

Program No. 805-S Term Date of Award To October 31, 2016								
Title: SSA Notice Packages								
Formerly 545-S			NPC, INC.		SOURCELINK OHIO, LLC		CURRENT CONTRACTOR	
ITEM NO.	DESCRIPTION	BASIS OF AWARD	UNIT RATE	CLAYSBURG, PA COST	DAYTON, OH UNIT RATE	COST	NPC, INC. UNIT RATE	COST
<b>I. PROCESSING/FORMATting FILES:</b>								
(a)	Processing/Formatting files..per notice workload	13	100.00	1,300.00	10.00	130.00	10.00	130.00
<b>II. COMPOSITION AND PROOFS:</b>								
(a)	Composition & PDF soft proof of envelopes.....							
	.....per envelope	28	50.00	1,400.00	20.00	560.00	10.00	280.00
<b>III. PROOFS:</b>								
(a)	Form: Inkjet Proof.....per trim/set of 3	2	1.00	2.00	25.00	50.00	1.00	2.00
(b)	Pamphlet: Inkjet Proof.....per trim/set of 3	32	5.00	160.00	25.00	800.00	1.00	32.00
<b>IV. PRINTING/IMAGING AND CONSTRUCTION</b>								
<b>BINDING:</b>								
(a)	Daily makeready/setup charge.....	250	229.00	57,250.00	135.00	33,750.00	179.00	44,750.00
(b)	Notices: Printing/imaging in black ink (including binding/construction).....per 1,000 leaves	17,096	9.79	167,369.84	23.45	400,901.20	5.95	101,721.20
(c)	Form SSA-3105: Printing in black ink (including binding/construction).....per 1,000 forms	23	17.41	400.43	15.25	350.75	10.00	230.00
(d)	Pamphlets: Printing in two colors (including binding/construction)..... per 1,000 pages	592	5.60	3,315.20	2.14	1,266.88	5.60	3,315.20
(e)	Mailout Envelopes.....per 1,000 envelopes	8,561	10.70	91,602.70	12.07	103,331.27	7.05	60,355.05
(f)	BRM window refund envelopes..p/1,000 envelope	3,769	6.38	24,046.22	10.47	39,461.43	4.45	16,772.05
(g)	BRM non-window refund envelopes.....							
	.....per 1,000 envelopes	15	6.38	95.70	10.39	155.85	44.00	660.00
(h)	CRM refund/return envelopes..per 1,000 envelope	57	18.93	1,079.01	10.39	592.23	20.00	1,140.00
<b>V. PAPER: Per 1,000 leaves</b>								
(a)	Notices							
	White Offset Book, 50-lb.....	17,096	5.74	98,131.04	7.94	135,742.24	5.80	99,156.80
(b)	Form SSA-3105							
	White Writing, 20-lb.....	23	9.00	207.00	10.16	233.68	6.00	138.00
(c)	Pamphlets							
	White Offset Book, 60-lb.....	296	5.25	1,554.00	2.86	846.56	5.25	1,554.00
(d)	Mail-out Envelopes 4-1/8 x 9-1/2"							
	White Wove, 24-lb or at contractor's option.....	8,261	10.72	88,557.92	7.98	65,922.78	10.5	86,740.50
(e)	ECO Envelopes 4-1/8 x 9-1/2"							
	Blue Wove, 24-lb or at contractor's option.....							
	White Offset Book, 50-lb.....	300	14.38	4,314.00	10.07	3,021.00	14.38	4,314.00
(f)	BRM Refund Envelope, window and non-window							
	Green Stock, 20-lb.....	3,786	6.38	24,154.68	6.97	26,388.42	6.60	24,987.60
(g)	CRM Refund/Return Envelopes							
	White Stock, 20-lb.....	55	18.93	1,041.15	7.17	394.35	6.60	363.00



U.S. GOVERNMENT PUBLISHING OFFICE

Washington, DC

GENERAL TERMS, CONDITIONS, AND SPECIFICATIONS

For the Procurement of

*SSA Notice Packages*

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

**Social Security Administration (SSA)**

Single Award

**TERM OF CONTRACT:** The base term of this contract is for approximately 15 months for the period beginning Date of Award and ending October 31, 2016, plus up to four 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.

