

Program No. C542-S								
Term: JULY 22, 2014 TO JUNE 30, 2015								
TITLE: INCOME RELATED MONTHLY ADJUSTED AMOUNT (IRMAA) NOTICES								
			NPC, INC		SOURCELINK OHIO, LLC		CURRENT CONTRACTOR	
			CLAYSBURG, PA		MIAMISBURG, OH		SOURCELINK	
			ONE LOT					
ITEM NO.	DESCRIPTION	BASIC OF AWARD	UNIT RATE	COST	UNIT RATE	COST	UNIT RATE	COST
I.	COMPOSITION:							
	Envelopes.....per envelope.....	9	\$50.00	\$450.00	\$45.00	\$405.00	\$45.00	\$405.00
II.	PROCESSING/FORATTING FILES:							
	Processing/formatting Files.....per mailer.....	3	\$500.00	\$1,500.00	\$250.00	\$750.00	\$250.00	\$750.00
III.	PREPRODUCTION TEST:							
(a)	Wire Transmission Test.....per test.....	1	No Cost	No Cost	No Cost	No Cost	No Cost	No Cost
(b)	Preproduction Validation Test.....per test.....	1	No Cost	No Cost	No Cost	No Cost	10,000.00	\$10,000.00
IV.	PRINTING/IMAGING AND CONSTRUCTION:							
(a)	*Per Makeready/setup charge.....	3	\$1,500.00	\$4,500.00	\$200.00	\$600.00	\$200.00	\$600.00
(b)	Notices: Printing/imaging in black, including binding.....							
per 1,000 pages.....	11,600	\$7.00	\$81,200.00	\$7.00	\$81,200.00	\$10.95	\$127,020.00
(c)	Envelopes: Printing in black, including construction.....							
per 1,000 envelopes.....	1,500	\$12.15	\$18,225.00	\$9.53	\$14,295.00	\$24.50	\$36,750.00
V.	PAPER:							
(a)	White Offset Book(50-lb) or at contractor's option							
	White Writing (20-lb.).....per 1,000 leaves.....	5,800	\$9.60	\$55,680.00	\$7.40	\$42,920.00	\$9.44	\$54,752.00
(b)	White Writing (24-lb.) or at contractor's option,							
	White Offset Book (60-lb).....per 1,000 leaves.....	1,500	\$12.30	\$18,450.00	\$6.35	\$9,525.00	\$7.60	\$11,400.00
VI.	INSERTING AND DISTRIBUTION:							
	Mailers.....per 1,000 mailers.....	1,500	\$33.00	\$49,500.00	\$30.00	\$45,000.00	\$19.72	\$29,580.00
	CONTRACTOR TOTALS			\$229,505.00		\$194,695.00		\$271,257.00
	DISCOUNT			0.25%	573.76	0.00%	\$0.00	0.00%
	DISCOUNTED TOTALS			\$228,931.24		\$194,695.00		\$271,257.00
					\$423,626.24			
					AWARDED		AWARDED	
					Lot A		Lot B	
	TWO LOTS							
I.	COMPOSITION:							
	Envelopes.....per envelope.....	9	\$50.00	\$450.00				
II.	PROCESSING/FORATTING FILES:							
	Processing/formatting files.....per mailer.....	3	\$500.00	\$1,500.00				
III.	PREPRODUCTION TEST:							
(a)	Wire Transmission Test.....per test.....	1	\$0.00	\$0.00				
(b)	Preproduction Validation Test.....per test.....	1	\$0.00	\$0.00				
IV.	PRINTING/IMAGING AND CONSTRUCTION:							
(a)	*Per Makeready/setup charge.....	3	\$1,500.00	\$4,500.00				
(b)	Notices: Printing/imaging in black, including binding.....	23,200	\$7.00	\$162,400.00				
(c)	Envelopes: Printing in black, including construction.....	3,000	\$12.15	\$36,450.00				
V.	PAPER:							
(a)	White Offset Book (50-lb): or at contractor's option,							
	White Writing (20-lb.).....per 1,000 leaves.....	11,600	\$9.60	\$111,360.00				
(b)	White Writing (24-lb.) or at contractor's option,							
	White Offset Book (60-lb).....per 1,000 leaves.....	3,000	\$12.30	\$36,900.00				
VI.	INSERTING AND DISTRIBUTION:							
	Mailers.....per 1,000 mailers.....	3,000	\$33.00	\$99,000.00				
	CONTRACTOR TOTALS			\$452,560.00				
	DISCOUNT			0.25%	\$1,131.40			
	DISCOUNTED TOTALS			\$451,428.60				

U.S. GOVERNMENT PRINTING OFFICE
Washington, DC

GENERAL TERMS, CONDITIONS, AND SPECIFICATIONS

For the Procurement of

Income Related Monthly Adjusted Amount (IRMAA) Notices

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

Social Security Administration (SSA)

Single Award for One Individual Lot or
Single Award for Two Lots

TERM OF CONTRACT: The base term of this contract is for approximately 16 months beginning from the Date of Award and ending June 30, 2015, plus up to four (4) optional 12-month extension periods that may be added in accordance with the "OPTION TO EXTEND THE TERM OF THE CONTRACT" 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 commences immediately after award and must be completed no later than 60 workdays after award. There will be an approximate 4-month start-up period with transmission of live production files commencing on the Friday prior to Thanksgiving.

NOTE TO BIDDERS: Due to the compressed production time (receiving of wire transmitted data, and printing and mailing of approximately 3,000,000 notices beginning the Friday before Thanksgiving and ending the Friday after Thanksgiving), all bidders currently producing other SSA workloads and/or other Government contracts must be able to demonstrate that award of this contract will not adversely impact those workloads or conversely, that other workloads will not adversely impact this program. (See "INFORMATION SHEETS" specified herein.)

BID OPENING: Bids shall be publicly opened at 11:00 a.m., prevailing Washington, DC time, on July 22, 2014.

BID SUBMISSION: Submit bid in pre-addressed envelope furnished with solicitation or send to: U.S. Government Printing Office, Bid Section, Room C-161, STOP: PPSB, 36 H Street, NW, Washington, DC 20401. Facsimile bids in response to this solicitation are permitted. Facsimile bids may be submitted directly to the GPO Bid Section, Fax No. (202) 512-1782. The program number and bid opening date must be specified with the bid. Refer to Facsimile Bids in Solicitation Provisions of GPO Contract Terms, GPO Publication 310.2, as revised June 2001.

NOTICE TO BIDDERS: This program was formerly program 572-S. These specifications have been extensively revised; therefore, all bidders are cautioned to familiarize themselves with all provisions of these specifications before bidding.

Abstracts of contract prices for Program 572-S are available at:
<http://www.gpo.gov/gpo/abstracts/abstract.action?region=Central>.

For information of a technical nature call David Love at (202) 512-0310 (no collect calls).

SECTION 1. - GENERAL TERMS AND CONDITIONS

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

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

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

DISPUTES: GPO Publication 310.2, GPO Contract Terms, Contract Clause 5. Disputes, is hereby replaced with the June 2008 clause found at www.gpo.gov/pdfs/vendors/contractdisputes.pdf. This June 2008 clause also cancels and supersedes any other disputes language currently included in existing contractual actions.

SUBCONTRACTING: The predominant production functions are the printing of the notices, laser/ion deposition imaging of data for the notices from electronically transmitted files, folding, inserting, and mailing. Any bidder who cannot perform the printing, imaging, folding, inserting, and mailing portions of this contract will be declared nonresponsible.

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 of 1% when run through a 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

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

P-7. O.K. Proofs; Average type dimension; electronic media; manuscript copy.

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 no 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 from November 1, 2014, 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).

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

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

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

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

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

SECURITY REQUIREMENTS: Protection of Confidential Information:

- (a) The contractor shall restrict access to all confidential information obtained from the Social Security Administration in the performance of this contract to those employees and officials who need it to perform the contract. Employees and officials who need access to confidential information for performance of the contract will be determined at the postaward conference between the Contracting Officer and the responsible contractor representative.
- (b) The contractor shall process all confidential information obtained from SSA in the performance of this contract under the immediate supervision and control of authorized personnel, and in a manner that will protect the confidentiality of the records in such a way that unauthorized persons cannot retrieve any such records.
- (c) The contractor shall inform all personnel with access to the confidential information obtained from SSA in the performance of this contract of the confidential nature of the information and the safeguards required to protect this information from improper disclosure.
- (d) For knowingly disclosing information in violation of the Privacy Act, the contractor and the contractor employees may be subject to the criminal penalties as set forth in 5 U.S.C Section 552a (i) (1), which is made applicable to contractors by 5 U.S.C. 552a (m) (1) to the same extent as employees of the SSA. For knowingly disclosing confidential information as described in section 1106 of the Social Security Act (42 U.S.C. 1306), the contractor and contractor's employees may also be subject to the criminal penalties as set forth in that provision.
- (e) The contractor 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" (Exhibit A). A copy of this signed certification must be forwarded to: SSA, Printing Management Branch, (see Exhibit K). A copy must also be forwarded to: U.S. Government Printing Office, Attn.: AST 4, STOP: CSAPS, Room C838, 732 North Capitol Street, NW, Washington, DC 20401.

- (f) All confidential information obtained from SSA for use in the performance of this contract shall, at all times, be stored in an area that is physically safe from unauthorized access.
- (g) Performance of this contract may involve access to tax return information as defined in 26 U.S.C. Section 6103(b) of the Internal Revenue Code (IRC). All such information shall be handled as confidential and may not be disclosed without the written permission of SSA. For willingly disclosing confidential tax return information in violation of the IRC, the contractor and contractor employees may be subject to the criminal penalties set forth in 26 U.S.C. Section 7213.
- (h) The Government reserves the right to conduct on-site visits to review the contractor's documentation and in-house procedures for protection of confidential information.

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

All employees working on this contract must –

- Be familiar with current information on security, privacy and confidentiality as they relate to the requirements of this contract.
- Obtain pre-screening authorization before using sensitive or critical applications pending a final suitability determination as applicable to the specifications.
- Lock or logoff their workstation/terminal prior to leaving it unattended.
- Act in an ethical, informed, and trustworthy manner.
- Protect sensitive electronic records.
- Be alert to threats and vulnerabilities to their systems.
- Are prohibited from having any mobile devices or cameras in sensitive areas that contain 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 security officer within 24 hours whenever a systems security violation is discovered or suspected.

