212) 264-2603

Region 3 – Philadelphia

For Mid-Atlantic Social Security Center occupants: Center for Materiel Resources, Kevin Wiley, (215) 597-1627

For all others: Center for Automation, Security and Integrity, (215) 597-5100

Region 4 – Atlanta

Center for Security and Integrity
Willie Martin, (404) 562-1761
Charlene C. Jones, (404) 562-1432
Glen Gaston, (404) 562-1871
Dennis Loewer, (404) 562-1340

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
Colleen Carrington, (312) 575-5242

Region 6 – Dallas

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

Region 7 – Kansas City

Center for Automation Security Integrity, General Office Line, (816) 936-5555

Region 8 – Denver

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

Region 9 – San Francisco

Center for Security and Integrity, Cassandra Howard, (510) 970-4124

Region 10 – Seattle

Center for Security and Integrity

Mary Bates, (206) 615-2105

Lisa Steepleton, (206) 615-2183

Clause 2352.204-2 Federal Information Security Modernization Act (FISMA) and Agency Privacy Management (MAY 2021)

(a) Definitions

Terms defined for this clause:

“Agency” means the Social Security Administration (SSA).

“COR-COTR” means contracting officer’s representative-contracting officer’s technical representative.

“Electronic Personnel Enrollment and Credentialing System (EPECS)” means the system supporting the Homeland Security Presidential Directive-12 credentialing process at SSA.

“OAG” means the Office of Acquisition and Grants at SSA.

“PIV Credential” means personal identity verification credentials required for contractor personnel requiring unescorted access to an SSA facility or access to SSA information systems.

(b) Agency Responsibility Related to FISMA Training Requirements

(1) The Federal Information Security Management Act of 2002 (44 U.S.C. § 3541, et seq.), as amended by the Federal Information Security Modernization Act of 2014 (Pub. L. 113-283) (collectively, “FISMA”), and the Office of Management and Budget Circular No. A-130 (published July 28, 2016) require all agency contractor and subcontractor personnel working under agency contracts who will have access to any kind of SSA information, receive periodic training in information technology (IT) security awareness and accepted IT security practice. This includes training for contractor personnel who do not have access to electronic information systems. The training level and content is tailored to the contractors’ assigned roles and responsibilities and the risk and magnitude of harm related to the required activities.

(2) SSA requires contractor personnel to read and sign the Security Awareness Contractor Personnel Security Certification (CPSC) form, SSA-222. The SSA-222 is on OAG’s internet site (see paragraph (c)(3)(i) below) or contractors can ask the COR-COTR for a copy. This training does not preclude any additional role-based information security or privacy training specified elsewhere in this contract.

(c) Contractor Responsibilities Related to FISMA Training Requirements

(1) Contractor Personnel Requiring an SSA-issued PIV Credential and Access to SSA's Network

- (i) Following contract award, the agency mandates contractor personnel requiring a PIV credential and access to SSA's network to take security awareness training by reading and electronically signing the CPSC form, SSA-222, during the PIV credentialing process. This requirement also applies to contractor personnel requiring a PIV credential and access to SSA's network subsequently added to the contract. If contractor personnel receive a PIV credential, contractors are not required to send an email per paragraph (c)(3)(iii).
- (ii) For each successive year of the contract, contractor personnel shall take annual security awareness training via a video on demand on an SSA-managed website. Contractor personnel with a valid SSA email address will receive an email to take this training at the appropriate time. Additionally, contractor personnel must electronically attest to the CPSC form, SSA-222, within EPECS. The COR-COTR will email this invitation to contractor personnel initiating this action.

(2) Contractor Personnel Requiring an SSA-issued PIV Credential but Not Access to SSA's Network:

- (i) Following contract award, the agency mandates contractor personnel requiring a PIV credential to take security awareness training by reading and electronically signing the CPSC form, SSA-222, during the PIV credentialing process. This requirement also applies to contractor personnel subsequently added to the contract and requiring a PIV credential. For contractor personnel receiving a PIV credential, contractors are not required to send an email per paragraph (c)(3)(iii) for the first year of the contract.
- (ii) For each successive year of the contract, the contractor shall repeat the processes described in paragraphs (c)(3)(i)-(iii), below, on an annual basis. The contractor must submit the information in paragraph (c)(3)(iii), below, within 45 calendar days of the date the option was renewed, or the anniversary of the contract award date, whichever comes first.

(3) Contractor Personnel Not Requiring an SSA-issued PIV Credential and No Access to SSA's Network:

- (i) Following contract award, the contractor shall ensure that all contractor personnel performing under this contract take the security awareness training by reading and signing the CPSC form, SSA-222. This requirement also applies to contractor personnel subsequently added to the contract. A copy of this form is on OAG's Internet website (<http://www.socialsecurity.gov/oag/acq/SSA-222.pdf>). (See Exhibit N.)
- (ii) The contractor must receive signed copies of the form from each contractor personnel working under the contract within 30 days following contract award, or within 30 calendar days after a contractor personnel begins working under the contract, whichever comes first.
- (iii) The contractor shall send an email to the COR-COTR, within 45 calendar days following contract award. Similarly, the contractor shall send such email notification 45 calendar days of when new contractor personnel are added to perform work under the contract. The contractor will attach each signed form, completed per paragraph (c)(3)(ii), above, to the email along with a list of the names (first, middle initial, and last) of the contractor personnel who signed the form and the contract number they are working under.

- (iv) For each successive year of the contract, the contractor shall repeat the processes described in paragraphs (c)(3)(i)-(iii), above, on an annual basis. The contractor must submit the information in paragraph (c)(3)(iii), above, within 45 calendar days of the date the option was renewed, or the anniversary of the contract award date, whichever comes first.
- (4) The contractor shall retain copies of signed CPSC forms, SSA-222, mentioned in paragraphs (c)(2) and (3) above for potential future SSA audits for a period of three years after final payment (per Federal Acquisition Regulation Section 4.703).
- (d) Applicability of this Clause to Subcontractor Personnel. The contractor is required to include a clause substantially the same as this in all subcontracts awarded under the prime contract. This clause shall require the subcontractors to follow the instructions in paragraph (c) of this clause. For subcontractor personnel following paragraphs (c)(2) and (3), the subcontractor shall submit the signed forms to the contractor and the contractor will be responsible for submitting this information to SSA per paragraph (c)(3)(iii). The subcontractor shall be responsible for maintaining its signed forms as detailed in paragraph (c)(4).

Email Procedures

For the contractor's convenience, SSA has included the following instructions to send emails with sensitive documentation or messages containing personally identifiable information (e.g., SSNs, etc.) securely to an SSA email address. Contractor is to consult their local information technology staff for assistance. If the contractor utilizes an alternate secure method of transmission, it is recommended that the contractor contact the recipient to confirm receipt.

To Encrypt a File using WinZip

- i. Save the file to contractor's hard drive.
- ii. Open browser and locate the file.
- iii. Right click on the file.
- iv. Select "WinZip."
- v. Select "Add to Zip File."
- vi. An Add box pops up. Near the bottom of the box is an "Options" area.
- vii. Click the "Encrypt added files" checkbox.
- viii. Click the "Add" button.
- ix. Check the "Hide Password" checkbox if not already checked.
 - a. Enter a string of characters as a password composed of letters, numbers, and special characters (minimum 8 characters – maximum 64 characters).
 - b. Select the 256-Bit AES encryption radio button.
 - c. Click "OK."
- x. The file has been encrypted successfully, and the new Zip file can now be attached to an email.

Providing the Recipient with the Password

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-COTR by telephone or establish a predetermined password between the contractor and the COR-COTR.

The COR-COTR 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-COTR must always provide the password to ^DCHR OPE Suitability in a separate email, even if it is a pre-established password for a contract.

Sending an encrypted Zip File via email

1. Compose a new message.
2. Attach the Zip File.
3. Send message.

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 at the contractor's/subcontractor's facility or to require other evidence of technical, production, managerial, financial, and similar abilities to perform, prior to the award of a contract. As part of the financial determination, the contractor in line for award may be required to provide one (1) or more of the following financial documents:

- 1) Most recent profit and loss statement
- 2) Most recent balance sheet(s)
- 3) Statement of cash flows
- 4) Current official bank statement
- 5) Current lines of credit (with amounts available)
- 6) Letter of commitment from paper supplier(s)
- 7) Letter of commitment from any subcontractor

The documents will be reviewed to validate that adequate financial resources are available to perform the contract requirements. Documents submitted will be kept confidential and used only for the determination of responsibility by the Government.

Failure to provide the requested information in the time specified by the Government may result in the Contracting Officer not having adequate information to reach an affirmative determination of responsibility.

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

Contractor must have all necessary equipment installed and fully functional at time of award.

If the Government, during the Preaward survey, concludes that the contractor does not or cannot meet all of the requirements as described in this contract, the contractor will be declared non-responsive.

PREAWARD PRODUCTION PLANS: 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 below. The workday after notification to submit will be the first day of the schedule. If the government request additional information after review of the plans, the contractor must submit updated plans within two (2) workdays of request.

Five (5) additional workdays will be permitted to provide a Security Assessment Package as required. The contractor, at SSA discretion, may be granted five (5) additional workdays if additional information is required for the Security Assessment Package.