**BID OPENING:** Bids shall be publicly opened at 11:00 a.m., prevailing Washington, DC time, on **July 27, 2015**.

**BID SUBMISSION:** Submit bid in pre-addressed envelope furnished with solicitation or send to: U.S. Government Publishing Office, Bid Section, Room C-848, Stop: PPSGB, 732 North Capitol Street, NW, Washington, DC 20401. Facsimile bids in response to this solicitation are permitted. Facsimile bids may be submitted directly to the GPO Bid Section, Fax No. (202) 512-1782. The program number and bid opening date must be specified with the bid. Refer to Facsimile Bids in Solicitation Provisions of GPO Contract Terms, GPO Publication 310.2, as revised June 2001. Hand delivered bids are to be taken to: GPO Bookstore, 710 North Capitol Street, NW, Washington, DC, between the hours of 8:00 a.m. and 4:00 p.m., prevailing Washington, DC, time, Monday through Friday. The contractor is to follow the instructions in the Bid Submission/Opening area. If further instruction or assistance is required, call (202) 512-0526.

**NOTE TO BIDDERS:** Due to time constraints, qualified bidders must possess an SSA installed/active data connection between the bidder's location and SSA's National Computer Center (NCC). SSA also must have approved security clearance at the bidders physical location(s) used for production of materials for this contract and all employees passed SSA's Final Suitability (for same locations) as defined under "Public Trust Security Requirements" of this contract. Bidder must have completed the security requirements prior to the solicitation of this bid to be eligible for award of this contract. If bidder does not have these completed prior to this solicitation, that contractor will be declared non-responsible.

**BIDDERS, PLEASE NOTE:** This Program was formerly Program 545-S and the 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 are available at: <http://www.gpo.gov/gpo/abstracts/abstract.action?region=DC>.

For information of a technical nature, call Linda Paddy at (202)-512-0310 (no collect calls); or email lpaddy@gpo.gov.

## SECTION 1. - GENERAL TERMS AND CONDITIONS

**GPO CONTRACT TERMS:** Any contract which results from this Invitation for Bid will be subject to the applicable provisions, clauses, and supplemental specifications of GPO Contract Terms (GPO 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 (revised August 2002).

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

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

**DISPUTES:** GPO Publication 310.2, GPO Contract Terms, Contract Clause 5. Disputes, is hereby replaced with the June 2008 clause found at [www.gpo.gov/pdfs/vendors/contractdisputes.pdf](http://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 notices, the laser/ion deposition printing/imaging of data at a minimum of 600 x 600 dpi of notices from electronically transmitted files, folding, and inserting. Any bidder who cannot perform these functions of this contract will be declared non-responsible. Contractor may subcontract the printing and manufacturing of the envelopes, and the sorting and mailing of the completed product. NOTE: All notices must be produced via laser/ion deposition; *ink jetting of notices is not allowed*

For sorting and mailing of completed product, the contractor must disclose in their production plans their intentions for the use of a subcontractor. The plan must include the same information required from the contractor; the subcontractor will be subject to the same requirements for all elements of the contract. If a subcontractor for this operation is added at any time after award, the contractor must submit the subcontractor's proposed plans which are subject to review and approval by the Government. The subcontractor must be approved by the Government prior to production starting at that facility.

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

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

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

Product Quality Levels:

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

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

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

- (e) Exception: The payment portion below the micro-perforation on the “payment stub” once detached, will be scanned and must function properly when processed through the current high speed scanning equipment at SSA. A form is a reject and will be considered a major defect when its OCR print cannot be correctly deciphered on the first pass through the scanning equipment (See “PRINTING/IMAGING” for additional information regarding perforated payment stub.)

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

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

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

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

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

P-7. Average type dimension; electronic media; camera copy; manuscript copy.