Applicability –

The responsibility to protect PII 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 personally identifiable information is not properly safeguarded –

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

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

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

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

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

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

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

The contractor should submit the applicant listing upon contract award. The background investigation process will not start until the applicant listing is submitted.

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

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

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

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

The CPOC must ensure all paper forms are fully completed and signed prior to submission to SSA. All forms and fingerprinting cards must be submitted within 15 workdays of contract award. For new contract employees hired during the contract term, forms must be submitted at least 15 workdays prior to working under the contract. The fingerprint cards and all paper forms must be legible or typed in black ink and all signatures must be in black ink. There must be no “breaks” in residences or employment. SSA requires complete addresses, including zip codes and phone numbers. It is the responsibility of the contractor to ensure fingerprint cards are processed through their local police departments or other authorized finger printers. SSA must receive forms within 15 calendar days of signature and date. SSA will return forms not fully completed back to the contractor. Forms may be obtained by calling SSA Personnel Security Suitability Program Officer (SPO) Leslie Herman at (410) 965-4426.

The CPOC shall submit one (1) cover sheet to SSA containing the names of all of the individuals for whom the contractor is submitting completed paperwork. This cover sheet should include the contract number, each applicant’s full name, each applicant’s SSN, each applicant’s date of birth, and each applicant’s place of birth.

Submit this cover sheet along with the completed paper forms and two FD-258 fingerprint charts for each applicant to: SSA, CPSPM Suitability Team, Room 1260 Dunleavy Building, 6401 Security Boulevard, Baltimore, MD 21235.

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

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

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

If award is predicated on the purchase of production and/or systems equipment, the contractor must provide purchase order(s) with delivery date(s) of equipment to arrive at least 90 calendar days prior to start of live production (the Friday prior to Thanksgiving).

INFORMATION SHEET – If the contractor is currently producing on other GPO contracts, he/she 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.

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. The workday after notification to submit will be the first day of the schedule.

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

Backup Facility – The failure to deliver these notices in a timely manner would have an impact on the daily operations of SSA. Therefore, if for any reason(s) (act of God, labor disagreements, etc.) the contractor is unable to perform at said locations for a period longer than five (5) workdays, contractor must have a backup facility with the capability of producing the notices.

Plans for their contingency production must be prepared and submitted to the Contracting Officer as part of the preaward survey. These plans must include the location of the facility to be used, equipment available at the facility, and a timetable for the start of production at that facility.

Part of the plan must also include the transportation of Government materials from one facility to another and the transfer of notice files. SSA has the option to install a data connection into the backup facility.

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

Quality Control Plan – The contractor shall provide and maintain, within their own organization, an independent quality assurance organization of sufficient size and expertise to monitor the operations performed and inspect the products of each operation to a degree and extent that will ensure the Government's quality assurance, inspection, and acceptance provisions specified herein are met. The contractor shall 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 shall 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 Plan – The plan must provide a description of how the contractor will create quality control samples for periodic samplings to be taken during the production run, provide for back-up and re-running in the event of an unsatisfactory sample, and contain control systems that will detect defective, missing, or mutilated pieces.

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

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

The plan shall detail the actions to be taken by the contractor when defective, missing, or mutilated items are discovered. These actions must be consistent with the requirements found in GPO Contract Terms (GPO Publication 310.2, effective December 1, 1987 (Rev. 6-01)).

The plan shall monitor all aspects of the job including material handling and mail flow, to assure that the production and delivery of these notices meet specifications and Government requirements.

This includes maintaining 100% accountability in the accuracy of imaging and mailing of all pieces throughout each run. The contractor must ensure that there are no missing or duplicate pieces.

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

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

The system plan shall demonstrate the contractor's ability to provide complete hardware and software compatibility with SSA's existing network (see "WIRE TRANSMISSION" in SECTION 2 for additional information). The contractor must complete a System Plan (Exhibit G).

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

Mail Plan – This plan should include sufficient detail as to how the contractor will comply with all applicable U.S. Postal Service (USPS) mailing requirements as listed in the USPS Domestic and International Mail Manuals in effect at the time of the mailing and other USPS instructional material such as the Postal Bulletin. The contractor must also disclose how they will achieve multi-level USPS automated presort postal discounts as outlined in the contract.

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

Personnel Plan – This plan should include a listing of all personnel who will be involved with this contract. For any new employees, the plan should include the source of these employees, and a description of the training programs the employees will be given to familiarize them with the requirements of this program.

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

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

The contractor must disclose in their production plan their intentions for the use of any subcontractors. If a subcontractor will be handling SSA notices, the plan must include the same information required from the contractor for all items contained under "SECURITY REQUIREMENTS" and "PREAWARD SURVEY." If a subcontractor for any operation is added at any time after award, the contractor must submit the subcontractor's proposed plans which are subject to review and approval by the Government.

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

Security Control Plan – The contractor 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.

The plan shall contain at a minimum:

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

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

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

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 will be definitively destroyed (ex., burning, pulping, shredding, macerating, or other suitable similar means). Electronic Records must be definitively destroyed in a manner that prevents reconstruction. **Definitively** destroying the records means the material cannot be reassembled and used in an inappropriate manner in violation of law and regulations. **Sensitive** records are records that are national security classified or exempted from disclosure by statute, including the Privacy Act or regulation.

The contractor, at a minimum, must crosscut shred all documents into squares not to exceed one-quarter inch. All documents to be destroyed cannot leave the security of the building, 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 identification numbers will be used to track each individual notice, thereby providing 100% accountability. This enables the contractor to track each notice through completion of the project. The contractor will be required to create a test sample every 4,000 notices. 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. Contractor must be capable of tracking and/or locating any individual piece of mail from the time it leaves the press, up to and including when it is off-loaded at the U.S. Postal Service (USPS) facility. An explanation of the contractor's sequential numbering system is required to understand the audit trail required for each notice.

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

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

NOTE: Contractor must have all hardware, programming, and finalized reports in place to meet this requirement, arrive at least 90 calendar days prior to the start of live production (the Friday prior to Thanksgiving). 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 United States postal system.

The contractor is responsible for providing the *automated* inserted notice tracking/reporting systems and processes required to validate that 100% of all notices received from SSA were printed, all pages for each notice 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.
- (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, and/or diverted product. If the reconciliation yields divergent results, corrective action must be taken to locate the mail pieces that are causing any difference between the input and outputs of the inserting process. Therefore, all finished mail for that sequence run must be held in an accessible area until this reconciliation is complete.
- (g) Generate a new production file for all missing, diverted, or mutilated notices (reprint file).
- (h) Contractor must generate an automated audit report from the information gathered from scanning for each mailer number, file date, and each notice (manual inputs are not allowed). This audit report will contain detailed information for each notice as outlined above for each individual file by mailer number and file date. Contractor must maintain this information for a 6-month period after mailing.
- (i) Audit report must contain the following information:
 - (1) Job name
 - (2) Mailer number, file date, and mail date(s)
 - (3) Machine ID
 - (4) Date of production with start and end date and time for each phase of the run (i.e., machine ID).
 - (5) Start and end sequence numbers in each run

- (6) Status of all sequence numbers in a run
 - (7) Total volume in run
 - (8) Status report for all incidents for each sequence number and cause (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.
- (j) Contractor must generate a **final automated 100% accountability summary report** for each individual file by mailer number and file date. This information must be generated directly from the audit report (manual inputs are not allowed). The summary report must contain the following:
- (1) Job 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) Volume of sequence numbers associated with an individual file by mailer number and file date that were inserted and date completed.
 - (3) Volume of reprints that were inserted for each file date and when completed.
 - (4) Total volume inserted for each file date and final date that each batch was completed.

NOTE: Contractor must submit a sample of their Audit and Summary reports (see Exhibit H) with the required Preaward Production Plans for Government review and approval.

A PDF copy of the summary report(s) and matching USPS 3607R and/or GPO 712 form(s) must be submitted to SSA, Printing Management Branch, Baltimore, MD (see Exhibit K) for each file date within 24 hours of mailing.

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 MS Word, MS Excel, or PDF file to SSA, Printing Management Branch, Baltimore, MD (see Exhibit K).

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.

The contractor must maintain quality control samples, inspection reports and records for a period of not less than 180 calendar days subsequent to the date of the check tendered for final payment by the Government Printing Office. The Government will periodically verify that the contractor is complying with the approved quality control plan through on-site examinations and/or requesting copies of the contractor's quality assurance records and quality assurance random copies.

NOTE: The Government will not routinely request that the contractor produce individual pieces in transit within the plant. However, the contractor must demonstrate that they will have an audit trail established that has the ability to comply with this type of request when and if the need arises.

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

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

The contractor will be required to provide one private office of not less than 150 square feet, furnished with at least one desk, two swivel arm chairs, secure internet access for Government laptop computers, a work table, and two four-drawer letter-size files with combination padlock and pendaflex file folders or equal.

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

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

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

PREPRODUCTION MEETING: A preproduction meeting covering the printing, imaging, folding, inserting, and mailing shall be held at the contractor's facility after award of the contract to review the contractor's production plan and to establish coordination of all operations. Attending this meeting will be representatives from the Government Printing Office, Social Security Administration and the U.S. Postal Service. The contractor shall present and explain their final plan for the printing, imaging, folding, inserting, and mailing of all notices.

The contractor shall meet with SSA Mail and Postage Policy Team (MPPT) and USPS representatives to present and discuss their plan for mailing. The preproduction meeting will include a visit to the contractor's mailing facility, where the contractor is to furnish specific mail flow information.

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

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

ASSIGNMENT OF JACKETS, PURCHASE AND PRINT ORDERS: A GPO jacket number will be assigned and a purchase order issued to the contractor to cover work performed. The purchase order will be supplemented by an individual print order for each job placed with the contractor. The print order, when issued, will indicate the quantity to be produced and any other information pertinent to the 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 Date of Award through June 30, 2015, 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 shall be "issued," for purposes of the contract, when it is either deposited in the U.S. Postal Service mail or otherwise furnished to the contractor in conformance with the schedule.

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.