These proposed plans are subject to review and approval by the Government, and award will not be made prior to approval of same. The Government reserves the right to waive some or all of these plans.

If the contractor intends to change processes described in the production plans during the term of the contract, they must provide updated plans to SSA and GPO for review and approval prior to implementing any changes.

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

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

Information Sheet – If the contractor is currently producing on other GPO contracts, they must submit an information sheet specifying how the workload(s) on this contract will fit into the pre-existing Government production without hampering the production/delivery schedules for all the contracts. (NOTE: This is a requirement of this program due to the legislated nature of certain GPO contracts.)

At a minimum, the information sheet must include a list of the contracts currently held and the production/delivery schedules for each of those contracts. The sheet must also specify which of those contracts would run concurrently with the projected schedule for this contract.

Backup Facility – The failure to deliver the products required under this specification 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, national emergencies, pandemics, etc.) the contractor is unable to perform at said locations for a period longer than 24 hours, contractor must have a backup facility with the capability of producing the products required under this specification. The backup facility must be operated by the contractor.

Plans for their contingency production must include the location of the facility to be used, equipment available at the facility, and a timetable for the start of production at that facility.

Part of the plan must also include the transportation of Government materials from one facility to another. The contractor must produce items from a test file at the backup facility for verification of software prior to producing notices at this facility.

NOTE: All terms and conditions of this contract will apply to the backup facility. Transfer of production to the backup facility must be approved by SSA. Due to the time-sensitive nature of the notices produced on this contract, the contractor must maintain the original schedule set forth in this contract.

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 and inspect the products of each operation to a degree and extent that will ensure the Government's quality assurance, inspection, and acceptance provisions herein are met. The contractor must perform, or have performed, the process controls, inspections, and tests required to substantiate that the products provided under this contract conform to the specifications and contract requirements. The contractor must describe in detail their quality control/quality assurance and recovery plans describing how, when, and by whom the plans will be performed.

The quality control plan must also include examples and a detailed description of all quality control samples and their corresponding inspection reports or logs the contractor will keep to document the quality control inspections performed on each run. Furthermore, the plan must include the names of all quality assurance officials and describe their duties in relationship to the quality control plan.

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

Quality Control Sample Plans: The plans must provide a description of how the contractor will create quality control samples for periodic samplings to be taken during the production run, 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 the contractor intends to utilize. The contractor will be required to create two (2) quality control samples every 4,000 notices to be drawn at the same time. Mailers with low volumes will require at least one set of samples to be produced. The samples will be drawn, inspected, and retained as part of the contractor's quality assurance records.

- One (1) sample will be drawn, inspected, and retained as part of the contractor's quality assurance records.
- One (1) sample will be drawn for the Social Security Administration, packed with remaining samples associated with each task order, and shipped to the Social Security Administration.

The plans must detail the actions to be taken by the contractor when either defective or missing or mutilated items are discovered. These actions must be consistent with the requirements found in GPO Contract Terms (GPO Pub. 310.2, effective December 1, 1987, Rev. 01-18).

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

The contractor must maintain quality control samples, inspection reports and records for a period of no less than 210 calendar days ~~workdays~~ 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 the electronic transmission of files from SSA. The plan must also include the media type of which files from SSA will be received to the extent that operator intervention (e.g., a tape mount) is not requested at SSA or the contractor's production facility.

The Computer System Plan (Exhibit O) must demonstrate the contractor's ability to provide complete hardware and software compatibility with SSA's existing network.

Included with the Computer System Plan must be a resume for each employee responsible for the monitoring and the programming of contractor's computer system and file transmissions. If the contractor(s) plans to use a consultant for either task, a resume must still be included.

Mail Plan: This plan should include sufficient detail as to how the contractor will comply with all applicable USPS mailing requirements as listed in the USPS Domestic Mail Manual (DMM) 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 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 throughout all phases of production: incoming raw materials; work-in-progress materials; quality control inspection materials; USPS inspection materials; all outgoing materials cleared for USPS pick-up/delivery, and method of disposal of all production waste materials.

Personnel Plan: In conjunction with the required applicant listing (See “Clause 2352.205-1 – Security and Suitability Requirements (MAR 2018)”), 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 receive to familiarize them with the requirements of this program.

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

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

The contractor must disclose in their production plan their intentions for the use of any subcontractors. 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.

The subcontractor must be approved by the Government prior to production starting in that facility. If the subcontractor is not approved by the Government, then the contractor has 30 calendar days prior to production to submit to the Government the new subcontractor’s information.

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 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.

- (a) The plan shall contain at a minimum: How Government files (data) will be secured to prevent disclosure to a third party.
- (b) How the disposal of waste materials will be handled;
- (c) 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)
- (d) How contractors classified as Cloud Service Providers (CSP) will adhere to additional FedRAMP security control requirements. CSPs must have a security control assessment performed by a Third Party Assessment Organization (3PAO), additional information is also available at:
<http://www.gsa.gov/portal/category/102371>.

- (e) The contractor shall submit a System Security Plan which documents how they will implement security controls in accordance with the designated FIPS 199 security categorization and the Minimum Security Requirements for Federal Information and Information Systems which requires the use of NIST SP 800-53 and the vendor shall provide a Security Assessment Package completed by either an independent assessor or another Federal agency. (See Exhibit P.)

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

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

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

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

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, must be destroyed at contractor's printing site, and cannot be subcontracted. The contractor must specify the method planned to dispose of the material.

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. Each file must have a minimum of one (1) test sample. This sample must have a unique number and must be produced on each notice. The contractor will generate a list of the unique identifying numbers for each sample. As samples are pulled, the unique numbers will be marked off the list. This enables the contractor to track which samples have been produced and pulled and what records have been produced.

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

RECOVERY SYSTEM: A recovery system will be required to ensure that all defective, missing or mutilated pieces detected are identified, reprinted, and replaced. The contractor's recovery system must use the unique alpha/numeric identifiers assigned to each piece (including quality control samples) to aid in the recovery and replacement of any defective, missing, or mutilated pieces, and must be capable of tracking and/or locating any individual piece of mail from the time it leaves the press, up to and including when it is off-loaded at the USPS facility. An explanation of the contractor's sequential numbering system is required to understand the audit trail required for each piece. The sequential numbers will be used to track each individual notice, thereby providing 100% process.

NOTE: The Government will not, as a routine matter, request that the contractor produce individual pieces in transit within the plan; 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.

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. Notices requiring print regeneration must be reprinted from their original print image with the original job ID and piece ID remaining unchanged as each mail piece continues through the inserting life cycle. This process will repeat itself (since subsequent reprint runs may yield damages) until all mail pieces from the original print run have been inserted and accounted for.

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

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

NOTE: Contractor must have all hardware, programming, and finalized reports in place to meet this requirement and arrive at least 90 calendar days prior to the start of live production on or about January 1, 2023. Contractor must submit a sample of their proposed Audit and Summary reports with the required Preaward Production Plans for approval. The Government considers grounds for the immediate default of this contract if the contractor, at any time, is unable to perform or found not complying with any part of this requirement.

Notice integrity 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, and 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 required to validate that 100% of all notices received from SSA were printed, all pages for each notice are accounted for, inserted, and mailed correctly.

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

- (a) Uniquely identifying each notice and corresponding notice leaves within each individual file by mailer number and file date.
- (b) Unique identifier to be scanned during insertion to ensure all notices and corresponding notice leaves are present and accounted for.

- (c) *Entrance Scanning:* A camera system must electronically track and scan all leaves of each mail piece as the inserting equipment pulls them into the machine to ensure each mail piece was produced and inserted. If there is any variance on a mail piece or if a mail piece is not verified that all leaves are present, that piece and the piece prior to and immediately following must be diverted and sent back for reprint. All instances of variance must be logged.
- (d) *Touch and Toss:* All spoilage, diverted, mutilated, or mail pieces that are acted upon directly by a human hand prior to sealing must be immediately recorded, discarded, properly destroyed, and automatically regenerated in a new print file for reprint. *Exception* - Intentionally diverted pieces due to a requirement for a product, which cannot be intelligently inserted and requires manual insertion such as a publication, can be sealed, re-scanned, and placed back into production. These must be programmed diverts and sent to a separate bin for processing to ensure they are not mixed with other problem diverts and logged into the Audit system as such.
- (e) *Exit Scanning:* A camera system must be mounted just 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. This 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, verify that all leaves are accounted for, and divert any suspect product. During exit scanning, if a sequence number is missing, the notice prior to and immediately after must be diverted. The equipment must divert all products that exhibit missing or out of order sequence numbers and any other processing errors. All diverted pieces are to be automatically recorded and regenerated in a new print file for reprint.
- (f) *Reconciliation:* All notices and the amount of correct finished product must be electronically accounted for after insertion through the use of the audit system that is independent of the inserting equipment as well as independent of the operator. The sequence numbers for each file must be reconciled, taking into account any spoilage, duplicate, or diverted product. If the reconciliation yields divergent results, corrective action must be taken to locate the mail pieces that are causing any difference between the input and outputs of the inserting process. Therefore, all finished mail for that sequence run must be held in an accessible area until this reconciliation is complete.
- (g) Generate a new production file for all missing, diverted, or mutilated notices (reprint file).
- (h) Contractor must generate an automated audit report from the information gathered from scanning for each mailer number, file date, and each notice (manual inputs are not allowed). This audit report will contain detailed information for each notice as outlined below for each individual file by mailer number and file date. Contractor must maintain this information for 210 calendar days after mailing.
- (i) Audit report must contain the following information:
 - 1. Job name
 - 2. Mailer number, file date, and mail date(s)
 - 3. Machine ID
 - 4. Date of production with start and end dates and times for each phase of the run (i.e., machine ID)
 - 5. Start and end sequence numbers in each run
 - 6. Status of all sequence numbers in a run
 - 7. Total volume in run
 - 8. Status report for all incidents for each sequence number and cause (e.g., inserted, diverted, and reason for divert such as missing sequence number, missing leaves, mutilated, duplicate, pulled for inspection).
 - 9. Bottom of audit report must contain total number of records for that run, quantity sent to reprint, number of duplicates, duplicates verified and pulled, and total completed.