P-9. Pantone Matching System.

**OPTION TO EXTEND THE TERM OF THE CONTRACT:** The Government has the option to extend the term of this contract for a period of 12 months by written notice to the contractor not later than 30 days before the contract expires. If the Government exercises this option, the extended contract shall be considered to include this clause, except, the total duration of the contract may not exceed 63 months as a result of, and including, any extension(s) added under this clause. Further extension may be negotiated under the “EXTENSION OF CONTRACT TERM” clause. See also “ECONOMIC PRICE ADJUSTMENT” for authorized pricing adjustment(s).

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

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

For the purpose of this clause, performance under this contract will be divided into successive periods. The first period will extend from the Date of Award to October 31, 2016 (approximately 15 months) and the second and any succeeding period(s) will extend for 12 months from the end of the last preceding period, except that the length of the final period may vary. The first day of the second and any succeeding period(s) will be the effective date of the economic price adjustment for that period.

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

The economic price adjustment will be the percentage difference between Index averages as specified in this paragraph. An index called the variable index will be calculated by averaging the monthly Indexes from the 12-month interval ending 3 months prior to the beginning of the period being considered for adjustment. This average is then compared to the average of the monthly Indexes for the 12-month interval ending April 30, 2015 called the base index. The percentage change (plus or minus) of the variable index from the base index will be the economic price adjustment for the period being considered for adjustment.

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

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

1. BLS code 0913-01 for Offset and Text will apply to all paper required under this contract.
2. The applicable index figures for the month of July 2015, will establish the base index.
3. There shall be no price adjustment for the first three production months of the contract.
4. Price adjustments may be monthly thereafter, but only if the index varies by an amount (plus or minus) exceeding 5% by comparing the base index to the index for that month which is two months prior to the month being considered for adjustment.
5. Beginning with order placement in the fourth month, index variances will be calculated in accordance with the following formula:

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

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

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.

***NOTE: All requirements specified herein, starting with Security Requirements below, must be completed and approved at time of solicitation of this contract, if not, the bidder will be declared non-responsive.***

**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 post award conference between the Contracting Officer and the responsible contractor representative.
- (b) The contractor shall process all confidential information obtained from SSA in the performance of this contract under the immediate supervision and control of authorized personnel, and in a manner that 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 Form SSA-301, "Contractor Personnel Security Certification," (see Exhibit A). A copy of this signed certification must be forwarded to: SSA, Printing Management Branch, Baltimore, MD (see Exhibit J).
- (f) All confidential information obtained from SSA for use in the performance of this contract shall, at all times, be stored in an area that is physically safe from unauthorized access.
- (g) Performance of this contract may involve access to tax return information as defined in 26 U.S.C. Section 6103(b) of the Internal Revenue Code (IRC). All such information shall be handled as confidential and may not be disclosed without the written permission of SSA. For willingly disclosing confidential tax return information in violation of the IRC, the contractor and contractor employees may be subject to the criminal penalties set forth in 26 U.S.C. Section 7213.
- (h) The Government reserves the right to conduct on-site visits to review the contractor's documentation and in-house procedures for protection of confidential information.
- (i) If a subcontractor is used for the sorting and/or mailing of the notices of this contract, the subcontractor must conform to all security requirements of the contract.

**SECURITY WARNING:** It is the contractor's responsibility to properly safeguard personally identifiable information (PII) from loss, theft, or inadvertent disclosure and to immediately notify the Government of any loss of personally identifiable information. Personally identifiable information is "any information which can be used to distinguish or trace an individual's identity, such as their name, social security number, biometric records, etc. alone or when combined with other personal or identifying information which is linked or linkable to a specific individual, such as date and place of birth, mother's maiden name, etc." (Reference: OMB Memorandum 07-16.) Other specific examples of PII include, but are not limited to:

- Personal identification numbers, such as passport number, driver's license number, taxpayer identification number, or financial account or credit card numbers.
- Address information, such as street address or personal email address.
- Personal characteristics, including photographic image (especially of face or other distinguishing characteristic), fingerprints, handwriting, or other biometric image or template data (e.g., retina scans, voice signature, facial geometry).