PRIVACY ACT

(a) The contractor agrees:

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

- (b) In the event of violations of the Act, a civil action may be brought against the agency involved where the violation concerns the design, development, or operation of a system of records on individuals to accomplish an agency function, and criminal penalties may be imposed upon the officers or employees of the agency where the violation concerns the operation of a system of records on individuals to accomplish an agency function. For purposes of the Act when the contract is for the operation of a system of records on individuals to accomplish an agency function, the contractor and any employee of the contractor is considered to be an employee of the agency.
- (c) The terms used in this clause have the following meanings:
- (1) "Operation of a system of records" means performance of any of the activities associated with maintaining the system of records including the collection, use, and dissemination of records.
 - (2) "Record" means any item, collection or grouping of information about an individual that is maintained by an agency, including, but not limited to, his education, financial transactions, medical history, and criminal or employment history and that contains his name, or the identifying number, symbol, or other identifying particular assigned to the individual, such as a finger or voice print or a photograph.
 - (3) "System of records" on individuals means a group of any records under the control of any agency from which information is retrieved by the name of the individual or by some identifying number, symbol, or other identifying particular assigned to the individual.

CRIMINAL SANCTIONS: It is incumbent upon the Contractor to inform its officers and employees of the penalties for improper disclosure imposed by the Privacy Act of 1974, 5 U.S.C. 552a. Specifically, 5 U.S.C. 552a (i)(1) which is made applicable to Contractors by 5 U.S.C. 552a (m)(1), provides that any officer or employee of an agency, who by virtue of his/her employment of official position, has possession of or access to agency records which contain individually identifiable information, the disclosure of which is prohibited by the Privacy Act or regulations established thereunder, and who knowing that disclosure of the specific material is prohibited, willfully discloses the material in any manner to any person or agency not entitled to receive it, shall be guilty of a misdemeanor and fined not more than \$10,000.00.

PAYMENTS ON PURCHASE ORDER: Submit all billing invoices to: U.S. Government Printing Office, Comptroller, Stop: FMCE, Financial Management Service, Washington, DC 20401. (NOTE: GPO offers a Contractor Fax Billing System. Please visit the GPO website for more information.)

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

At same time as submission to GPO for payment, the contractor must email PDF copies of the billing payment voucher form 1034 showing amount of billing invoice to SSA, Printing Management Branch, Baltimore, MD (Exhibit K).

NOTE: Do not mail your invoice to any other GPO Procurement Office as this will delay payment. 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 mailers from the three (3) IRMAA files (that will include English, Spanish/English and Railroad (RRB)) consisting of a personalized notice and a mail-out window envelope requiring such operations as: the receipt and processing of wire transmitted data; re-development of Advanced Function Presentation (AFP) resources; composition; printing and imaging; folding; inserting; presorting and mailing. Additionally, the contractor is required to set up, establish, and maintain an SFTP site that multiple users at SSA can access for passing PDF notice validation samples containing PII to SSA and back.

NOTE: This workload runs the week of Thanksgiving. Transmission of files begins the Friday prior to Thanksgiving and all mailings must be completed by the Friday after Thanksgiving.

TITLE: Income Related Monthly Adjusted Amount (IRMAA) Notices.

FREQUENCY OF ORDERS (PER LOT): One order for production of mailers per year.

NOTE: Separate print orders will be issued for the composition and proofs (shortly after award), and for the preproduction press and mail run test (shortly after award). Prior to issuing the print order for live production, a task order will be issued (in October) to cover the transmission of files. Once all files are transmitted, the print order will be issued (in November) with the verified counts.

QUANTITY: The total requirement of this contract is approximately 3,000,000 notices.

Each Lot will contain approximately 1,500,000 notices each. Each lot contains three (3) mailers with eight (8) Program Service Centers (PC) per mailer. Each lot will receive all three mailers.

The total approximate quantity and approximate quantity for each of the two (2) lots is shown below:

<u>MAILER</u>	<u>APPROX. QUANTITY PER YEAR</u>	<u>APPROX. QUANTITY PER LOT, PER YEAR</u>
Mailer #1 (English only notice)	2,971,008	1,485,504
Mailer #2 (Spanish/English notice)	4,000	2,000
Mailer #3 (RRB notice)	24,992	12,496

The Social Security Administration anticipates an annual increase in quantity of up to 10%; however, the Government reserves the right to increase by up to 20% the total number of notices ordered annually. Contractor must have sufficient capacity to handle any volume increases in the required time allowed. Exact quantities will not be known until run is electronically transmitted to the contractor.

NUMBER OF PAGES:

Personalized Notices: Approximately 2 to 12 printed pages per notice (approximately 1 to 6 leaves per notice).
Mail-out Envelopes: Face and back (after manufacture).

TRIM SIZES:

Personalized Notices: 8-1/2 x 11".
Mail-out Envelopes: 4-1/8 x 9-1/2" (No. 10), plus flap.

IRMAA MAIL-OUT ENVELOPES: Quantities listed below represent the approximate breakdown by Program Service Centers for Mailer #1, #2, and #3. (SSA will provide an estimated annual quantity each October (for each option year exercised) prior to transmission. SSA is not responsible for envelope inventory in excess of those quantities provided.)

NOTE: Mailer #3 notices use only PC4 mail-out envelopes. PC8 files for Mailers #1 and #2 contain domestic and foreign notices. Contractor must use the appropriate envelope for mailing.

QUANTITIES PER LOT PER PROGRAM SERVICE CENTER:

<u>PROGRAM SERVICE CENTERS</u>	<u>QUANTITY</u>
Northeastern Program Service Center (PC1)	297,500
Mid-Atlantic Program Service Center (PC2)	205,000
Southeastern Program Service Center (PC3)	174,975
Great Lakes Program Service Center (PC4)	260,000
Western Program Service Center (PC5)	272,725
Mid-America Program Service Center (PC6)	280,000
Office of Central Operations (PC7)	7,525
Office of International Operations (PC8)	<u>2,275</u>
<i>TOTAL</i>	<i>1,500,000</i>

TOTAL QUANTITIES PER PROGRAM SERVICE CENTER:

<u>PROGRAM SERVICE CENTERS</u>	<u>QUANTITY</u>
Northeastern Program Service Center (PC1)	595,000
Mid-Atlantic Program Service Center (PC2)	410,000
Southeastern Program Service Center (PC3)	349,950
Great Lakes Program Service Center (PC4)	520,000
Western Program Service Center (PC5)	545,450
Mid-America Program Service Center (PC6)	560,000
Office of Central Operations (PC7)	15,050
Office of International Operations (PC8)	<u>4,550</u>
<i>TOTAL</i>	<i>3,000,000</i>

MAKE-UP OF FILES:

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

<u>FILE NAME</u>	<u>FILE</u>	<u>DATA SET NAME*</u>
IRMAA	English	<i>vendor.MIAAFP.M1#saaaaa.Ryyymmdd</i>
	Spanish/English	<i>vendor.MIBAFPM2#saaaaa.Ryyymmdd</i>
	RRB	<i>vendor.MIDAFP.M3#saaaaa.Ryyymmdd</i>

*NOTE: All of the data set names are not listed for each file.

DATA SET NAME - VARIABLE INFORMATION:

Vendor – is the vendor identifier. This is assigned when the transmission connectivity is installed.
M – mailer identifier (M1 through M3).
– represents the PC number (1 through 8).
s – segment letter. There are 20 segments per PC (10 per Lot) and coded as A through T so that only 1 character is used.
aaaaa – is the order ID assigned by Control-M at run time. This is used to build the unique identifier for the file.
yyymmdd – is the year, month, and day of the file transmitted. This is also referred to as the file date.

NOTE: SSA will transmit approximately 480 total files (240 per lot – 10 separate files for each PC per mailer per lot).

The files will be broken down and transmitted in 10 segments by PC codes per lot. Each file transmitted will have a banner page identifying the PC. The PC codes correspond to the mail-out envelope required as follows (*except Mailer #3 which uses a PC4 envelope only*):

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

The data set names listed above (and throughout these specifications) are not the final data set names that will be transmitted to the contractor. Final data set names for IRMAA notices will be supplied to the contractor at the postaward conference.

GOVERNMENT TO FURNISH:

Manuscript copy for nine (9) mail-out envelopes.

An electronic file will be furnished for the notices (English and Spanish).

An electronic file (PostScript format) for the recycled paper logo and legend will be furnished.

PS Form 3615 (Mailing Permit Application and Customer Profile).

Mailing Indicia (“Postage and Fees Paid”).

NCOA Certificate (except for the RRB files).

CASS Certificate (except for the RRB files).

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

- Exhibit A: Form SSA-301, Contractor Personnel Security Certification.
- Exhibit B: Security and Suitability Requirements.
- Exhibit C: Questionnaire for Public Trust Positions (Standard Form 85P).
- Exhibit D: Sample of the Fingerprint Card.
- Exhibit E: Declaration for Federal Employment (Optional Form 306).
- Exhibit F: Fair Credit Reporting Act (FRCA) Authorization Form.
- Exhibit G: System Plan.
- Exhibit H: Audit and Summary Reports.
- Exhibit I: Mail Run Data (MRD) File.
- Exhibit J: Database/Spreadsheet for Postal Documentation.
- Exhibit K: Key SSA and GPO Personnel Contact Information.

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

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

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

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

The notice files for printing are formatted for the AFP printing platform in duplex printing (face and back). For proper processing of AFP, SSA supplies resources used for printing notices in AFP format, the contractor must have software or an operating system which is 100% compliant with the most recent release of the IBM MVS z/OS operating system accompanied by the most recent release of IBM Print Services Facility (PSF). These compliances relate solely to interpreting and printing files to be provided to the contractor by SSA to ensure that the contractor is able to print the files as provided without alteration of any kind on the part of SSA.

It is solely the contractor's responsibility to redevelop/reprogram the AFP resources and MRD File to ensure proper printing and inserting in their environment. (NOTE: *The predominant data file format is AFP Mixed Mode; however, any valid AFP format is possible and must be printable at the contractor's location. Each piece of mail will be assigned a unique alpha/numeric identifier for tracking, insertion, location, and recovery processes.*)

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

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

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

Prior to the commencement of production of orders placed under this contract, the Government will furnish preproduction electronic test files shortly after the postaward conference that are to be used in performing the various preproduction validation tests and Preproduction Press and Mail Run Tests.

PRINTER RESOURCES: AFP

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

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

Government to provide the following at Postaward Conference, or shortly after:

Print Resource Library (AFP) (via e-mail):

Advanced Function Presentation resources include page and form definitions, fonts, page segments, and overlays (if applicable) for page formatting.

The resource file will contain all fonts (except licensed fonts) required to print this file. SSA will supply any customized fonts. NOTE: It is the contractor's responsibility to provide licensed copies of all other fonts necessary for printing.