10. Audit report must contain the same information for all the reprints married with this report as listed above showing that all pieces for each mailer number and file date are accounted for with corresponding date stamp of completion of each.

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 (See Exhibit Q):

1. Job information - Job name, file date, mailer number, piece quantity, sequence start and end number, if multiple batches for a single file include number of batches and batch number (i.e., 1 of 4, due date, etc.).
2. Job start time and job end time
3. Volume of sequence numbers associated with an individual file by mailer number and file date that were inserted and date completed.
4. Volume of reprints that were inserted for each file date and when completed.
5. Total volume inserted for each file date and final date and time that each batch was completed.

A PDF copy of the summary report(s) and matching USPS Certificate of Bulk Mailing, USPS 3607R, and/or GPO 712 form(s) must be submitted to Printing Management Branch, Baltimore, MD, for each file date within two (2) workdays of mailing.

Contractor must submit a sample of their Audit and Summary Reports (see Exhibit Q) with the required Preaward Production Plans for Government review and approval. The audit team must approve the audit and summary reports prior to award. During the term of the contract, NO changes are to be made to the approved audit and summary reports without prior approval from the audit team. The contractor must submit in writing a request to make changes to the audit and summary reports, along with samples of the proposed audit and summary reports for review and approval.

Contractor must generate an automated audit report when necessary showing the tracking of all notices throughout all phases of production for each mail piece. This audit report will contain all information as outlined in item (i) above. Contractor is required to provide any requested Summary and/or Audit reports within one (1) hour of a request via email in an MS Word, MS Excel, or PDF file to Cheryl.tarver@ssa.gov.

NOTE: The Government reserves the right to conduct an audit at any time during the term of the contract. The audit team will provide the contractor a minimum of a 24-hour notice prior to audit. If the contractor produces multiple SSA contracts, the audit team will provide a list of contracts and print orders they will require full audit reports, summary reports, and postal documentation for during the audit.

The contractor must provide the required audit reports within one (1) hour of request; the audit team will grant one (1) hour for each report to be pulled. The audit team may request a full tour and demonstration of the accountability process at the time of the audit. A wrap-up meeting will occur at the conclusion of the audit. The audit team will review their findings with the contractor at this time. The contractor will need to provide in writing responses to all findings, questions, and concerns within one (1) week of the wrap-up meeting. If corrections are required to the contractor's audit reports, the Government may grant the contractor 60 calendar days to complete the changes. The audit team must approve the audit and summary report changes prior to the contractor implementing the changes. Once the new report is approved, the contractor must update the sample of the audit and summary provided with the preaward production plans. The Government considers grounds for the immediate default of this contract if the contractor, at any time, is unable to perform or found not in compliance with any part of this requirement.

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

REQUEST FOR NOTICES PULLS FROM PRODUCTION: Due to the sensitivity of notices in this contract, the Government may request that the contractor remove individual notices from the production stream. When this occurs, the Government will supply the contractor with a list of notices to be pulled. The contractor must be able to run a sort to find and eliminate the notice from the production run. If the list is provided after the notice has been produced, the contractor must be capable of identifying the notice and pulling it from the production floor.

ON-SITE REPRESENTATIVES: One or two 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 at least one desk, two swivel arm chairs, secure internet access for Government laptop computers, a work table, and two 4-drawer, letter-size file cabinets 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, folding, inserting, mail processing, quality control, sample selections, and inspections; and monitor the packing and staging of the mail. These coordinators will not have contractual authority and cannot make changes in the specifications or in contract terms, but will bring any and all defects detected to the attention of the company Quality Control Officer. The coordinators must have full and unrestricted access to all production areas where work on this program is being performed.

POSTAWARD CONFERENCE: 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 printing, imaging, folding, inserting, and mailing will be held at the contractor's facility after award of the contract to review the contractor's production plan and to establish coordination of all operations. Attending this meeting will be representatives from the Government Publishing Office, Social Security Administration and the U.S. Postal Service.

The contractor must present and explain their final plan for printing, imaging, folding, inserting, and mailing the Section 1144 Outreach Notices and the Supplemental Security Income (SSI) Transition-Aged Youth Notices.

NOTE: At the Government's option, the preproduction meeting may be held via teleconference. The Government reserves the right to waive the preproduction meeting.

The contractor must meet with SSA and USPS representatives to present and discuss their plan for mailing. The preproduction meeting will include a visit to the contractor's mailing facility where the contractor is to furnish specific mail flow information.

In addition, the contractor must be prepared to present detailed production plans, including such items as quality assurance, projected commencement dates, equipment loading, pallet needs, etc. The contractor shall present documentation of the plant loading agreement and either a copy of the optional procedure, which has been negotiated with the USPS or a draft of the original procedure that the contractor intends to negotiate with the USPS for SSA approval. The contractor also needs to present SSA with a copy or a draft of the manifest (tracking system) to be used to accomplish the above.

The contractor is to provide the name of the representative responsible for the mailing operation and that individual's backup.

SSA may conduct unscheduled visits during the term of this contract at the contractor's mailing facility. In addition, sample postage documentation must be submitted to SSA at the meeting that will detail the amount of mail submitted to USPS verifying the date released and detailing the cost and volume of 1 and 2-ounce mail.

In addition, a mail plan detailing how the contractor will obtain maximum automation postage discounts will be emailed to: Michael.L.Williams@ssa.gov after the contract award. The contractor is to provide the name of the representative responsible for the mailing operation and that individual's backup.

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

ORDERING: Items to be furnished under the contract shall be ordered by the issuance of print orders by the Government. Orders may be issued under the contract from October 1, 2022 through September 30, 2023 plus for such additional period(s) as the contract is extended. All print 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. A print order will be "issued" for purposes of the contract and shall detail the volume of notices required.

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.

ADDITIONAL EMAILED BID SUBMISSION PROVISIONS: The Government will not be responsible for any failure attributable to the transmission or receipt of the emailed bid including, but not limited to, the following:

1. Illegibility of bid.
2. Emails over 75 MB may not be received by GPO due to size limitations for receiving emails.
3. The bidder's email provider may have different size limitations for sending email; however, bidders are advised not to exceed GPO's stated limit.
4. When the email bid is received by GPO, it will remain unopened until the specified bid opening time. Government personnel will not validate receipt of the emailed bid prior to bid opening. GPO will use the prevailing time (specified as the local time zone) and the exact time that the email is received by GPO's email server as the official time stamp for bid receipt at the specified location.

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 invoicing. 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/vendors/how-to-get-paid>.

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

SECTION 2. – SPECIFICATIONS

SCOPE: These specifications cover the production of mailing packages from nine (9) identified workloads, consisting of either an English personalized notice or a bilingual Spanish/English personalized notices and a mail-out envelope requiring such operations as receipt and processing of transmitted data, composition; printing and imaging; folding; inserting; presorting, and distribution.

TITLE: Section 1144 Outreach Notice and Supplemental Security Income (SSI) Transition-Aged Youth Notice.

The nine (9) identified workloads are as follows:

Section 1144 Outreach Notices:

1. Medicare Savings Programs Eligible Letters (SSA-L447)
2. Medicare Savings Programs Eligible Letters (SSA-L447-SP)
3. Medicare Savings Programs Eligible Letters (SSA-L448)
4. Medicare Savings Programs Eligible Letters (SSA-L448-SP)
5. Qualified Disabled and Working Individuals Letters (SSA-L441)
6. Qualified Disabled and Working Individuals Letters (SSA-L441-SP)

Supplemental Security Income Transition-Aged Youth Notices:

7. Supplemental Security Income Youth Transitioned-Aged English or Spanish/English Notices
8. Supplemental Security Income Youth Transitioned-Aged Foreign English or Spanish/English Notices
9. Supplemental Security Income Youth Transitioned-Aged Certified English or Spanish/English Notices

NOTE: For the purposes of this contract, hereinafter, the Section 1144 Outreach Notices will be referred to as “Outreach Notices,” and the Supplemental Security Income Transition-Aged Youth Notices will be referred to as “SSI Youth Notices.”

Future Workloads (during term of contract): 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:

A separate print order will be issued for preproduction tests (including the proofs required prior to the preproduction tests).

Mailers 1 through 4 – Mailers 1 through 4 will be ordered on the same print order. The mailings for Mailers 1 through 4 shall be made daily (Monday through Friday) and are to commence six (6) workdays after files have been approved by SSA. The workload will mail over 25 consecutive workdays (May/June each year) with the daily mailing volume determined by dividing the total number of notices to mail by 25 days.