**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 log off 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 camera in sensitive areas that contain any confidential materials, including areas where shredding and waste management occurs.

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

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

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

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

**The following list provides examples of situations where 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.

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

Once SSA receives and reviews the applicant listing, SSA will initiate the Electronic Questionnaire for Investigations Process (eQIP). SSA will email notification to the CPOC that each applicant has been invited into the eQIP website to electronically complete their background investigation form. The CPOC will provide the website to the applicants to complete their eQIP form. The applicant will have up to seven (7) calendar days to complete the eQIP form. The 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 then provide the signed originals to the CPOC.

The following is a list of forms each contractor employee is responsible 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 (FCRA)" (Exhibit F).
- For a non-U.S. citizen, one (1) legible photocopy of the work authorization permit and social security card

The CPOC must ensure all paper forms are fully completed and signed prior to submission to SSA. 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 30 calendar days of signature and date. SSA will return forms not fully completed back to the contractor. Forms may be obtained by calling the CPSPM Suitability Team (410) 966-0640.

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. Contractor to submit this cover sheet, along with the completed paper forms and two (2) 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 pre-award survey of all of the contractor's computer, printing, and mailing equipment which will be used on this contract or to require other evidence of technical, production, managerial, financial, and similar abilities to perform, prior to the award of a contract.

The preaward survey will also 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, installed, and fully functional by September 15, 2015.

The contractor shall present, in writing, to the Contracting Officer, within three (3) workdays of being notified to do so, detailed plans for each of the following activities:

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

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

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

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. SSA has the option to install a data connection into the contractor's 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.

**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, 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 SSA 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 either defects or missing/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 Publishing Office. The Government will periodically verify that the contractor is complying with the approved quality control plan through on-site examinations and/or requesting copies of the contractor's quality assurance records and quality assurance random copies.

**Computer System Plan** – This plan must include a detailed listing of the contractor's operating software platform and file transfer system necessary to interface with SSA's National File Transfer Management System (FTMS) for electronic transmission of ALL notice packages (Daily and Monthly) 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" specified herein for additional information). The contractor must complete a System Plan (see Exhibit G).

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

**Mail Plan** – This plan should include sufficient detail as to how the contractor will comply with all applicable 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 out going 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:

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

**NOTE:** A micro-perforated payment stub will appear on approximately 2% of ROAR notices and 80% of RECOOP notices. (For English notices, the payment stub is on the last leaf; for bilingual Spanish/English notices, the payment stub is on the last leaf of the Spanish and English notices (both are to be perforated)). However, the payment stub/micro-perforation will not be on the same page number for every notice due to the ROAR and RECOOP notices have variable page counts. The contractor will be required to identify the payment stub page(s) (Spanish/English) requiring perforation. Regarding the “select-a-perf” requirement, the contractor’s production plan shall explain how they will handle imaging and collating the required micro-perforated sheet into the proper sequence of leaves. The plan shall also detail how the contractor intends to meet the critical margins associated with the scan line. (See “PRINTING/IMAGING” and “BINDING/CONSTRUCTION.”)

**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).

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

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

Part of the 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 and must be destroyed at contractor's printing site. 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, and must be capable of tracking and/or locating any individual piece of mail from the time it leaves the press, up to and including when it is off-loaded at the USPS facility. An explanation of the contractor's sequential numbering system is required to understand the audit trail required for each and every piece.

**100% ACCOUNTABILITY OF PRODUCTION AND MAILING:** Contractor must have a closed loop process\* to determine that the data from the original print file is in the correct envelope with the correct number of pages and inserts. Notices requiring print regeneration must be reprinted from their original print image with the original job ID and piece ID remaining unchanged as each mail piece continues through the inserting life cycle. This process will repeat itself (since subsequent reprint runs may yield damages) until all mail pieces from the original print run have been inserted and accounted for.