Preproduction Press and Mail Run Test Files for Wire Transmission:

An AFP formatted print files with the corresponding MRD files and BNR files will be provided for each workload in the quantities required.

Revised Resource Library (AFP) via e-mail (when applicable):

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

NOTE: The predominant data file format is AFP Mixed Mode; however, any valid AFP format is possible and must be printable at the contractor's location.

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

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

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

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

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

WIRE TRANSMISSIONS: Upon award of this contract, the Government will determine the connectivity method between SSA and the contractor. Internet Protocol (IP) will be the connection protocol for the transmissions. At the Government's option, the Government will either place an order for a dedicated circuit data connection to be installed (within 60 to 90 calendar days) between the contractor's location(s) and SSA's network interface location or the connectivity method will be through the Internet using an encrypted VPN tunnel. The connection method is at the sole discretion of the Government. The Government shall not be responsible for installation delays of data connections due to any external influences such as employee strikes, weather, supplies, etc., which conditions are beyond the control of the Government.

If a VPN Internet connection method is deemed necessary, the contractor must have an Internet ready VPN IP security (IPsec) capable device. The Government will not be responsible for any cost associated with the VPN Internet connection that the contractor may incur.

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

The contractor shall provide adequate rack space for securing the router and firewall; the contractor shall provide a dedicated analog dial-up line within eight (8) feet of the router. This dedicated analog dial-up line will be used for router management and access for troubleshooting. The line must be in place and active prior to the installation of the circuit/router and equipment.

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

The cabinet specifications are: 36U enclosure; frame (72" H x 24" W x 36" D); 23-19 inch appropriate 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.

In the event that any wire transmissions or VPN Internet transmission cannot be processed due to data line or other problems, the contractor must notify SSA within 24 hours of receipt. The contractor's first point of contact at SSA for systems or data line problems shall be the HELP DESK at (877) 697-4889 or (410) 965-2580.

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

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

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

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

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

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

Virtual Storage Access Method files and Generation Data Groups, supported by IBM/MVS or IBM z/OS operating systems are not permitted under this contract. The contractor's storage format must not preclude the availability of the Managed File Transfer software Checkpoint/Restart feature.

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

The contractor is responsible for providing complete hardware and software compatibility with SSA's existing network. Production file transfers will be established according to SSA's standard procedures for transmission control, dataset naming, and resource security. The contractor's file management system must accommodate multiple file transmission sessions without intervention at either end. The contractor must have sufficient capacity to support the number of concurrent transmission file sessions as dictated by SSA.

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

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

The contractor's FTMS software shall be operational for the receipt of data files 24 hours a day, seven (7) days a week, unless otherwise specified by the Government. The communications protocol between SSA and the contractor shall be the Internet Protocol (IP). The contractor must specify the type of Local Area Network (LAN) connection that will be used at the location where the SSA connection is to be installed. The contractor is responsible for providing complete hardware and software compatibility with SSA's existing network. Production file transfers will be established according to SSA's standard procedures for transmission control, dataset naming, and resource security. The contractor's file management system must accommodate multiple file transmission sessions without intervention at either end. The contractor must have sufficient capacity to support the number of concurrent transmission file sessions as dictated by SSA.

It is the contractor's responsibility to notify SSA when systems or connection problems arise and transmission cannot take place. SSA's first point of contact for systems or connectivity problems shall be the HELP DESK at (877) 697-4889 or (410) 965-2580.

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

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

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

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

FOR QUALITY CONTROL AND AUDITING PURPOSES: For quality control and auditing purposes, the contractor must not merge different file dates or Mailers with different mailing schedules during processing, printing, and mailing.

WIRE TRANSMISSION TEST, PREPRODUCTION VALIDATION TEST, PREPRODUCTION PRESS AND MAIL RUN TESTS, AND SYSTEMS CHANGE/SIGNATURE CHANGE VALIDATION TEST: 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. The Government will furnish electronic test files at the postaward conference, or shortly thereafter, to be used in performing a Preproduction Validation and Preproduction Press and Mail Run Test for IRMAA notices.

NOTE: Failure of the contractor to perform any of the following tests (i.e., Wire Transmission Test, Preproduction Validation Test, Preproduction Press and Mail Run Test, or System Change/New Notice Files Validation Test) to the satisfaction of the Government may be cause for default. The Government reserves the right to waive the requirements of any of these tests. The contractor will be notified at the postaward conference if any test(s) will be waived.

Each contractor will be required to perform the following tests:

NOTE: All PDFs must be sent via SFTP.

Wire Transmission Test: Within one (1) week of the installation of the appropriate bandwidth connection, the contractor will be required to receive within one (1) workday approximately 1,500,000 notices (per lot) ranging from 2 to 12 printed pages. The contractor will be required to perform a Record Count Verification within one (1) workday after the complete transmission of the test files. The contractor will be required to copy the files to their own system and provide the SSA, Printing Management Branch (see Exhibit K) with the exact counts received (broken down by data set name), before proceeding with any other processing. SSA will respond same day as receipt for verification. When the Record Count Verification has been successfully completed, the contractor will be required to provide to SSA, within two (2) workdays, 10 sample documents from the Wire Transmission Test for each file transmitted.

Preproduction Validation Test: Within five (5) workdays of receipt of furnished test files, the contractor shall conduct a validation test and furnish no less than 10 PDF samples for each PC Address for each mailer for a total of 240 pieces (each lot) from the electronic test files furnished immediately after the postaward conference, or shortly thereafter. Notices must be complete and include all variable data from Government furnished files. No envelopes will be required. The contractor is to email the PDF samples to SSA, Printing Management Team (see Exhibit K). The email subject line shall include the GPO jacket, purchase order, and program numbers.

NOTE: In lieu of PDF samples, the Government has the option to request hardcopy samples of the notices. Contractor shall furnish no less than 20 hardcopy samples for each PC Address for each mailer for a total of 480 pieces (each lot). The contractor is to submit the samples to SSA, Printing Management Team (see Exhibit K).

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

If errors are found, additional samples of notices (as indicated above) will be required until such time as the validation produces no errors. A test file will be provided on a yearly basis prior to actual production.

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

The contractor will be issued a print order for the 12-hour test.

Upon successful completion of these test requirements, the contractor will be reimbursed for all applicable costs, in accordance the contractor(s) submitted bid prices in the "SCHEDULE OF PRICES." If the contractor fails to meet all test requirements, they will not be reimbursed for any associated costs. Failure to meet all test requirements is also grounds for immediate termination of the contract for default.

Shortly after the postaward conference, the Government will electronically transmit the required test files to be utilized for this test.

The contractor will be required to have all composition, proofing, and envelopes necessary for the test, completed prior to beginning the test. *(NOTE: Contractor must be able to furnish 10 samples of the printed envelopes for each of the nine (9) envelopes (for a total of 90 samples) either at the beginning of this test or prior to the test. If prior to the test, contractor must submit samples to SSA. See "DISTRIBUTION.")*

Notices are to be completed in accordance with contract requirements, inserted into envelopes, and prepared for mailing.

The contractor must produce a minimum of 187,500 notices (per lot) 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. *(NOTE: If awarded both lots, the contractor must produce a minimum of 375,000 notices in a continuous 12-hour period. Additional time will not be granted if awarded both lots.)*

The 12-hour period for the printing process will begin when an "O.K. TO PRINT" is given by the on-site Government representative. The inserting and mailing process will begin when the contractor has sufficient materials printed to begin the inserting process. (See "SCHEDULE – Preproduction Press and Mail Run Test.")

During the 12-hour period, the contractor will be required to print and prepare for mailing the following quantities for each lot:

Mailer 1 (English):	185,688 notices*
Mailer 2 (Spanish/English):	250 notices*
Mailer 3 (RRB):	1,562 notices*

*NOTE: The volumes will be split among all 8 PCs. Contractor will be required to produce product from all PCs for their lots and for all mailers during the test.

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

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

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

The 12-hour tests must be conducted Monday through Friday.

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 seven (7) workdays of receipt thereof.

Approval or conditional approval shall not relieve the contractor from complying with the specifications and all other terms and conditions of the contract. A conditional approval shall state any further action required by the contractor. A notice of disapproval shall state the reasons thereof.

Systems Change/Signature Change Validation Test: When required, the Government will furnish test files for wire transmission that are to be used in performing a Systems Change/Signature Change Validation Test. This test is required whenever SSA initiates a systems/programming change. The contractor shall furnish up to 100 printed samples (no envelopes). The Government will approve, conditionally approve, or disapprove the samples from the Systems Change/Signature Change Validation Test within three (3) workdays of receipt thereof.

NOTE: The test shall occur without a break in production of notices. The Government will inform the contractor in advance when the wire transmissions will contain the systems changes.

COMPOSITION: Contractor will be required to set type for nine (9) different versions of the mail-out envelopes. (Mail-out envelopes are for PC1 through PC8. There are two different mail-out envelopes for PC8: one for domestic mail and one for international mail.)

Contractor will be required to set up to six (6) lines of type for the mail-out envelopes. Helvetica or similar typeface will be utilized.

Century Schoolbook, Sonoran Serif, or equivalent fonts are to be used for producing the notices.

Social Security Administration will provide the required font numbers. The contractor will be required to validate that they have the proper licenses for each. No alternate typefaces will be allowed; however, manufacturers' generic equivalents may be accepted (upon Government approval) for the above typefaces.

Contractor must provide the font for the USPS Intelligent Mail Barcode.

PROOFS:

Mail-out Envelopes – Proofs will be required for envelopes on the order placed for composition and anytime throughout the term of the contract that SSA has a copy change.

Adobe Acrobat (current version) PDF soft proof of the envelopes for each PC. Proofs shall have all elements in proper position with margins (including crop marks) indicated. PDF proof must show flap and window position.

Notices – Proofs will be required for notices (showing both static information and variable data for specified names) upon receipt of live production files and anytime throughout the term of the contract that SSA has a copy change.

Adobe Acrobat (current version) PDF soft proof of 10 notices for each PC. Proofs shall have all elements in proper position with margins (including crop marks) indicated. (NOTE: SSA will specify which 10 notices.)

NOTE: The Government may require one (1) or more sets of revised proofs for either the mail-out envelopes or the notice before rendering an "O.K. to print."

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."

STOCK/PAPER: The specifications of all paper furnished must be in accordance with those listed herein or listed for the corresponding JCP Code numbers in the “Government Paper Specification Standards No. 12” dated March 2011.