Mailers 5 and 6 – Mailers 5 and 6 will be ordered on the same print order. The mailing for Mailers 5 and 6 will take place on the Wednesday after Thanksgiving each year.

Mailers 7, 8, and 9 – The mailing will take place at the end of August each year. Separate print orders will be issued for Mailers 7, 8, and 9.

QUANTITY: The total combined requirement of this contract for all mailers is approximately 3,350,000 notices per year as follows:

<u>Mailer</u>	<u>Notice</u>	<u>Quantity</u>
1	SSA-L447 Medicare Savings Program Eligible Letters (English)	550,000
2	SSA-L447-SP Medicare Savings Program Eligible Letters (Spanish)	30,000
3	SSA-L448 Medicare Savings Program Eligible Letters (English)	2,346,500
4	SSA-L448-SP Medicare Savings Program Eligible Letters (Spanish)	30,000
5	SSA-L441 Qualified Disabled and Working Individuals Letters (English)	43,000
6	SSA-L441-SP Qualified Disabled and Working Individuals Letters (Spanish)	500
7	SSI Youth English or Spanish/English Notice	349,790
8	SSI Youth English or Spanish/English Foreign Notice	200
9	SSI Youth English or Certified Spanish/English Certified Notice	10

NOTE: The above quantities per mailer are approximates, are based on historical data, and are for the purpose of establishing a basis of award. Exact quantities by mailer are not known in advance and will be furnished with live production files.

The Government reserves the right to increase or decrease by up to 25% the total number of notices ordered annually. This 25% does not include the additional notices occasioned by the one (1) to three (3) new notice workloads developed during the term of this contract.

NO SHORTAGES WILL BE ALLOWED.

MAIL-OUT ENVELOPE VOLUMES:

Outreach Mail-out Envelopes:

The nine (9) different Mailers for the Outreach Notices each utilize the same mail-out envelope.

<u>Address</u>	<u>First Mailing Volume (Mailers 1 through 4)</u>
Social Security Administration P.O. Box 17717 Baltimore, MD 21235-7717	2,956,500

<u>Address</u>	<u>Second Mailing Volume (Mailers 5 and 6)</u>
Social Security Administration P.O. Box 17717 Baltimore, MD 21235-7717	43,500

SSI Youth Mail Out Envelopes:

The three (3) different Mailers for the SSI Youth Transition Notices each utilize the same mail-out envelope.

<u>Address</u>	<u>Third Mailing Volume (Mailers 7, 8, and 9)</u>
Social Security Administration, P.O. Box 17705 Baltimore, MD 21235-7705	350,000

NUMBER OF PAGES:

Notices: Approximately 1 to 6 printed pages (approximately 1 to 3 leaves).
Mail-out Envelopes: Face and back (after manufacturing).

TRIM SIZES:

Outreach Notices:

Notices: 8-1/2 x 11" flat size
Mail-out Envelopes: 4-1/8 x 9-1/4" (with window).

SSI Youth Notices:

Notices: 8-1/2 x 11" flat size
Mail-out Envelope: 6-1/8 x 9-1/2, plus flap. (with window)

NEW NOTICE WORKLOADS: The new mailers could be English and/or Spanish/English notices. Notices will consist of 1 to 6 pages (1 to 3 leaves). These mailers will consist of a personalized notice and mail-out envelope. All notices and envelopes requirements will match those described in Mailers 1 through 6.

GOVERNMENT TO FURNISH: At the postaward conference or shortly thereafter, the Government will furnish manuscript copy, camera copy, Word document, and/or electronic media for the notices, and mail-out envelopes.

Mailers 1 through 4: SSA will supply each file to the contractor in a random zip code order. The contractor shall not presort the files provided but will extract the quantity needed for each daily mailing from the approximately 2,956,500 records contained in the production files. The contractor can then presort the records extracted for that day to obtain maximum postage discounts (see "DISTRIBUTION" herein for details). The remaining portion of the approximately 2,956,500 records must be maintained in random order.

Mailers 5 and 6: The contractor shall re-sequence the approximately 43,500 records in ZIP Code order to obtain maximum postage discounts (see "DISTRIBUTION" herein for details).

Mailers 7 through 9: The contractor shall re-sequence approximately 350,000 records in ZIP Code order to obtain maximum postage discounts (see "DISTRIBUTION" herein for details).

SSA Publication Nos. 05-11005 and 05-10915 (saddle-stitched publications, 3-1/2 x 8" in size) will be furnished for insertion into mailer packages as specified.

Camera Copy or TIF, JPEG, or PDF file for SSA and CMS logos via email or transmissions.

PS Form 3615, Mailing Permit Application and Customer Profile

National Change of Address (NCOA) Certificate

Coding Accuracy Support System (CASS) Certificate

Postage and Fee Paid Mailing Indicia

Official Government Postage Meter head only, not the machine base. All meter equipment and supplies must be borne by the contractor.

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, if necessary.

Identification markings such as register marks, commercial identification marks of any kind, etc., except GPO imprint, form number, and revision date, carried in the furnished electronic files or furnished copy, must not print on the finished product.

EXHIBITS:

- Exhibit A Form SSA-301, "Contractor Personnel Security Certification"
- Exhibit B SSA External Service Provider Additional Security Requirements
- Exhibit C: Security Assessment Report (SAR) Template
- Exhibit D: Risk Assessment Report (RAR) Template
- Exhibit E: Externally Hosted Information System Plan (ESP) Template FY17
- Exhibit F: General Records Schedule 4.2, Information Access and Protection Records
- Exhibit G: Clause 2352.224-2B: Worksheet for Reporting Loss or Suspected Loss of Personally Identifiable Information (May 2019)
- Exhibit H: Declaration for Federal Employment (Optional Form 306)
- Exhibit I: Fair Credit Reporting Act Authorization Form
- Exhibit J: Additional Questions for Public Trust Positions
- Exhibit K: Questionnaire for Public Trust Positions (Standard Form 85P)
- Exhibit L: Fingerprint Cards
- Exhibit M: Contractor Personnel Rollover Request Form
- Exhibit N: Form SSA-222
- Exhibit O: Computer System Plan
- Exhibit P: 3PAO-Obligations-and-Performance-Guide-v1.0
- Exhibit Q: Audit and Summary Report
- Exhibit R: Record Layout Specifications
- Exhibit S: Notice (Sample Only)
- Exhibit T: Postage Excel Spreadsheet
- Exhibit U: MVRP Request Letter
- Exhibit V: Meter Usage Reports
- Exhibit W: Meter Activity Log

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: The contractor is required to have a Secure SFTP site set-up that will permit SSA to transmit files electronically. The site must allow SSA the ability to upload and download files for proofing and validation. The contractor cannot send PDF notices with PII via email.

DATA SET NAMES: Personalized Medicare Savings Programs Eligible Letters and Qualified Disabled and Working Individuals notice mailers are English and Spanish represented by the following data set names:

DATA SET NAMES

- | | |
|------------------------|-------------------------------------|
| Mailer 1 (SSA-L447) | OLBG.BTI.vendor *.L44.L447E.Ryymmdd |
| Mailer 2 (SSA-L447-SP) | OLBG.BTI.vendor *.L44.L447S.Ryymmdd |
| Mailer 3 (SSA-L448) | OLBG.BTI.vendor *.L44.L448E.Ryymmdd |
| Mailer 4 (SSA-L448-SP) | OLBG.BTI.vendor *.L44.L448S.Ryymmdd |

Mailer 5 (SSA-L441)	OLBG.BTI.vendor *.L44.L441E.Ryymmdd
Mailer 6 (SSA-L441-SP)	OLBG.BTI.vendor *.L44.L441S.Ryymmdd
Mailer 7 (SSI Youth English or Spanish/English Notices)	TBD once converted
Mailer 8 (SSI Youth English or Spanish/English Foreign Notices)	TBD once converted
Mailer 9 (SSI Youth English or Spanish/English Certified Notices)	TBD once converted

* *Vendor* – is the vendor identifier. This is assigned after contract is awarded.

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 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 are conditions beyond the control of the Government.

If the Government selects a VPN Internet connection method, 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 the Government selects a dedicated circuit transmission, 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 and 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.

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

It is solely the contractor's responsibility to ensure proper printing and inserting in their environment.

FILE TRANSFER MANAGEMENT SYSTEM (FTMS) REQUIREMENTS: The contractor shall provide the capability to interface with SSA's National File Transfer Management System (FTMS) for electronic transmission of notice files from SSA to the production facility. SSA will provide the necessary data connection into the contractor's location. At the discretion of SSA, the line speed may be either increased or decreased depending on utilization. The contractor must provide, at their expense, the equipment and operating software platform, and the file transfer software required at their location. The contractor assumes all responsibility for configuration, maintenance, and troubleshooting of their equipment and software.

SSA utilizes, and the contractor must provide compatibility with, Managed File Transfer software from TIBCO. The contractor may implement the Managed File Transfer Platform Server that has embedded software encryption capable of being enabled. The personal computers/servers must have the capability to run Managed File Transfer software with encryption enabled using IP protocols on Windows, UNIX (i.e., IBM's AIX, SUN or HP), or z/OS platforms.