**\*CLOSED LOOP PROCESSING:** A method for generating a plurality of mail pieces including error detection and reprinting capabilities. The method provides a mail handling process which tracks processing errors with the use of a first and second scan code which obtains 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 45 calendar days prior to the start of live production on November 1, 2015. 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 with the correct inserts are accounted for, inserted, and mailed correctly.

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

- (a) Uniquely identifying each notice and corresponding notice leaves within each individual file by mailer number and file date.
- (b) Unique identifier to be scanned during insertion to ensure all notices and corresponding notice leaves are present and accounted for.
- (c) *Entrance Scanning*: A camera system must electronically track and scan all leaves of each mail piece as the inserting equipment pulls them into the machine to ensure each mail piece was produced and inserted. If there is any variance on a mail piece or if a mail piece is not verified that all leaves are present, that piece and the piece prior to and immediately following must be diverted and sent back for reprint. All instances of variance must be logged.
- (d) *Touch and Toss*: All spoilage, diverted, mutilated, or mail piece that is acted upon directly by a human hand prior to sealing must be immediately recorded, discarded, properly destroyed, and automatically regenerated in a new print file for reprint. *Exception*: Due to inserting equipment limitations, the contractor can divert and insert by hand notices over 50 leaves. These notices, to ensure notice integrity, are to be scanned and collated by an automated process prior to manual handling for inserting. The completed mail package must then be processed through exit scanning. The event log report must show these as "50+ Manual."
- (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 ensures that no missing mail pieces have been inadvertently inserted into another mail piece. The equipment must check the mail pieces, after insertion and verification that all leaves are accounted for, and divert any suspect product. During exit scanning, if a sequence number is missing, the notice prior to and immediately after must be diverted. The equipment must divert all products that exhibit missing or out of order sequence numbers and any other processing errors. All diverted pieces are to be automatically recorded and regenerated in a new print file for reprint.

- (f) *Reconciliation*: All notices and the amount of correct finished product must be electronically accounted for after insertion through the use of the audit system that is independent of the inserting equipment as well as independent of the operator. The sequence numbers, for each file, must be reconciled; taking into account any spoilage, duplicate, 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 time for each phase of the run (i.e., machine ID).
  - 5. Start and end sequence numbers in each run
  - 6. Status of all sequence numbers in a run
  - 7. Total volume in run
  - 8. Status report for all incidents for each sequence number and cause (i.e., inserted, diverted, and reason for divert such as missing sequence number, missing leaves, mutilated, duplicate, pulled for inspection, etc.).
  - 9. Bottom of audit report must contain total number of records for that run, quantity sent to reprint, number of duplicates, duplicates verified and pulled, 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.
- (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 #, 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.

Within two (2) workdays of mailing, contractor must submit a PDF copy of the summary report(s) and matching USPS 3607R and/or GPO 712 form(s) to SSA, Printing Management Branch, Baltimore, MD (see Exhibit J) for each file date.

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

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

All notice tracking/reporting data must be retained in electronic form for 210 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 no less than 180 calendar days subsequent to the date of the check tendered for final payment by the Government Publishing Office. The Government will periodically verify that the contractor is complying with the approved quality control plan through on-site examinations and/or requesting copies of the contractor's quality assurance records and quality assurance random copies.

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

**REQUEST FOR 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 or two full-time Government representatives may be placed on the contractor's premises on a limited basis or throughout the term of the contract.

The contractor will be required to provide one private office of not less than 150 square feet, furnished with at least one desk, two swivel arm chairs, secure internet access for Government laptop computers, a work table, and two four-drawer letter-size files with combination padlock and penda flex 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:** Any person(s) that the contractor deems necessary for the successful implementation of the contract must be in attendance.

**PREPRODUCTION MEETING:** After award but prior to production, a preproduction meeting covering printing and mailing shall be held at the contractor's facility to review the contractor's production plan and to establish coordination of all operations. Attending this meeting will be representatives from the U.S. Government Publishing Office, Social Security Administration, and the U.S. Postal Service.