Government Paper Specification Standards No. 12 – http://www.gpo.gov/pdfs/customers/sfas/vol12/vol_12.pdf.

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

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

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 Offset Book, basis weight: 60 lbs. per 500 sheets, 25 x 38”, equal to JCP Code A60 with exception: bursting strength 24 lb/in².

PRINTING/IMAGING:

Quality Control: The contractor must maintain a thorough quality assurance program to guarantee that digital imaging is securely fused to the paper; clear and legible, and, that a copy of the finished product is mailed to all addresses contained in the furnished files. *Notices must be produced exactly as was approved during validation. Absolutely no deviation will be accepted.*

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

Notices – Print notices duplex (face and back, head-to-head) in black ink only. Variable image notices duplex in black.

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

RECYCLED PAPER LOGO/LEGEND:

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

Mail-out Envelopes – The recycled paper logo and legend must be printed in black ink on all the mail-out envelopes (see “Government Paper Specification Standards No. 12”) on the back (after manufacture) 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 makeready sheets that preceded approval. When a press sheet inspection is required, it will be specified on the individual print order. See GPO Publication 315.3 (Guidelines for Contractors Holding Press Sheet Inspections) issued June 2003. 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.

CONSTRUCTION (Mail-out Envelope): Envelopes are open side, with gummed fold-over flap for sealing and contain high-cut diagonal seams or side seams, at contractor's option. Flap depth is at contractor's option, but must comply with 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 die-cut window (1-1/4 x 4-1/4" 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). NOTE: Contractor has the option to adjust the size and placement of the window opening (subject to Government approval), providing the visibility of the computer generated mailing address and bar code on the notice is not obscured and other extraneous information is not visible when material is inserted into the envelope.

Window is to be covered with a suitable poly-type, transparent, low gloss material that must be clear of smudges, lines, and distortions. Poly-type material must be securely affixed to the inside of the envelope so as not to interfere with insertion of contents. Window material must meet the current USPS readability standards/requirements.

INSERTING: Gather/collate the correct leaves for each notice in proper sequence. Notice leaves are to be nested together with all faces forward. Fold from a flat size of 8-1/2 x 11" to 8-1/2 x 3-11/16 (either a letter-fold or an accordion fold is acceptable).

Insert into the mail-out envelope with recipient's name, address, and IMB on first page facing out for visibility through window envelope. It is the contractor's responsibility to assure that only the computer-generated mailing address and IMB barcode on the notice are visible through the window of the envelope and that only one notice is inserted into each envelope and that the envelope is securely sealed.

For the Spanish/English notices, the Spanish and English notices are to be nested and folded together with the recipient's name and address on the Spanish notice visible through the window of the envelope.

PRODUCTION INSPECTION: Production inspection(s) may be required at the contractor's/subcontractor's plant for the purpose of establishing that the receipt of transmitted files, the printing of notices and/or envelopes, the imaging, collating, folding, inserting, and mailing are being accomplished in accordance with contract quality attributes and requirements.

A production inspection is for 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:

- On the live production order and whenever SSA provides test files, contractor must furnish the PDF samples (total of 240 pieces per lot) or deliver f.o.b. destination the hardcopy samples (total of 480 pieces per lot), as ordered, from the electronic test files furnished. ENVELOPES ARE NOT REQUIRED. Samples shall be printed in accordance with these specifications. Contractor to submit samples to: SSA, Printing Management Branch, Baltimore, MD (see Exhibit K). (If ordered, PDF samples must be submitted via SFTP.)
- *Upon receipt of printed envelopes*, deliver f.o.b. destination 10 printed samples each of the nine (9) envelopes to: SSA, Printing Management Branch, Baltimore, MD (Exhibit K).

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

MAILING REQUIREMENTS FOR ALL NOTICES:

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

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

Certificate of Conformance: When using Permit Imprint Mail the contractor must complete GPO Form 712 - Certificate of Conformance (Rev. 2-91), supplied by GPO and the appropriate mailing statement or statements, supplied by USPS.

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

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

The contractor is required to use manifest mail when postal regulations allow. The contractor must have a Manifest Mailing System (MMS) for First-Class Mail, which has been approved by USPS to document postage charges for this mailing.

Each mail piece must be identified with a unique identification number or with a keyline containing a unique identification number and rate information about the piece. Requirements for the MMS are contained in Publication 401 "USPS Guide to the Manifest Mailing System" in effect at the time of the mailing. A copy of the USPS approval for the MMS must be presented at the post award conference.

Permit imprint may not be used if the mailing is less than 200 pieces or pieces that are not identical. Instead, the mail must be metered and any permit imprint must be covered/concealed by a meter strip. The contractor will be reimbursed for the metered postage by submitting a properly completed Postal Service form (or equivalent). All meter supplies will be borne by the contractor.

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

Contractor will be required to produce and use a USPS Intelligent Mail Barcode (IMB) full service option and achieve the maximum postage discounts available with this option. The contractor will be required to comply with USPS requirements and place the IMB on all notices/mail pieces of this workload. The contractor is required to be capable of achieving the postage discounts available with the Full-Service option of the IMB program. The full service option requires the contractor to use Postal One.

To achieve the maximum automation compatible postal discount, the contractor is required to either presort the notices prior to printing or sort the mail after the notices are inserted. The contractor may use a Presort subcontractor for the mailing portion of the contract. SSA has the right to inspect the subcontractor for the security of the mailing operation and compliance with the contract.

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

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

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

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

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

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

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

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

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

The complete address of the sender, including zip code and country of origin, should be shown in the upper left corner of the address side of the envelope, package, or card. International Mail return addresses must show as the last line of the address “UNITED STATES OF AMERICA” or “USA” in all capital letters. All International Mail must be endorsed “PAR AVION” or “AIR MAIL” as described in the USPS IMM. The contractor may use a rubber stamp to meet this requirement.

NOTE: International mail cannot contain a presort endorsement. Again, note mail addressed to United States territories and possessions (e.g., American Samoa, Federated States of Micronesia, Guam, Marshall Islands, Northern Mariana Islands, Palau, Puerto Rico, Virgin Islands, Wake Island, and Military Overseas Addresses (APO/FPO mail) is Domestic Mail, not International Mail.

CODING ACCURACY SUPPORT SYSTEM (CASS) AND NATIONAL CHANGE OF ADDRESS (NCOA):

Mailers 1 and 2 – Addresses for the English and Spanish/English notices will come from SSA’s Master Beneficiary Record. SSA will provide certificates indicating that the addresses have been matched against both USPS-certified Coding Accuracy Support System (CASS) software and the National Change of Address (NCOA) service database. Updated CASS and NCOA certificates will be provided to the contractor by SSA throughout the duration of the contract.

Mailer 3 – SSA will not supply a CASS or NCOA certificate for the RRB notice addresses contained in these files. The contractor will be required to run all RRB files through CASS and NCOA, perform address corrections, and provide certificates for the USPS.

The contractor shall process all RRB addresses supplied by SSA through the required Postal address quality standards listed in the Domestic Mail Manual to qualify for automation discounts.

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

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, place the number in the upper right margin of the mailing statement. The contractor will use **Federal Agency Cost Code 276-00002** on all mailing documents.

Within 24 hours of completing the mailing, the contractor shall provide PDF copies of the mail documentation, USPS 3607R, GPO 712s and 100% Accountability Summary reports to SSA’s Printing Management Team (see Exhibit K) via email. All copies must be legible and include both obverse and reverse side.

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

Upon termination of this contract, the contractor must return all furnished material to: SSA, Printing Management Branch, Baltimore, MD (see Exhibit K) via overnight carrier.

All expenses incidental to picking up and returning materials, 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 individual task order and/or print order (GPO Form 2511).

The Postaward Conference is to be held within three (3) workdays of notification of award. NOTE: Furnished materials for envelopes and recycled logo/legend will be provided at the postaward conference, or shortly thereafter.

For each option year exercised, the amount of time in the schedule will remain the same. The transmission of files, printing of notices, and the mailing will always take place beginning the Friday before Thanksgiving and ending the Friday after Thanksgiving. Actual dates will be provided at each contract year’s preproduction meeting or with the print order. The contractor must not deviate from the specified mailing schedule or the quantity to be mailed.

Furnished material must be picked up from and delivered to: SSA, Printing Management Branch, Baltimore, MD (see Exhibit K).

Contractor to email PDF soft proofs to email address specified on the print order.

PROOF SCHEDULE:

For Envelopes –

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

- Contractor must submit PDF soft proofs of envelopes within seven (7) workdays of notification of availability of print order and furnished material.
- Proofs will be withheld no more than five (5) workdays from their receipt at the ordering agency until corrections/changes/O.K. to print is given. (NOTE: The first workday after receipt of proofs at the ordering agency is day one (1) of the hold time.)
- NOTE: If required, due to author's alterations, the contractor must submit a revised PDF proof within five (5) workdays of notification. Proofs will be withheld no more than three (3) workdays from their receipt at the ordering agency. (NOTE: The first workday after receipt of proofs at the ordering agency is day one (1) of the hold time.)

For Notices –

The following schedule begins the SAME workday as start of transmission of live production files the Friday prior to Thanksgiving.

- Contractor must submit PDF soft proofs of the specified 10 notices (for each PC) within 24 hours of start of transmission of the live production files the Friday prior to Thanksgiving.
- Proofs will be withheld no more than 24 hours from their receipt at the ordering agency until corrections/changes/O.K. to print is given.
- NOTE: PDF soft proofs may be reviewed on-site at the contractor's facility.

PREPRODUCTION TESTS SCHEDULE:

Prior to receiving wire transmission of live production data files each year, the contractor will be required to perform the following tests:

Wire Transmission Test – This test is to be performed within one (1) week after the data connection has been installed.

- The contractor will be required to receive approximately 1,500,000 notices (per lot) within one (1) workday.
- The contractor will be required to perform a Record Count Verification within one (1) workday of receipt of complete transmission of the test files and furnish the Government with the exact counts.
- The Government will approve, conditionally approve, or disapprove the same workday as receipt thereof.

Preproduction Validation Test –

- Contractor must submit required samples (PDF or hardcopy samples, as specified) from test files within five (5) workdays of receipt of test files.
- The Government will approve, conditionally approve, or disapprove the preproduction validation test samples within five (5) workdays of receipt thereof.
- If required due author's alterations or contractor's error, the contractor must submit revised samples within three (3) workdays of notification. The Government will approve, conditionally approve, or disapprove the preproduction validation test samples within three (3) workdays of receipt thereof.