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

The contractor may determine the media type on which files from SSA will be received, to the extent that operator intervention (e.g., a tape mount) is not required at SSA or the contractor's production facility. Simultaneous multiple transmission sessions must be possible on the contractor's equipment. All files transmitted by the SSA will be written as Physical Sequential or "flat" files at the contractor's location and will be distinguished with a "run date" in the contractor's file name. Virtual Storage Access Method files and Generation Data Groups, supported by IBM/MVS or IBM 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.

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

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. 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.

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

In the event that any transmission cannot be processed due to media problems, link problems or data transmission circuit/connection outages, the contractor shall notify SSA's HELP DESK operations immediately at 877-697-4889 and report required observations and findings.

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.

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

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.

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 the following tests:

- Transmission Test
- Preproduction Press and Mail Run Test

The Government will furnish electronic test files at the postaward conference, or shortly thereafter, to be used in performing the Transmission Test and Preproduction Press and Mail Run Test.

The contractor will be required to have all material necessary to perform these tests. All composition and proofing must be completed prior to these tests, as applicable for each test (see "COMPOSITION" and "PROOFS" specified herein).

Failure of the contractor to perform either of these tests to the satisfaction of the Government may be cause for default.

The Government reserves the right to waive the requirements of either of these tests. The contractor will be notified at the postaward conference if any test(s) will be waived.

The contractor will be required to have all materials necessary to perform these tests.

Transmission Test: After the appropriate bandwidth data connection has been installed, the contractor will be required to receive within one (1) workday data for approximately 3,350,000 notices.

The contractor will be required to perform a record count verification broken down by dataset name within one (1) workday after the complete transmission of the test files.

Additionally, the contractor must provide a timeline showing how long it took to receive the test files.

The contractor will be required to copy the files to their own system and provide to the SSA, Printing Management Branch with the exact counts received (broken down by data set name), before proceeding with any other processing.

SSA will respond within one (1) workday of receipt thereof.

When the record count verification has been successfully completed, the contractor will be required to complete programming required for variable data, following the record layout specifications (Exhibit R), and provide SSA within five (5) workdays, samples of variable data from 150 records (25 records from each of the nine mailers (Mailers 1 through 9). The samples will be produced using the data from each of the files that were transmitted during the transmission test.

Samples shall be provided as PDFs (containing the variable data) and uploaded to the SFTP site, marked with the correct mailer number.

Preproduction Press and Mail Run Test (12-Hour 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 utilizing the test files transmitted electronically shortly after the postaward conference.

NOTE: At the Government's option, the Government may delay the test until the data connection line is installed between the contractor's locations and SSA's network interface.

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 applicable line items in the "SCHEDULE OF PRICES." If the contractor fails to meet all test requirements they will not be reimbursed for any associated costs.

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, immediately after the run is completed.

The contractor must produce a minimum of 117,060 complete mail packages from Mailers 1 through 9 (see below for breakdown) 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.

<u>Mailer</u>	<u>Form/Notices</u>	<u>Quantity</u>
1	SSA-L447 - Medicare Savings Program Eligible Letters (English)	11,000
2	SSA-L447-SP - Medicare Savings Program Eligible Letters (Spanish)	600
3	SSA-L448 - Medicare Savings Program Eligible Letters (English)	46,930
4	SSA-L448-SP - Medicare Savings Program Eligible Letters (Spanish)	600
5	SSA-L441 - Qualified Disabled and Working Individuals Letters (English)	4,300
6	SSA-L441- Sp - Qualified Disabled and Working Individuals Letters (Spanish)	50
7	SSI Youth English or Spanish/ English Notice	40,000
8	SSI Youth Foreign English or Spanish/English Notice	13,480
9	SSI Youth Certified English or Certified Spanish/English Notices	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 mail process will begin within two (2) hours of the start of the printing process allowing the contractor sufficient time to produce printed materials to begin the inserting process. For this test, the contractor is required to mimic live production and use the same equipment as for the live run. The contractor will be allowed to pre-print logos and static base forms prior to test if it resembles their live production run.

The test run will incorporate all aspects of the program consisting of the processing of the electronically transmitted test files; the duplex/simplex imaging of notices/forms; gathering; folding; inserting; manifesting and metering; 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.

Mailers are to be completed in accordance with contract requirements, inserted into envelopes, and prepared for mailing. As required, contractor will be required to insert the furnished publications into the appropriate mailers.

The contractor must perform the preproduction press and mail run test on their equipment and using their personnel. All samples must be manufactured at the facilities in which the contract production quantities are to be manufactured.

Samples of the preproduction press and mail run test will be brought back to SSA for validation.

The Government will approve, conditionally approve, or disapprove the validation output within five (5) workdays of receipt thereof. Approval or conditional approval must not relieve the contractor from complying with the specifications and all other terms and conditions of the contract. A conditional approval shall state any further action required by the contractor. A notice of disapproval shall state the reasons 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 at either facility is grounds to immediately terminate the contractor for default.

COMPOSITION: The contractor will be required to set type for all components (notices and envelopes) of each of the mailers.

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Notices: Contractor must typeset nine (9) notices, flush left, ragged right, made up into pages of approximately 40 x 52 picas each. Notice font will be in 12 or 13-point Bookman Old Style typeface, Century Schoolbook typeface, or agency preferred typeface determined at the time manuscript copy is provided. (Exhibit S)

Mail-out Envelopes: Contractor to set type for two (2) mail-out envelope in Helvetica typeface.

No alternate typefaces will be allowed; however, manufacturers' generic equivalents will be accepted for the above typefaces.

Font for Intelligent Mail Barcode is required.

PROOFS:

Notices: Proofs are required on all orders. Proofs will be required with and without variable data – SSA to furnish variable data to be used.

- For Each Notice – One (1) set of digital content proofs of the complete product will be required. Proofs must be created using the Raster Image Processor (RIP) that will be used to produce all products. Proofs must be collated with all elements in their proper position (not pasted up), imaged face and back, trimmed, and folded to the finished size of the product, as applicable. Proofs must also indicate margins.
- For Each Notice – One (1) press quality Adobe Acrobat (most current version) PDF soft proof (for content only - showing all elements) using the same Raster Image Processor (RIP) that will be used to produce the final printed product. PDF proof will be evaluated for text flow, image position, and color breaks. Proof will not be used for color match.

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

- For Each Mail-out Envelope – One (1) press quality Adobe Acrobat (most current version) PDF soft proof (for content only - showing all elements) using the same Raster Image Processor (RIP) that will be used to produce the final printed product. PDF proof will be evaluated for text flow, image position, and color breaks. Proof will not be used for color match.

PDF proofs must show all margins and dimensions, indicate trim marks, show flap, and window size and placement, as applicable.

The contractor will be responsible for performing all necessary proofreading to ensure that the proofs are in conformity with the copy submitted.

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.” Author’s Alterations (AA’s) may be required.

If any contractor’s errors are serious enough in the opinion of the GPO to require revised proofs, the revised proofs are to be provided at no expense to the Government. No extra time can be allowed for this reproofing; 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.”

PRIOR TO PRODUCTION SAMPLES (Without and With Variable Data): On all orders, prior to the commencement of the contract production quantity, the contractor shall submit not less than the required number of samples specified below. The container and accompanying documentation shall be marked “PREPRODUCTION SAMPLES” and shall include the GPO jacket, purchase order, and program numbers.

Without Variable Data: The sample requirement is five (5) prior to production samples of each form/letter (L447 English, L447 Spanish, L448 English, L448 Spanish, L441 English, L441 Spanish).

With Variable Data: The sample requirement is 20 prior to production samples for Mailers 1 through 9 of L447 English, L447 Spanish, L448 English, L448 Spanish, L441 English, L441 Spanish.

NOTE: No envelopes are required.

As applicable, all samples shall be printed and bound as specified herein, and must be of the size, kind, and quality that the contractor will furnish. Samples will be inspected for conformance of materials and must comply with the specifications as to construction, kind, and quality of materials. All samples must be produced on the stock/paper required (for each item), as specified herein.

Contractor must submit samples to: SSA, Printing Management Team, Attn: Cheryl Tarver, 1300 Annex Building, 6401 Security Boulevard, Baltimore, MD 21235-6401.

Without Variable Data:

- Contractor must furnish samples within five (5) workdays of receipt of “O.K. to Print” on proofs.
- The Government will approve, conditionally approve, or disapprove the samples within five (5) workdays of the receipt thereof.
- If necessary, the contractor must submit additional prior to production samples within five (5) workdays of notification.

- The Government will approve, conditionally approve or disapprove the revised press samples without variable data within three (3) workdays of receipt thereof.

With Variable Data:

- Contractor must furnish samples within five (5) workdays of receipt of approval on prior to production samples without variable data.
- The Government will approve, conditionally approve, or disapprove the samples within five (5) workdays of the receipt thereof.
- If necessary, the contractor must submit additional prior to production samples within five (5) workdays of notification.
- The Government will approve, conditionally approve or disapprove the revised press samples without variable data within three (3) 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 therefore.

If the samples are disapproved by the Government, the Government, at its option, may require the contractor to submit additional samples for inspection and test, in the time and under the terms and conditions specified in the notice of rejection. Such additional samples shall be furnished, and necessary changes made, at no additional cost to the Government and with no extension in the shipping schedule. The Government will require the time specified above to inspect and test any additional samples required.