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

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

**ASSIGNMENT OF JACKETS, PURCHASE AND PRINT ORDERS:** A GPO jacket number will be assigned and a purchase order issued to the contractor to cover work performed. The purchase order will be supplemented by an individual daily electronic task order for each job placed with the contractor. A print order will be issued weekly and will indicate the total number of task orders placed and the total number of notices produced that week. The print order will also indicate any other information pertinent to the particular order.

**ORDERING:** Items to be furnished under the contract shall be ordered by the issuance of weekly print orders supplemented by daily electronic task orders. Orders may be issued under the contract from Date of Award through October 31, 2016 plus for such additional period(s) as the contract is extended. All print orders and task orders issued hereunder are subject to the terms and conditions of the contract. The contract shall control in the event of conflict with any print order or task order. Task orders will be "issued" daily for purposes of the contract and shall detail the daily volume of notices required. A print order (GPO Form 2511) to be used for billing purposes will be issued weekly and will cover all daily task orders issued that week.

**REQUIREMENTS:** This is a requirements contract for the items and for the period specified herein. Shipment/delivery of items or performance of work 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.

## SECTION 2. – SPECIFICATIONS

**SCOPE:** These specifications cover the production of mailing packages consisting of personalized English and Bilingual (Spanish/English) personalized notices, English and Spanish pamphlet inserts, form inserts, mail-out envelopes, Business Reply Mail envelopes (BRM), and Courtesy Reply Mail envelopes (CRM) requiring such operations as: receipt and processing of wire transmitted data; redevelopment of Advanced Function Presentation (AFP) resources; composition; printing/imaging; binding/construction; gathering, inserting; manifesting and/or metering; and distribution.

**TITLE:** SSA Notice Packages.

This contract is for the production of the following notice packages:

- ROAR (Recover of Overpayments, Accounting and Reporting) – English and Bilingual
- RECOOP (Recovery and Collection of Overpayments Process) – English and Bilingual
- REACT (Returned Check Action) – English and Bilingual
- GARNISHMENT (Wage Garnishment) – English and Bilingual
- TAXY LEVY – English and Bilingual
- TTW TERMINATION (Ticket to Work Termination) – English and Bilingual
- TTW STARTUP (Ticket to Work Startup) – English and Bilingual
- ECO (EXTERNAL COLLECTION OPERATIONS) – English and Bilingual

**NOTE:** Workloads 1 through 5 transmit daily (five times a week - early morning Tuesday through Saturday), workloads 6 through 8 transmit monthly.

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

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

### **GOVERNMENT TO FURNISH:**

Manuscript copy for 28 envelopes (17 mail-out, 2 BRM, 9 CRM).

Camera copy for the Facing Identification Mark (FIM) and Intelligent Mail Barcode (IMB) for the two (2) BRM envelopes and for the FIM and IMB code for the nine (9) CRM envelopes.

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

PS Form 3615, Mailing Permit Application and Customer Profile.

Official Government Postage Meters.

CASS Certification Certificate and NCOA Certificate.

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

**EXHIBITS:**

- 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: Fingerprint Card Sample.
- Exhibit E: Declaration of Federal Employment (Optional Form 306).
- Exhibit F: Fair Credit Reporting Act Authorization Form.
- Exhibit G: System Plan.
- Exhibit H: Audit and Summary Reports.
- Exhibit I: Mail Run Data (MRD) File
- Exhibit J: 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. 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. The contractor must not merge file dates and mailers (if applicable) during processing, printing, and mailing.

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 the Preproduction Press and Mail Run Tests.

***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. Similar to the following:

AFP file = vendor\*\*\*.RORAFP.M01xaaaaa.Ryymmdd  
MRD file = vendor\*\*\*.RORMRD.M01xaaaaa.Ryymmdd  
BNR file = vendor\*\*\*.RORBNR.M01xaaaaa.Ryymmdd

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.