Preproduction Press and Mail Run Test –

- The test is to be performed within seven (7) workdays of final approval of preproduction validation test samples and after the contractor receives the materials necessary to perform the test.
- The contractor must produce a minimum of 187,500 notices (per lot) (or 375,000 notices, if awarded both lots) in a continuous 12-hour period.
- The Government will approve, conditionally approve, or disapprove the samples within seven (7) workdays of receipt thereof.

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

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

Systems Change/Signature Change Validation Test –

- When required, contractor must submit required notice samples within five (5) workdays of receipt of test files.
- Samples will be withheld no more than three (3) workdays from their receipt at SSA until they are made available for pickup.
- If required due to author's alterations or contractor's error, the contractor must submit additional samples within three (3) workdays of notification. The additional samples will be withheld no more than three (3) workdays from their receipt at SSA until they are made available for pickup.

PRODUCTION SCHEDULE:

Transmission Schedule – Live production files for the IRMAA workload will transmit between the Friday and Sunday prior to Thanksgiving of each year. ***NOTE:** The contractor's FTMS software shall be operational for the receipt of data files 24 hours a day, seven (7) days a week, unless otherwise specified by the Government.

The following schedule begins SAME workday as start of transmission of live production production files the Friday prior to Thanksgiving.

Contractor MUST complete the production and distribution of all IRMAA mailers by close of business the day after Thanksgiving of each contract year.

PRODUCTION AND PRESS SHEET INSPECTIONS: The contractor must notify the GPO and SSA of the date and time of the production inspection or press sheet inspection at least 72 hours prior to the inspection(s) to allow time to make proper travel arrangements. Notify the U.S. Government Printing Office, Quality Control for Procured Printing, Washington, DC 20401 at (202) 512-0542. Telephone calls 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 in GPO Contract Terms (GPO Publication 310.2, effective December 1, 1987 (Rev. 6-01)). When supplies are not ready at the time specified by the contractor for inspection, the Contracting Officer may charge to the contractor the additional cost of the inspection.

NOTE: If the backup facility is used for the production of these notices, the Government will require a press sheet inspection prior to production in that facility. Notification must be given at least 72 hours in advance of production start-up.

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 products ordered for mailing for f.o.b. contractor's city must be delivered to the post office.

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

For compliance reporting purposes, contractors are to report information regarding each order with date of shipment or delivery, as applicable, in accordance with the contract requirements by contacting the Shared Support Services Compliance Section via email at compliance@gpo.gov, via telephone at (202) 512-0520, or via facsimile at (202) 512-1364. Personnel receiving the email, call, or facsimile will be unable to respond to questions of a technical nature or to transfer any inquiries.

SECTION 3. - DETERMINATION OF AWARD

Procurement under this solicitation will be divided into two lots.

The Government may make two single awards (one for each individual lot), or one single award for both lots, whichever is most economical to the Government, as follows:

- If two single awards are made (one for each individual lot), award will be made to the two (2) lowest responsive, responsible bidders. The Government will determine the two lowest bids 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 requirements under this contract. These units do not constitute, nor are they to be construed as, a guarantee of the volume of work which may be ordered for a like period of time.
- If a single award is made to one contractor for both lots, 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,” as applicable for One Lot or Two Lots.

<u>ONE LOT</u>			<u>TWO LOTS</u>	
I.	9		I.	9
II.	3		II.	3
III. (a)	1		III. (a)	1
(b)	1		(b)	1
IV. (a)	3		IV. (a)	3
(b)	11,600		(b)	23,200
(c)	1,500		(c)	3,000
V. (a)	5,800		V. (a)	11,600
(b)	1,500		(b)	3,000
VI.	1,500		VI.	3,000

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SECTION 4. - SCHEDULE OF PRICES

ONE LOT

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

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

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) or blank spaces for an item may be declared nonresponsive.

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

All invoices submitted to the GPO shall be based on the most economical method of production. Fractional parts of 1,000 will be prorated at the per-1,000 rate.

I. COMPOSITION: Prices offered must include the cost of all operations and materials necessary in accordance with the terms of these specifications for the mail-out envelopes.

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

II. PROCESSING/FORMATting FILES: The contractor will be allowed only one (1) charge per workload for the term of the contract to process and/or format the Advanced Function Presentation (AFP) files, AFP resources, and the Mail Run Data Files supplied necessary to print and mail the notices in each notice file.

Processing/Formatting Files.....per mailer.....\$_____

III. PREPRODUCTION TESTS: Price offered must include all costs incurred in performing the tests as specified in these specifications. These costs shall cover but are not limited to: machine time, personnel, all required materials, wire transmissions, electronic prepress, plates, paper, printing, imaging, collating, inserting, mail preparation, and any other operations necessary to produce the required quantities of the product in the time specified and in accordance with specifications.

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

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

(Initials)

IV. PRINTING/IMAGING AND CONSTRUCTION: Prices offered must include the cost of all materials and operations (including proofs) necessary for the complete printing/imaging and construction of the product listed in accordance with these specifications.

(a) *Per Makeready/setup charge.....\$_____

*Contractor will be allowed only one (1) makeready/setup charge per mailer per year. This combined charge shall include all materials and operations necessary to makeready and/or setup the contractor's equipment for all files transmitted for that mailer. Invoices submitted with more than one makeready/setup charge per mailer will be disallowed.

(b) Notices: Printing/imaging in black, including binding..... per 1,000 pages\$_____

(c) Envelopes: Printing in black, including construction..... per 1,000 envelopes.....\$_____

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

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

Notices – Each page-size leaf.

Envelopes – Each envelope.

Per 1,000 Leaves

(a) White Offset Book (50-lb.); or at contractor's option,
White Writing (20-lb.).....\$_____

(b) White Writing (24-lb.); or, at contractor's option,
White Offset Book (60-lb.).....\$_____

VI. INSERTING AND DISTRIBUTION: Prices offered must be all inclusive and include the cost of all required materials and operations necessary for the mailing of the notices including cost of collating notice pages in proper sequence, folding to required size in accordance with these specifications, insertion of notice into mail-out envelope, and mailing, in accordance with these specifications.

Mailers per 1,000 mailers\$_____

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

Post Office located at Street Address _____,

City _____, State _____, Zip Code _____

(Initials)

INSTRUCTIONS FOR BID SUBMISSION: Fill out "SECTION 4. – SCHEDULE OF PRICES," initialing or signing each page in the space(s) provided. Submit two copies (original and one exact duplicate) of the "SCHEDULE OF PRICES" with two copies of the GPO Form 910 "BID" form. Do not enter bid prices on GPO Form 910; prices entered in the "SCHEDULE OF PRICES" will prevail.

Bidder _____

(City - State)

By _____

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

(Person to be contacted)

(Telephone Number)

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SECTION 4. - SCHEDULE OF PRICES

TWO LOTS

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

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

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) or blank spaces for an item may be declared nonresponsive.

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

All invoices submitted to the GPO shall be based on the most economical method of production. Fractional parts of 1,000 will be prorated at the per-1,000 rate.

I. COMPOSITION: Prices offered must include the cost of all operations and materials necessary in accordance with the terms of these specifications for the mail-out envelopes.

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

II. PROCESSING/FORMATting FILES: The contractor will be allowed only one (1) charge per workload for the term of the contract to process and/or format the Advanced Function Presentation (AFP) files, AFP resources, and the Mail Run Data Files supplied necessary to print and mail the notices in each notice file.

Processing/Formatting Files.....per mailer.....\$_____

III. PREPRODUCTION TESTS: Price offered must include all costs incurred in performing the tests as specified in these specifications. These costs shall cover but are not limited to: machine time, personnel, all required materials, wire transmissions, electronic prepress, plates, paper, printing, imaging, collating, inserting, mail preparation, and any other operations necessary to produce the required quantities of the product in the time specified and in accordance with specifications.

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

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

(Initials)

IV. PRINTING/IMAGING AND CONSTRUCTION: Prices offered must include the cost of all materials and operations (including proofs) necessary for the complete printing/imaging and construction of the product listed in accordance with these specifications.

(a) *Per Makeready/setup charge.....\$_____

*Contractor will be allowed only one (1) makeready/setup charge per mailer per year. This combined charge shall include all materials and operations necessary to makeready and/or setup the contractor's equipment for all files transmitted for that mailer. Invoices submitted with more than one makeready/setup charge per mailer will be disallowed.

(b) Notices: Printing/imaging in black, including binding..... per 1,000 pages\$_____

(c) Envelopes: Printing in black, including construction..... per 1,000 envelopes.....\$_____

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

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

Notices – Each page-size leaf.

Envelopes – Each envelope.

Per 1,000 Leaves

(a) White Offset Book (50-lb.); or at contractor's option,
White Writing (20-lb.).....\$_____

(b) White Writing (24-lb.); or, at contractor's option,
White Offset Book (60-lb.).....\$_____

VI. INSERTING AND DISTRIBUTION: Prices offered must be all inclusive and include the cost of all required materials and operations necessary for the mailing of the notices including cost of collating notice pages in proper sequence, folding to required size in accordance with these specifications, insertion of notice into mail-out envelope, and mailing, in accordance with these specifications.

Mailers per 1,000 mailers\$_____

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

Post Office located at Street Address _____,

City _____, State _____, Zip Code _____

(Initials)

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

Bidder _____

(City - State)

By _____

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

(Person to be contacted)

(Telephone Number)

**EXHIBIT A
Form SSA-301**

CONTRACTOR PERSONNEL SECURITY CERTIFICATION

Purpose: This form is used for contractor personnel to certify that they understand SSA's security and confidentiality requirements.

I understand the SSA security and confidentiality requirements and agree that:

1. I will follow all SSA rules of conduct and security policy/privacy rules/regulations.
2. I agree not to construct and maintain, for a period of time longer than required by the contract, any file containing SSA data unless explicitly agreed to by SSA in writing as part of the task documentation.
3. I agree to safeguard SSA information, whether electronic or hardcopy, in secured and locked containers during transportation.
4. I will use all computer software according to Federal copyright laws and licensing agreements.
5. I agree to keep confidential any third-party proprietary information which may be entrusted to me as part of the contract.
6. I will comply with systems security requirements contained in the SSA Systems Security Handbook.
7. I will not release or disclose any information subject to the Privacy Act of 1974, the Tax Return Act of 1976, SSA Regulation 1 and section 1106 of the Social Security Act to any unauthorized person.
8. I understand that disclosure of any information to parties not authorized by SSA may lead to criminal prosecution under Federal law.