In the event the additional samples are disapproved by the Government, the contractor shall be deemed to have failed to make delivery within the meaning of the default clause in which event this contract shall be subject to termination for default, provided however, that the failure of the Government to terminate the contract for default in such event shall not relieve the contractor of the responsibility to deliver the contract quantities in accordance with the shipping schedule.

In the event the Government fails to approve, conditionally approve, or disapprove the samples within the time specified, the Contracting Officer shall automatically extend the shipping schedule in accordance with Contract Clause 12, "Notice of Compliance with Schedules," of GPO Contract Terms (GPO Publication 310.2, effective December 1, 1987 (Rev. 01-18)).

Manufacture of the final product prior to approval of the samples submitted is at the contractor's risk. Samples will not be returned to the contractor. All costs, including the costs of all samples, shall be included in the contract price for the production quantity.

All samples shall be manufactured at the facilities and on the equipment in which the contract production quantities are to be manufactured.

LIVE PRODUCTION VALIDATION SAMPLES: (Required with each print order, each contract year)

NOTE: Contractor to randomly select which recipient's live data to use for each of the sample requirements specified below (including both PDF samples and hard copy samples).

Mailers 1 through 4 (May/June Production): Within 24 HOURS after live files are transmitted for the May/June production, the contractor shall furnish a total of 200 PDF notice samples via email (50 samples each of Mailers 1 through 4) for programming validation. The Government will approve, conditionally approve, or disapprove the PDF samples within 24 hours of receipt thereof.

Mailers 5 and 6 (November Production): Within 24 HOURS after live files are transmitted for the November production, the contractor shall furnish a total of 100 PDF notice samples via email (50 samples each of Mailers 5 and 6) for programming validation. The Government will approve, conditionally approve, or disapprove the PDF samples within 24 hours of receipt thereof.

Mailers 7, 8, and 9 (August Production): Within 24 HOURS after live files are transmitted for the August production, the contractor shall furnish a total of 100 PDF notice samples via email (50 samples for each of Mailers 7, 8, and 9) for programming validation. The Government will approve, conditionally approve, or disapprove the PDF samples within 24 hours of receipt thereof.

For each production run, within five (5) workdays after Government approval of the validation samples, the contractor shall furnish a total of 10 printed/imaged notice samples for each mailer. Notices are to be folded and inserted into the mail-out envelope (do not seal envelopes). Notices must be complete and include all variable data furnished from the transmitted live production files. NOTE: Contractor is to use the first 10 names in the live transmission data.

Contractor to submit samples to: SSA, Printing Management Team, Attn: Cheryl Tarver, 1300 Annex Building, 6401 Security Boulevard, Baltimore, MD 21235-6401.

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. 13" dated September 2019.

Government Paper Specification Standards No. 13 - https://www.gpo.gov/docs/default-source/forms-and-standards-files-for-vendors/vol_13.pdf.

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

Personalized Notices: White Uncoated Text, 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 sheet, 17 x 22", equal to JCP Code D10.

Publications: White Uncoated Text, basis weight: 60 lbs. per 500 sheets, 25 x 38", equal to JCP Code A60.

Mail-out Envelopes: White Writing Envelope, basis weight: 24 lbs. per 500 sheets, 17 x 22", equal to JCP Code V20; or, at contractor's option, White Uncoated Text, basis weight: 60 lbs. per 500 sheets, 25 x 38", equal to JCP Code A60.

PRINTING/IMAGING: At contractor's option, the product may be produced via conventional offset or digital printing provided that Quality Level III standards are maintained. Final output must be a minimum of 150-line screen and at a minimum resolution of 1200 x 1200 dpi x 1 bit or 600 x 600 dpi x 4 bit depth technology. Digital device must have a RIP that provides an option for high quality color matching such as Device Links Technology and/or ICC Profiles.

Contractor will be required to convert furnished data for inkjet or laser/ion deposition printing. All imaging/printing must have a minimum resolution of 600 x 600 dpi.

NOTE: The Government reserves the right to make changes to the envelopes and notices 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 should not preprint or maintain more than a 90-calendar day surplus/inventory of any of the envelopes required 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 change is implemented.

Notices –Print face only or face and back, head-to-head, in black ink and one Pantone ink color. Printing consists of text and line matter and SSA and CMS logos. Logos print in the Pantone ink only on the first page. Balance of pages print text and line matter only in black.

Image variable data (using computerized imaging) using the supplied record layout specifications on the first page only in black only. Imaging consists of a date and up to a 6-line name/address with Intelligent Mail barcode. Name and address data will be furnished from files transmitted to contractor.

NOTE: The contractor is responsible for dating the notices with the actual mail date.

Mail-out Envelope: Print face and back (after manufacturing) in black ink only. Printing consists of text and line matter only and barcode. Printing must be in accordance with the requirements for the style envelope ordered. All printing must comply with all applicable U.S. Postal Service regulations. The envelope must accept printing without feathering or penetrating to the reverse side.

Mail-out envelopes require a security tint (lining is acceptable) printed on the inside (back before manufacture) in black ink. Contractor may use their own design (must be approved by SSA prior to using), but must guarantee that the product will ensure complete opacity and prevent show through of any material contained therein.

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 as follows.

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.

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

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 make-ready sheets that preceded approval. When a press sheet inspection is required, it will be specified on the individual print order. See GPO Publication 315.3 (Guidelines for Contractors Holding Press Sheet Inspections) issued 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.

NOTE: If the contractor uses a backup facility for the production of the static portion of the notices, the Government will require a press sheet inspection at that location.

MARGINS: Margins will be indicated on print order/task order, furnished copy, or furnished electronic file.

Logo Positions: SSA and CMS logos are to be positioned as follows –

- SSA Logo placement on Notice – 1/4” from top edge of paper to logo and 1-7/8” from left edge of paper to logo.
- CMS Logo placement on Notice – 3/4” from top edge of paper to logo and 1” from right edge of paper to line under CMS logo.

BINDING (Notices): Trim four sides.

CONSTRUCTION (Mail-out Envelopes):

Outreach Notice Mail-out Envelope (4-1/8 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 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 one (1) die-cut window (1-7/8 x 4-1/2” in size) with slightly rounded corners. Die-cut window is to be located 1/2” from the bottom edge of the envelope and 3/4” from the left edge of the envelope (the long dimension of the window is to be parallel to the long dimension of the envelope). Contractor has the option to adjust the size of the window opening (subject to Government approval) providing the visibility of the computer-generated mailing address and barcode on the notice is not obscured, and other extraneous information is not visible when material is inserted into the envelope.

Window is to be covered with a suitable, transparent, low-gloss, poly-type 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.

SSI Youth Mail-out Envelopes (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 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 one (1) die-cut window (1-3/4 x 4-1/4” in size) with slightly rounded corners. Die-cut window is to be located 1-3/8” 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). 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, transparent, low-gloss, poly-type 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 AND PACKING:

Outreach Notices: Gather the appropriate number of leaves per notice in numerical sequence. Notices are to be nested together with all faces forward. Fold from a flat size of 8-1/2 x 11” down to 8-1/2 x 3-11/16”, title out, (either wraparound or accordion folds will be acceptable) with the recipient’s name and address on the first page facing out for visibility through window envelope.

SSI Youth Notices: Gather the appropriate number of leaves per notice in numerical sequence. Notices are to be nested together with all faces forward. Fold from a flat size of 8-1/2 x 11” down to 8-1/2 x 5-1/2”, title out, with the recipient’s name and address on the first page facing out for visibility through window envelope.

Insert the appropriate publication (for English, Publication No. 05-11005; for Spanish, Publication No. 05-10915) behind the folded notice.

For ALL notices, it is the contractor’s responsibility to ensure that only the recipient name and address and Intelligent Mail barcode on the notice will be visible through the window in the envelope and that only one notice and one publication, if required, is inserted into each envelope.

It is the contractor’s responsibility to ensure that the mailing address shows through the envelope window correctly – any loss of mail discounts due to misalignment will be borne by the contractor and deducted from the final invoice.

Seal all envelopes.

LABELING AND MARKING (Delivered Shipments): Contractor to download the “Labeling and Marking Specifications” form (GPO Form 905, R. 7-15) from gpo.gov, fill in appropriate blanks, and attach to shipping containers (wood boxes or corrugated crates).

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 notices, the imaging, collating, folding, inserting, and mailing is being accomplished in accordance with contract quality attributes and requirements.

A production inspection is for the purpose of setting specific standards that are to be maintained throughout the entire run. It does not constitute a prior approval of the entire run.

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

DISTRIBUTION:

- Deliver f.o.b. destination (on the first order and any order that requires a significant change to the language, format, or appearance of the notice) 25 complete sample mailers of each type of notice (along with any required insert(s)) inserted into the appropriate mail-out envelope. (DO NOT SEAL ENVELOPES.) Samples must be delivered to: SSA, Attn: Cheryl Tarver, 1300 Annex Building, 6401 Security Boulevard, Baltimore, MD 21235-6401.
- Deliver f.o.b. destination all required quality control samples to: SSA, Attn: Cheryl Tarver, 1300 Annex Building, 6401 Security Boulevard, Baltimore, MD 21235-6401.

- Mail f.o.b. contractor's city each individual mailer. (The contractor is responsible for all costs incurred in transporting this product to the U.S. Postal Service facility).

All mailing shall be made at the First Class rate.