The MRD File will contain all information relevant to each mail piece. This will include, for each mail piece, the unique alpha/numeric identifier (the sequential number of the document), the number of sheets of paper, required inserts and insertion bin selection, recipient's address, return address to be sprayed/imaged on the mail piece's mail-out envelope for the Daily notices, 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 setup for those items being included in the mail packages and the total required in each bin.

The contractor will receive an electronic daily task order each morning after transmission with the volumes for notices, leaves, pages, and any inserts required.

**NOTE:** It is solely the contractor's responsibility to redevelop/reprogram the AFP resources and MRD File to ensure proper printing and inserting in their environment. *(NOTE: SSA prints 2UP DUPLEX ROLL IN TO ROLL OUT with the file order reversed for insertion. The predominant data file format is AFP Mixed Mode; however, any valid AFP format is possible and must be printable at the contractor's location. Each piece of mail will be assigned a unique alpha/numeric identifier for tracking, insertion, location, and recovery processes.)*

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.

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

### **PRINTER RESOURCES (AFP):**

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

SSA will provide the AFP resources for each notice workload. These resources will be provided via 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 "PREPRODUCTION TESTS AND VALIDATION" for required tests.)

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. 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.

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 10 sample documents representative of the workload involved, from each 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. Contractor to submit these samples to SSA, Division of Printing Management, Baltimore, MD (see Exhibit J).

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

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

**The Government will provide the following at the postaward conference, or shortly thereafter:**

**Print Resource Library (AFP) via Email:** Advanced Function Presentation resources including page and form definitions, fonts, page segments, and overlays (if applicable) for page formatting.

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

**Preproduction Press and Mail Run Test Files for Wire Transmission:** An AFP formatted print file with the corresponding Mail Run Data File and Banner file will be supplied for workload in the quantities required.

**Revised Resource Library (AFP) via Email (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 SSA will provide revised AFP resource file(s) via email to the contractor as a replacement(s).

The contractor is cautioned that there may be a resource change(s) during the term of this contract. If this occurs, SSA will provide the contractor with a new AFP resource file.

Dataset transfer names for notice workloads are listed as follows:

<u>NOTICES</u>	<u>MAILER</u>	<u>DATA SET NAME*</u>
ROAR	1	OLBG.BTI.vendor.RORAFP.M1#aaaaa.Ryymmdd
	2	OLBG.BTI.vendor.RORAFP.M2#aaaaa.Ryymmdd
RECOOP	3	OLBG.BTI.vendor.RECAFP.M3#aaaaa.Ryymmdd
	4	OLBG.BTI.vendor.RECAFP.M4#aaaaa.Ryymmdd
REACT	5	OLBG.BTI.vendor.REAAFP.M5#aaaaa.Ryymmdd
	6	OLBG.BTI.vendor.REAAFP.M6#aaaaa.Ryymmdd
GARNISHMENT	7	OLBG.BTI.vendor.GARAFP.M7#aaaaa.Ryymmdd
	8	OLBG.BTI.vendor.GARAFP.M8#aaaaa.Ryymmdd
TAX LEVY	9	OLBG.BTI.vendor.TXLAFP.M9#aaaaa.Ryymmdd
	10	OLBG.BTI.vendor.TXLAFP.MA#aaaaa.Ryymmdd
TTW TERMINATION	11	OLBG.BTI.vendor.TTTAFP.MB1aaaaa.Ryymmdd
TTW STARTUP	12	OLBG.BTI.vendor.TTSAFP.MC1aaaaa.Ryymmdd
ECO	13	OLBG.BTI.vendor.ECOAFP.MD1aaaaa.Ryymmdd
New Notices	14-16	File Names/Data Set Names for each new notice workload will be supplied to the contractor as they are developed.