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

**EXHIBIT A
Form SSA-301**

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

**EXHIBIT A
Form SSA-301**

Contractor Employee

Date

EXHIBIT B Security and Suitability Requirements

0401 – SECURITY AND SUITABILITY REQUIREMENTS (JUNE 2011)

a. Acronyms and Definitions:

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

b. Purpose:

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

c. PIV Credentials:

A PIV credential will be required for:

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

EXHIBIT B

Security and Suitability Requirements

A PIV credential will not be required for:

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

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

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

d. Authorities:

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

e. Background Investigation and Adjudication Process:

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

f. Listing of Applicants:

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

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

EXHIBIT B Security and Suitability Requirements

g. Required Forms:

1) eQIP:

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

2) Paper Forms:

- Two (2) Field Division-258 charts, *Applicant Fingerprint Chart* (The CO will provide the FD-258 charts at the time of contract award.)

NOTE: The contractor will be responsible for obtaining and providing acceptable fingerprints for use by SSA. Regardless of the method used to fingerprint contractors, contractor employees, subcontractors, or subcontractor employees, (electronic capture or ink) the only acceptable fingerprint chart is the FD-258.

- **Optional Form 306, Declaration for Federal Employment:**
<http://www.opm.gov/forms/html/of.asp>
- **Fair Credit Reporting Act Authorization Form**
[Federal Investigations Notice: 98-02](#)
- **Original signed and dated eQIP Signature Pages** (See paragraph g.1 above)
- **If the contractor, contractor employee, subcontractor or subcontractor employee is not a U.S. Citizen**, the individual must provide SSA with a legible photocopy of his or her work authorization permit and Social Security card.

h. Forms Completion:

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

SSA will return forms not fully completed to the CPOC. To ensure the forms are completed correctly, obtain a sample of a properly completed form at the following website: http://www.ssa.gov/oag/acq/Sample_Security_Requirement_Docs%20.pdf. Access information related to the eQIP process at: [e-QIP - Quick Reference Guide for the Applicant.](#)

i. Forms Submission:

j.

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

EXHIBIT B

Security and Suitability Requirements

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

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

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

k. Suitability Determination:

A Federal Bureau of Investigation fingerprint check will be used as part of the basis for making a suitability determination. This determination is final unless information obtained during the remainder of the full background investigation, conducted by the Office of Personnel Management, is such that SSA would find the individual unsuitable to continue performing under this contract. CPSPM will notify the CPOC, COTR, and CO of the results of these determinations.

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

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

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

l. Obtaining a Credential:

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

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

EXHIBIT B Security and Suitability Requirements

The contractor must contact the COTR to arrange for credentialing. The COTR is responsible for scheduling an appointment for contractors, contractor employees, subcontractors, or subcontract employees to meet with the appropriate SSA Parking and Credentialing Office or Regional Security Office and obtain a credential. Once the COTR makes the appointment, the COTR must contact the contractor to inform the contractor of the credentialing appointment(s). The COTR must also arrange for the contractor, contractor employees, subcontractors, or subcontract employees to be escorted (by either the COTR or a COTR's representative) to the appropriate credentialing office at the time of this appointment.

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

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

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

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

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

n. Contractor Notification to Government:

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

o. Contractor Return of PIV Credential:

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

EXHIBIT B Security and Suitability Requirements

p. Government Control:

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

q. Appeals Process for Unsuitable Determinations:

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

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

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

r. Removal From Duty:

SSA may remove a contractor, or request that the contractor immediately remove or cause to be removed any contractor employee, subcontractor, or subcontract employee from working under the contract based on conduct that occurs after a favorable suitability determination. This includes temporarily removing a contract employee, subcontractor, or subcontract employee should the individual be arrested for a violation of law pending the outcome of any judicial proceedings. The contractor must comply with these requests to remove or cause to have removed any contractor employee, subcontractor, or subcontract employee. The Government's determination may be made based on, but not limited to, incidents involving the misconduct or delinquency as set forth below:

- i. Violation of the Rules and Regulations Governing Public Buildings and Grounds, 41 CFR 101-20.3. This includes any local badging requirements.
- ii. Neglect of duty, including sleeping while on duty; unreasonable delays or failure to carry out assigned tasks; conducting personal affairs while on duty; and refusing to cooperate in upholding the integrity of SSA's security program.
- iii. Falsification or unlawful concealment, removal, mutilation, or destruction of any official documents or records, or concealment of material facts by willful omissions from official documents or records.
- iv. Disorderly conduct, use of abusive or offensive language, quarreling, intimidation by words or actions, or fighting. Also, participating in disruptive activities that interfere with the normal and efficient operations of the Government.
- v. Theft, vandalism, or any other criminal actions.
- vi. Selling, consuming, possessing, or being under the influence of intoxicants, drugs, or substances that produce similar effects.

EXHIBIT B **Security and Suitability Requirements**

- vii. Improper use of official authority or credentials.
- viii. Unauthorized use of communications equipment or Government property.
- ix. Misuse of weapon(s) or tools used in the performance of the contract.
- x. Unauthorized access to areas not required for the performance of the contract.
- xi. Unauthorized access to employees' personal property.
- xii. Violation of security procedures or regulations.
- xiii. Prior determination by SSA or other Federal agency that a contractor, contractor employee, subcontractor, or subcontract employee was unsuitable.
- xiv. Unauthorized access to, or disclosure of, agency programmatic or sensitive information, or Internal Revenue Service Tax Return information.
- xv. Unauthorized access to an agency Automated Information System.
- xvi. Unauthorized access of information for personal gain (including, but not limited to, monetary gain), or with malicious intent.
- xvii. Not providing for the confidentiality of and protection from disclosure of information entrusted to them. Certain provisions of the following statutes and regulations that apply to Federal employees also apply equally to contractors, contractor employees, subcontractors, and subcontract employees:
 - The Privacy Act of 1974
 - The Tax Reform Act of 1976 and the Taxpayer Browsing Protection Act of 1997
 - SSA regulation 1
 - The Computer Fraud and Abuse Act of 1986
 - Section 1106 of the Social Security Act
- xviii. Being under investigation by an appropriate authority for violating any of the above.

EXHIBIT B Security and Suitability Requirements

Appendix: Regional Security Offices

Regional Credentialing Contacts for Contractor Employees

Region 1 – Boston

Management and Operations Support
Lenny Nyren: (617) 565-2840

Region 2 – New York

Center for Materiel Resources, Field Services Team
General Office: (212) 264-2603

Region 3 – Philadelphia

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

Region 4 – Atlanta

Center for Security and Integrity
Coleman Wicks: (404) 562-1252

Region 5 – Chicago

Management and Operations Support, Building Services Unit

Sharon Young: (312) 575-4150
Evelyn Principe: (312) 575-6342
Sofia Luna: (312) 575-5762
Carlton Brown: (312) 575-5957
Cassandra Murphy: (312) 575-5067

Region 6 – Dallas

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

Region 7 – Kansas City

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

Region 8 – Denver

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

Region 9 – San Francisco

Center for Security and Integrity
Cassandra Mapp: (510) 970-4124

Region 10 – Seattle

Center for Security and Integrity
Lisa Steepleton: (206) 615-2186
D'ette Day: (206) 615-2149

EXHIBIT C Standard Form 85P

Page 1 of 11

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

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

Questionnaire for Public Trust Positions

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

Purpose of this Form

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

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

Authority to Request this Information

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

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

The Investigative Process

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

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

Your Personal Interview

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

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

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

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

Instructions for Completing this Form

1. Follow the instructions given to you by the person who gave you the form and any other clarifying instructions furnished by that person to assist you in completion of the form. Find out how many copies of the form you are to turn in. You must sign and date, in black ink, the original and each copy you submit.
2. Type or legibly print your answers in black ink (if your form is not legible, it will not be accepted). You may also be asked to submit your form in an approved electronic format.
3. All questions on this form must be answered. If no response is necessary or applicable, indicate this on the form (for example, enter "None" or "N/A"). If you find that you cannot report an exact date, approximate or estimate the date to the best of your ability and indicate this by marking "APPROX." or "EST."
4. Any changes that you make to this form after you sign it must be initialed and dated by you. Under certain limited circumstances, agencies may modify the form consistent with your intent.
5. You must use the State codes (abbreviations) listed on the back of this page when you fill out this form. Do not abbreviate the names of cities or foreign countries.
6. The 5-digit postal ZIP codes are needed to speed the processing of your investigation. The office that provided the form will assist you in completing the ZIP codes.
7. All telephone numbers must include area codes.
8. All dates provided on this form must be in Month/Day/Year or Month/Year format. Use numbers (1-12) to indicate months. For example, June 10, 1978, should be shown as 6/10/78.
9. Whenever "City (Country)" is shown in an address block, also provide in that block the name of the country when the address is outside the United States.
10. If you need additional space to list your residences or employments/self-employments/unemployments or education, you should use a continuation sheet, SF 86A. If additional space is needed to answer other items, use a blank piece of paper. Each blank piece of paper you use must contain **your name and Social Security Number at the top of the page.**

Final Determination on Your Eligibility

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

Penalties for Inaccurate or False Statements

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

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

Disclosure of Information

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

PRIVACY ACT ROUTINE USES

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

STATE CODES (ABBREVIATIONS)

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

PUBLIC BURDEN INFORMATION

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

EXHIBIT C Standard Form 85P

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

QUESTIONNAIRE FOR PUBLIC TRUST POSITIONS

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

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

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

Persons completing this form should begin with the questions below.

1 FULL NAME • If you have only initials in your name, use them and state (IO). • If you have no middle name, enter "NMN". - If you are a "Jr.," "Sr.," "II," etc., enter this in the box after your middle name.	2 DATE OF BIRTH
--	------------------------

Last Name	First Name	Middle Name	Jr., II, etc.	Month	Day	Year
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3 PLACE OF BIRTH - Use the two letter code for the State. City _____ County _____ State _____ Country (if not in the United States) _____	4 SOCIAL SECURITY NUMBER
---	---------------------------------

5 OTHER NAMES USED

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

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

7 TELEPHONE NUMBERS	Home (include Area Code)
Work (include Area Code and extension) Day () Night ()	Day () Night ()

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

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

Naturalization Certificate (Where were you naturalized?)

Court	City	State	Certificate Number	Month/Day/Year Issued
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Citizenship Certificate (Where was the certificate issued?)