NOTE: The contractor can mail Mailers 1 through 4 in any order but must complete each mailer before proceeding to the next mailer; contractor must disclose the order Mailers are to be mailed prior to start of production. The contractor will be provided with an Excel spreadsheet log to track production throughout the run. An updated spreadsheet will be required to be completed and emailed each morning to from the start of production until the run is completed. (See Exhibit T, Postage Excel Spreadsheet).

All copies mailed must conform to the appropriate regulations in the U.S. Postal Service manuals for "Domestic Mail" or "International Mail," as applicable.

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. The contractor is required to obtain the maximum USPS postage discounts possible in accordance with the USPS First-Class Domestic Mail automated and non-automated mail discount structure in effect at the time of 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).

When volumes warrant, 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 pieces or 50 pounds.

The contractor is cautioned that the "Postage and Fees Paid" indicia may be used only for the purpose of mailing material produced under this contract.

Contractors are strongly encouraged to apply for an exception in the Domestic Mail Manual section 604.5.1.2 called the Minimum Volume Reduction Provision (MVRP) through their local BMEU (see Exhibit U, MVRP Request Letter, for local BMEU).

The MVRP provides an exception to the "200 pieces or 50 pounds" rule for Permit Imprint mailings (including certified and foreign mail). With the MVRP exception, contractors will be allowed to mail pieces under the 200 pieces or less than 50 pounds on a permit imprint eliminating metering (this includes certified and foreign mail). Mailers must submit USPS postal paperwork electronically, including piece level barcode information. Contractor will be required to contact USPS, prior to any MVRP expiration date (if specified by USPS); all MVRP agreements must be current.

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

NOTE: A copy of the USPS approval for the MMS must be presented at the Postaward Conference.

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.

If a Government Meter Is Required: All meter equipment and supplies must be borne by the contractor. SSA will provide an Official Government Postage Meter head only, but will not supply the meter mail machine. SSA will fund the postage for meters through the USPS' Official Mail Accounting System (OMAS).

The contractor is responsible for the security of the Government postage meters and access is to be restricted to authorized personnel only. The contractor is to advise all staff there is a penalty for the private use of official Government postage meters (39USC3203).

Contractors should always maintain sufficient postage on the Government meter. The contractor should contact SSA if they are not sure of how much postage to load or the 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. Contractor must obtain from the local Post Offices, postal retail units, or Bulk Mailing Units the hard copy version of the revised PS Form 3533. USPS will credit the postage refund to SSA through the Official Mail Accounting System. 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 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, or the meter manufacturer may transfer the remaining postage from the old meter to the new meter. The contractor is 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). The Government reserves the right to request the contractor to upload 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 any Government postage meter containing SSA postage funds to any other building. Contractor is required to contact the SSA Program Lead before any movement of a Government postage meter containing SSA postage funds.

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

Contractor Sites Using "Official Government" Postage Meters with Automated Reporting Capability (Detailed): Postage meters with "Detailed Account Reporting" are capable of providing detailed meter usage reports (Exhibit V). If contractor utilizes meters with the detailed account reporting, they will be required to provide copies of detailed meter usage reports to SSA with each print order. The detailed report must be contract/print order specific.

NOTE: If the contractor produces multiple SSA contracts, they must submit a separate detailed report for each contract and each print order.

When setting up the detail report for SSA, contractor must set up the meter to record usage via contract program number, mailer number, and file date. The contractor may have to utilize the account and sub-account feature in order to capture the contract program number, mailer number, and file date. If contractor utilizes detailed reporting, they will be required to utilize the postage meter account feature for each SSA print program. If a contractor requires assistance with setup and operating the “accounting” features of the postage meters, they are to contact SSA along with the meter manufacturer.

Contractor Sites Using an SSA Postage Meter Activity Log (Manual Process): If contractor uses mailing equipment that cannot support a postage meter with an internal accounting feature and/or is not capable of providing SSA with the detailed reporting, they will be required to complete an SSA Postage Meter Activity Log (Exhibit W). Contractor must submit a copy of the Postage Meter Activity Log to SSA with each print order. The Postage Meter Activity log must be contract/print order specific.

NOTE: If the contractor produces multiple SSA contracts, they must submit a separate SSA Postage Meter Activity Log for each contract and each print order.

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 back-up or replacement 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 and create a new activity log (documenting the necessary fields)) to use with the backup or replacement meter.

To maximize automation discounts, Intelligent Mail Barcode (IMb) 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.

Contractor will be required to produce and use a USPS Intelligent Mail Barcode 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 mail pieces of this contract 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.

SSA will provide the contractor with a 6-digit Mailer Identifier (MID) for the mailing. The Mailer Identifier (MID) is a field within the Intelligent Mail barcode that is used to identify the owner of the mail.

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 (1/8) inch between the barcode and the left and right edges of the window and at least 0.028-inch clearance between the Intelligent Mail Barcode 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 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.

The 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.

National Change of Address (NCOA) and Coding Accuracy Support System (CASS): The contractor shall run all addresses through NCOA and CASS software for address accuracy. The contractor cannot change the addresses, but if an address fails CASS or NCOA or requires a NCOA move update, the contractor shall sort those pieces into a separate file and mail at the non-automated presort rate or full postage rate as to avoid any USPS fines for failure to meet address accuracy rules imposed by USPS. If contractor fails to meet this requirement, the Government will not reimburse for any USPS imposed fines.

IMPORTANT: Contractor CANNOT at any time perform move updates or address corrections on the notice address.

USPS Certified Mail: During the term of this contract, when required, all mailers will have a separate file requiring the file to be produced as certified mail, or in the case of foreign mail, as registered mail files, in accordance with the USPS regulations contained in the Domestic Mail Manual (DMM) under section 503.3.0, Certified Mail. Notices associated with the certified mail file shall be inserted into envelopes and processed as certified mail. The contractor must place the current U.S. Postal Service 20-digit certified number and barcode on the envelope. The contractor must prepare the file as a separate permit imprint mailing of identical weight pieces using the appropriate U.S. Postal Service mailing statement.

International Mail: The mail pieces included in these mailings may be required to be mailed using USPS International Registered Mail. The contractor will prepare these mail pieces according to USPS regulations contained in the International Mail Manual (IMM) under Section 330, Registered Mail.

Notices associated with the registered mail file shall be inserted into envelopes and processed as international registered mail. The contractor must place the current Postal Service Form 3806 (Receipt for Registered Mail) and PS Label 200 (13-digit registered number and barcode) on the envelope.

International First-Class Mail: All items mailed must conform to the appropriate USPS International Mail Manual, 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. The contractor will be reimbursed for the metered postage by submitting a properly completed Postal Service form (or equivalent). All meter supplies must be borne by the contractor.

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 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. International Mail return addresses must show as the last line of the address "UNITED STATES OF AMERICA," or "USA," all in upper-case letters. All International Mail must be endorsed "PAR AVION" or "AIR MAIL" as described in the USPS IMM. The contractor may use a rubber stamp to meet these requirements.

NOTE: International mail cannot contain a presort endorsement.

Again, the contractor is cautioned that files listed will contain mail addressed to United States territories and possessions (American Samoa, Federated States of Micronesia, Guam, Marshall Islands, Northern Mariana Islands, Palau, Puerto Rico, Virgin Islands Wake Island, and Military Overseas Addresses (APO/FPO mail). This mail is Domestic Mail, NOT International Mail and should be included in the discount sorting required under “Domestic First-Class Letter-Size Mail.”

Certificate of Conformance: When using Permit Imprint Mail, the contractor must complete GPO Form 712 – Certificate of Conformance (Rev. 10-15), and the appropriate mailing statement(s) supplied by the USPS. A fillable GPO Form 712 Certificate of Conformance can be found at <https://www.gpo.gov/how-to-work-with-us/vendors/forms-and-standards>.

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) including USPS 3607R and/or GPO’s Form 712 (Certificate of Conformance), noted with file date and mailer number and 100% Accountability Summary Reports. 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, contractor to place the number in the upper right margin of the mailing statement. The contractor will use Federal Agency Cost Code 276-00045 on all mailing documents.

Within 72 hours of completion of each print order, the contractor shall provide the PDF copies of the mail documentation, USPS 3607R, GPO 712s, and 100% Accountability Summary reports to SSA’s Printing Management Branch via email. All copies must be legible and include both obverse and reverse side.

Within three (3) workdays of the final mailing date, contractor must email one (1) copy of the billing payment voucher form 1034 for each print order showing amount of billing invoice to: SSA, Printing Management Branch. The original invoice must be sent to: U.S. Government Publishing Office, Comptroller FMCE.

Upon termination of this contract, all furnished material must be destroyed (except for furnished data/files which are to be retained/destroyed as specified herein).

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 (GPO Form 2511), as applicable.

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

Manuscript and/or camera copy for envelopes will be provided at the postaward conference or shortly thereafter. Manuscript and/or camera copy for notices will be provided with the print order placed.

Furnished material (as applicable) and proofs must be picked up from and delivered to: SSA, Printing Management Team, Attn: Cheryl Tarver, 1300 Annex Building, 6401 Security Boulevard, Baltimore, MD 21235-6401.

When required, digital color content proofs must be delivered to and picked up from: SSA, Printing Management Team, Attn: Cheryl Tarver, 1300 Annex Building, 6401 Security Boulevard, Baltimore, MD 21235-6401.

If applicable, all furnished material(s) must be returned with the proofs.

When required, PDF proofs must be emailed to the email address specified on the print order.

The print order for Mailers 1 through 4 will be placed in May of each contract year. The print order for Mailers 5 and 6 will be placed in November of each contract year. The print order for Mailers 7 through 9 will be placed in August of each contract year.

Proof Schedule:

The following schedule begins the workday after receipt of the print order and furnished material; the workday after receipt will be the first workday of the schedule.

- Contractor must submit all required proofs for static notices and envelopes within five (5) workdays after receipt of furnished materials.
- Proofs will be withheld no more than five (5) workdays from their receipt at SSA until the proofs are made available for pickup (hard copy proofs) or the contractor is notified of changes/corrections/“O.K. to Print” via email (PDF soft proofs). (The first workday after receipt of proofs at the ordering agency is day one (1) of the hold time.)
- If required due to author’s alterations, the contractor must submit revised proofs within three (3) workdays of notification of the author’s alterations.
- Revised proofs will be withheld no more than two (2) workdays from receipt at the ordering agency until the contractor is notified of changes/corrections/“O.K. to Print” via email. (NOTE: The first workday after receipt of proofs at the ordering agency is day one (1) of the hold time.)

Preproduction Test Schedules–

Transmission Test –

- This test is to be performed after the contract is awarded and after the bandwidth data connection has been installed.
- The contractor will be required to receive approximately 3,350,000 notices within one (1) workday.
- The contractor will be required to perform a record count verification within (1) workday as receipt of complete transmission of the test files, furnish the Government with the exact counts, and provide a timeline showing how long it took to receive the file.
- The Government will approve, conditionally approve, or disapprove within one (1) workday of receipt thereof.
- When the record count verification has been successfully completed, the contractor is to submit all required PDF samples within five (5) workdays.
- The Government will approve, conditionally approve, or disapprove within five (5) workdays of receipt thereof.

Preproduction Press and Mail Run Test –

- The test is to be performed prior to live production and after the contractor receives the materials necessary to perform the test.
- The contractor must produce a minimum of 117,060 notices in a continuous 12-hour period.
- The Government will approve, conditionally approve, or disapprove the validation output within five (5) workdays of receipt thereof.

Contractor must notify the GPO of the date and time the preproduction press and mail run test will be performed. In order for proper arrangements to be made, notification must be given at least 72 hours prior to the preproduction press and mail run test.

Prior to Production Sample Schedule:

- Contractor must furnish samples without variable data within five (5) workdays of receipt of “O.K. to Print” on proofs.
- The Government will approve, conditionally approve, or disapprove the samples within five (5) workdays of the receipt thereof.
- If necessary, the contractor must submit additional prior to production samples within five (5) workdays of notification.
- The Government will approve, conditionally approve or disapprove the revised press samples without variable data within three (3) workdays of receipt thereof.
- Contractor must furnish samples with variable data within five (5) workdays of receipt of approval on prior to production samples without variable data.
- The Government will approve, conditionally approve, or disapprove the samples within five (5) workdays of the receipt thereof.
- If necessary, the contractor must submit additional prior to production samples within five (5) workdays of notification.
- The Government will approve, conditionally approve or disapprove the revised press samples without variable data within three (3) workdays of receipt thereof.

Production Schedule:

Workday – For the purpose of this contract, 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.

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

Due to the complexity of the build and transmission of files, the contractor must be available to receive files 24 hours a day, seven (7) days a week. Contractor must be capable of handling this requirement and change their schedule accordingly.

The transmission of the first live files and print order for actual live production will occur on January 1, 2023.

For the production schedules specified below, live production files will not be furnished until the final "O.K. to Print" on proofs or the final approval on prior to productions samples, as applicable, has been issued.

Mailers 1 through 4 (May/June) Schedule:

- Files for Mailers 1 through 4 will be transmitted in the month of May each contract year.
- Mailings must be made daily (Monday through Friday) starting eight (8) workdays after receipt of furnished files. (NOTE: Live production validation sample time is included in those 8 workdays.)
- The daily mailing volume will be determined by dividing the total number of notices to mail by 25 workdays.
- Contractor must be able to maintain an even distribution of mailing throughout the 25-workday period.

Mailers 5 and 6 (November) Schedule:

- Files for Mailers 5 and 6 will be transmitted on or before the Monday prior to Thanksgiving of each contract year.
- Mailers must be mailed on the Wednesday following Thanksgiving of each contract year. (NOTE: Live production validation sample time is included in the above specified schedule.)

Mailers 7, 8, and 9 (August) Schedule:

- Files for Mailers 7, 8, and 9 will be transmitted in the month of August of each contract year.
- Mailers must be mailed by August 31st. (NOTE: Live production validation sample time is included in the schedule.)

Production and Press Sheet Inspections: The contractor must notify the GPO of the date and time the production inspection OR press sheet inspection can be performed. In order for proper arrangements to be made, notification must be given at least three (3) workdays prior to the inspection. Notify U.S. Government Publishing Office, Quality Control for Published Products, Washington, DC 20401 at (202) 512-0542 AND SSA, Printing Management Branch. Telephone calls to GPO will only be accepted between the hours of 8:00 a.m. and 2:00 p.m., prevailing Eastern Time, Monday through Friday. NOTE: See contract clauses, paragraph 14(e)(1), Inspections and Tests of GPO Contract Terms (GPO Publication 310.2, effective December 1, 1987 (Rev. 01-18)). 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 48 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(s) specified and the date products ordered for mailing f.o.b. contractor's city must be delivered to the post office.

Unscheduled material such as shipping documents, receipts or instructions, delivery lists, labels, etc., 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 or via telephone at (202) 512-0520. Personnel receiving the email or call will be unable to respond to questions of a technical nature or to transfer any inquiries.

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 one (1) year’s production 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 for a like period of time.

The following item designations correspond to those listed in the “SCHEDULE OF PRICES”.

I. (a) 1. 2
2. 9
(b) 36
(c) 11

II. 1

III. (a) 9
(b) 134,000
(c) 33,500

IV. (a) 67,000
(b) 33,500

V. 33,500

SECTION 4 - SCHEDULE OF PRICES

Bids offered are f.o.b. contractor’s city for all mailing and f.o.b. destination for all delivered shipments.

Prices must include the cost of all required materials and operations for each item listed in accordance with these specifications.

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.

All vouchers submitted to the GPO shall be based on the most economical method of production.

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

Cost of all required paper must be charged under Item IV. “PAPER.”

Contractor’s billing invoice must be itemized in accordance with the line items in the “SCHEDULE OF PRICES.”

I. COMPOSITION AND PROOFS: Prices offered must be all-inclusive, and must include the cost of all materials and operations necessary for composition and proofs in accordance with these specifications.

(a) Composition:

1. Envelopes.....per envelope.....\$_____

2. Notices per page.....\$_____

(b) Digital Color Content Proof per page.....\$_____

(c) PDF Soft Proofs.....per file.....\$_____

II. PREPRODUCTION TESTS: Price offered must include all costs incurred in performing the Transmission test as specified in these specifications.

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

(Initials)

III. PRINTING/IMAGING, BINDING, AND CONSTRUCTION: Prices offered must be all-inclusive and include the cost of all materials and operations necessary (including prior to production samples and live production validation samples) for the complete printing/imaging, binding, and construction listed in accordance with these specifications.

(a) Makeready/setup charge*\$_____

*Contractor will be allowed only one (1) makeready/setup charge per mailer. This combined charge shall include all materials and operations necessary to makeready and/or setup the contractor’s equipment for each of the nine (9) mailers. Invoices submitted with more than one (1) makeready/setup charge per mailer will be disallowed.

(b) Notices: Printing in two ink colors and imaging in black, including binding per 100 pages\$_____

(c) Mail-out Envelope (4-1/8 x 9-1/4’): Printing in black ink, including construction per 100 envelopes\$_____

IV. PAPER: Payment for all paper supplied by the contractor under the terms of these specifications, as ordered on the individual print order, 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: A charge will be allowed for each page-size leaf.

Mail-out Envelopes: One leaf will be allowed for each envelope.

Per 100 Leaves

(a) Notices: White Uncoated Text (50-lb.); or at contractor’s option, White Writing (20-lb.).....\$_____

(b) Mail-out Envelopes: White Writing Envelope (24-lb.); or, at contractor’s option, White Uncoated Text (60-lb.)\$_____

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

Mailers per 100 mailers\$_____

LOCATION OF POST OFFICE: All mailing will be made from the _____

Post Office located at Street Address _____

City _____, State _____, Zip Code _____

(Initials)

SHIPMENT(S): 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 Solicitation 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 points(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 email, fill out and return one copy of all pages in "SECTION 4. – SCHEDULE OF PRICES," including initialing/signing where indicated. Valid electronic signatures will be accepted in accordance with the Uniform Electronic Transactions Act, §2. Electronic signatures must be verifiable of the person authorized by the company to sign bids. *Failure to sign the signature block below may result in the bid being declared non-responsive.*

Bidder _____
(Contractor 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) (Fax Number)

THIS SECTION FOR GPO USE ONLY

Certified by: _____ Date: _____ Contracting Officer: _____ Date: _____
(Initials) (Initials)