City	State	Certificate Number	Month/Day/Year Issued
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State Department Form 240 - Report of Birth Abroad of a Citizen of the United States

Give the date the form was prepared and give an explanation if needed.	Month/Day/Year	Explanation
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U.S. Passport

This may be either a current or previous U.S. Passport	Passport Number	Month/Day/Year Issued
--	-----------------	-----------------------

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

Country

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

Place You Entered the United States:	City	State	Date You Entered U.S.	Month	Day	Year	Alien Registration Number	Country(ies) of Citizenship
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EXHIBIT C Standard Form 85P

9 WHERE YOU HAVE LIVED

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

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

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

10 WHERE YOU WENT TO SCHOOL

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

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

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

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

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

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

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

EXHIBIT C Standard Form 85P

11 YOUR EMPLOYMENT ACTIVITIES

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

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

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

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

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

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

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

EXHIBIT C Standard Form 85P

YOUR EMPLOYMENT ACTIVITIES (CONTINUED)

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

12	YOUR EMPLOYMENT RECORD	Yes	No
Has any of the following happened to you in the last 7 years? If "Yes," begin with the most recent occurrence and go backward, providing date fired, quit, or left, and other information requested.			

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

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

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

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

EXHIBIT C Standard Form 85P

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

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

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

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

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

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

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

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

Registration Number _____ Legal Exemption Explanation _____

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

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

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

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

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

19 FOREIGN COUNTRIES YOU HAVE VISITED

List foreign countries you have visited, except on travel under official Government orders, beginning with the most current (#1) and working back 7 years. (Travel as a dependent or contractor must be listed.)

- Use one of these codes to indicate the purpose of your visit: 1 - Business 2 - Pleasure 3 - Education 4 - Other

•Include short trips to Canada or Mexico. If you have lived near a border and have made short (one day or less) trips to the neighboring country, you do not need to list each trip. Instead, provide the time period, the code, the country, and a note ("Many Short Trips").

•Do not repeat travel covered in items 9, 10, or 11.

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

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

EXHIBIT C Standard Form 85P

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

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

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

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

Certification That My Answers Are True

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

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

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

EXHIBIT C Standard Form 85P

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

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

UNITED STATES OF AMERICA

AUTHORIZATION FOR RELEASE OF INFORMATION

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

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

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

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

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

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

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

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

**EXHIBIT C
Standard Form 85P**

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

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

UNITED STATES OF AMERICA

AUTHORIZATION FOR RELEASE OF MEDICAL INFORMATION

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

Instructions for Completing this Release

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

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

(Investigator instructed to write in position title.)

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

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

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

What is the prognosis?

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

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

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

Print Form

Save Form

Clear Form

EXHIBIT D Sample of Fingerprint Card

APPLICANT	LEAVE BLANK	TYPE OR PRINT ALL INFORMATION IN BLACK						EBI	LEAVE BLANK
SIGNATURE OF PERSON FINGERPRINTED		LAST NAME	FIRST NAME	MIDDLE NAME					
RESIDENCE OF PERSON FINGERPRINTED		ALIASES	O R					DATE OF BIRTH	
BY	US MARINE OR OFFICIAL TAKING FINGERPRINTS	CITIZENSHIP	SEA	AGE	WGT	HT	HAIR	MO	
W/ TITLE AND ADDRESS		TOUR NO.						PLACE OF BIRTH	
		FBI NO.	LEAVE BLANK						
		ARMED FORCES NO.	CLASS						
		SOCIAL SECURITY NO.	REF.						
		MISCELLANEOUS NO.							
<div style="font-size: 48px; font-weight: bold; text-align: center;">SAMPLE</div>									
LEFT FOUR FINGERS TAKEN SIMULTANEOUSLY			I. THUMB	E. THUMB	RIGHT FOUR FINGERS TAKEN SIMULTANEOUSLY				

Declaration for Federal Employment

Form Approved
OMB No. 3206-0182

Instructions

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

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

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

Privacy Act Statement

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

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

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

Public Burden Statement

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

Declaration for Federal Employment

Form Approved
OMB No. 3208-0182

GENERAL INFORMATION

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

Selective Service Registration

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

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

Military Service

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

Branch	From <small>MM/DD/YYYY</small>	To <small>MM/DD/YYYY</small>	Type of Discharge

Background Information

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

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

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

Declaration for Federal Employment

Form Approved: OMB No. 3206-0182

Additional Questions

14. Do any of your relatives work for the agency or government organization to which you are submitting this form? (Include: father, mother, husband, wife, son, daughter, brother, sister, uncle, aunt, first cousin, nephew, niece, father-in-law, mother-in-law, son-in-law, daughter-in-law, brother-in-law, sister-in-law, stepfather, stepmother, stepson, stepdaughter, stepbrother, stepsister, half brother, and half sister.) If "YES," use item 16 to provide the relative's name, relationship, and the department, agency, or branch of the Armed Forces for which your relative works.

YES NO [] []

15. Do you receive, or have you ever applied for, retirement pay, pension, or other retired pay based on military, Federal civilian, or District of Columbia Government service?

YES NO [] []

Continuation Space / Agency Optional Questions

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

Certifications / Additional Questions

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

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

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

17a. Applicant's Signature: _____ Date _____
17b. Appointee's Signature: _____ Date _____
Appointing Officer: Enter Date of Appointment or Conversion MM / DD / YYYY

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

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

18b. When you worked for the Federal Government the last time, did you waive Basic Life Insurance or any type of optional life insurance? YES NO Do Not Know [] [] []

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

Clear Form Print Form Save Form

EXHIBIT F
Fair Credit Reporting Act Authorization Form

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Exhibit F

Federal Investigations Notice

Letter No. 98-02

Date: March 6, 1998

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

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

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

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

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

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

EXHIBIT F
Fair Credit Reporting Act Authorization Form

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

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

Attachments

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

SAMPLE RELEASE
Fair Credit Reporting Act of 1970, as amended

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

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

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

(Print Name)

(SSN)

(Signature)

(Date)

EXHIBIT F

Fair Credit Reporting Act Authorization Form

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

A Summary of Your Rights Under the Fair Credit Reporting Act

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

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

EXHIBIT F

Fair Credit Reporting Act Authorization Form

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

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

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

SYSTEM PLAN

TYPE OF PROPOSED MAINFRAME PLATFORM _____

TYPE OF PERSONAL COMPUTER _____

MEDIA TO BE USED FOR RECEIPT OF FILE TRANSMISSION _____

FILE STORAGE MEDIUM _____

CYBERFUSION INSTALLED? _____

AMOUNT OF AVAILABLE FILE STORAGE SPACE _____

TYPE OF PRINT STREAM MAIL RUN CONTROL SYSTEM _____

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

EXHIBIT H Audit and Summary Reports

100% Accountability and Summary Reports

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

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

Example:

Audit Report								
Program 123-S/SSA Notices Name/PO#54001/File Date								
PC # and Sequence Numbers and Volume								
Inserter ID	Date	Start Time	End Time	Start Range	End Range	Total	EVENT	STATUS
Inserter 1	05/10/12	10:31:04 AM	11:12:45 AM	19386	21567	2182	Standard Processing	Inserted
Operator Joe	05/10/12	11:12:50 AM	11:12:50 AM	21568		1	Diverted	Routed to Reprint
	05/10/12	11:13:10 AM	11:28:06 AM	21569	22516	948	Standard Processing	Inserted
	05/10/12	11:28:07 AM	11:28:10 AM	22517	22518	2	Diverted/leave count unverified	Routed to Reprint
	05/10/12	11:29:30 AM	11:29:35 AM	22519	22521	3	Diverted/missing piece	Routed to Reprint
	05/10/12	11:29:45 AM	11:30:15 AM	22522		1	Diverted/manual insertion of pub	Manual Scan
	05/10/12	11:30:34 AM	11:40:35 AM	22523		1	Diverted/misread	Manual Scan

Inserter 2	05/11/12	8:12:50 AM	8:12:50 AM	21568		1	Standard Processing	Inserted
(REPRINTS)	05/11/12	8:28:07 AM	8:28:10 AM	22517	22518	2	Standard Processing	Inserted
Operator Sue	05/11/12	8:29:30 AM	8:29:35 AM	22519	22521	3	Standard Processing	Inserted

TOTALS								
			Machine Inserted:			26604		
			Sent to Reprints:			582		
			Reprints Recovered:			582		
			Records Accounted for:			27186		
			Duplicates:			16		
			Duplicates Verified:			16		
			Records Less Duplicates:			27170		
			Reported Output:			27170		
			Variance:			0		

EXHIBIT H
Audit and Summary Reports

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

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

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

EXHIBIT I Mail Run Data (MRD) File

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

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

NOTE: There is one record for each mail packet.

EXHIBIT J Database/Spreadsheet for Postal Documentation

USPS Postage Breakdown

Contractor: _____ Date Sent: _____
 Job Title: _____ Mail Date: _____
 Req. #: _____ Program #: _____
 Print Order #: _____
 Cost Code: _____

Discount	Pieces					Piece Rate					Postage					Total
	1oz	2oz	3oz	4oz	5oz	1oz	2oz	3oz	4oz	5oz	1oz	2oz	3oz	4oz	5oz	
Carrier Route																
5 Digit																
3 Digit																
Automation AADC																
Automation Mixed AADC																
Non Auto. Presort																
Non Auto. Single Piece																
IPA (International Mail)																
Misc. Pieces																
Over 5oz																
Total USPS Postage																

EXHIBIT K
Key SSA and GPO Personnel Contact Information

Page 1 of 1

CONTACT INFORMATION

Print Management Team

Social Security Administration
Kenneth Wetzelberger,
Room 1352 Annex Building,
6401 Security Boulevard,
Baltimore, MD 21235-6401
Phone-(410)966-7109 Fax-(410)965-6400
Kenneth.wetzelberger@ssa.gov

Social Security Administration
Tracey Marshall-Vanzego,
Room 1326 Annex Building,
6401 Security Boulevard,
Baltimore, MD 21235-6401
Phone-(410)965-4168 Fax-(410)965-6400
Tracey.marshall-vanzego@ssa.gov

Mail and Postage Policy Team

Social Security Administration
Attn: Francine Moore
Room 1712 Annex Building,
6401 Security Boulevard,
Baltimore, MD 21235-6401.

Help Desk

410-965-2089

GPO

David Love
202-512-0310