NOTE: All of the data set names are not listed for each mailer. The "#" within the data set names represents eight (8) data set names (or files) for that mailer (PC1 through PC8). RECOOP only contains six (6) data set names (or files) for that mailer (PC1 through PC6). The data set names for each mailer are the same except for the PC number. For example, there are eight (8) files (or data set names) for ROAR Mailer 1, as follows:

OLBG.BTI.vendor.RORAFP.M11aaaaa.Ryymmdd  
OLBG.BTI.vendor.RORAFP.M12aaaaa.Ryymmdd  
OLBG.BTI.vendor.RORAFP.M13aaaaa.Ryymmdd  
OLBG.BTI.vendor.RORAFP.M14aaaaa.Ryymmdd  
OLBG.BTI.vendor.RORAFP.M15aaaaa.Ryymmdd  
OLBG.BTI.vendor.RORAFP.M16aaaaa.Ryymmdd  
OLBG.BTI.vendor.RORAFP.M17aaaaa.Ryymmdd  
OLBG.BTI.vendor.RORAFP.M18aaaaa.Ryymmdd

*Vendor* – is the vendor identifier. This is assigned when the transmission connectivity is installed.  
*aaaaa* – is the order identifier 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 being transmitted. This is also referred to as the run date.

*M* – mailer identifier. (Mailer # are the two digits that follow the M.)

The files will be transmitted in segment by Program Service Center (PC) codes. Each file transmitted will have a banner page identifying the PC and required inserts.

The PC codes correspond to the mail-out envelope required as follows:

PC 1 – Northeastern (Jamaica, NY)  
PC 2 – Mid-Atlantic (Philadelphia, PA)  
PC 3 – Southeaster (Birmingham, AL)  
PC 4 – Great Lakes (Chicago, IL)  
PC 5 – Western (Richmond, CA)  
PC 6 – Mid-America (Kansas City, MO)  
PC 7 – Office of Central Operations (Domestic and Foreign) (Baltimore, MD)  
PC 8 – Office of International Operations (Baltimore, MD)

**WIRE TRANSMISSIONS:** Contractor must have all of the wire transmission and File Transfer Management System (FTMS) requirements in place at time of solicitation of this contract to be eligible for award.

The cost of establishing the connection will be borne by 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.

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

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

**SECURE FILE TRANSFER PROTOCOLS (SFTP) SITE:** Immediately after award, 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. Contractor cannot send PDF notices with PII via email.

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

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

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

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

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

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

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

The contractor will be required to provide server(s) to ensure the successful and uninterrupted simultaneous transmission of Daily files. This server(s) must be of a size large enough to handle each workload.

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

Any duplicate data and any resultant printouts must be destroyed by the contractor. Data provided to the contractor must be retained for 21 workdays after mailing.



**GARNISHMENT Notices (Mailers 7 and 8):** The GARNISHMENT mailers are divided into two (2) notice categories by data set names according to language (either English only or bilingual Spanish/English).

- 7. Vendor.GARAFP.M7#aaaaa.Ryymmdd: Personalized English Notice  
Mail-out Envelope
- 8. Vendor.GARAFP.M8#aaaaa.Ryymmdd: Personalized Bilingual Spanish/English Notices  
Mail-out Envelope

**TAX LEVY Notices (Mailers 9 and 10):** The TAX LEVY mailers are divided into two (2) notice categories by data set names according to language (either English only or bilingual Spanish/English). These mailers may include the CRM envelope.

- 9. Vendor.TXLAFP.M9#aaaaa.Ryymmdd: Personalized English Notice  
Mail-out Envelope  
CRM Envelope
- 10. Vendor.TXLAFP.MA#aaaaa.Ryymmdd: Personalized Bilingual Spanish/English Notice  
Mail-out Envelope  
CRM Envelope

**TTW TERMINATION Notices (Mailer 11):** The TTW TERMINATION mailers are English or Bilingual Spanish/English notices.

- 11. Vendor.TTMAFP.MB1aaaaa.Ryymmdd: Personalized English Notice or Bilingual Notice  
Mail-out Envelope

**TTW STARTUP Notices (Mailer 12):** The TTW STARTUP mailers are English or Bilingual Spanish/English notices. The mailer may generate the combination of the following components.

- 12. Vendor.TTSAFP.MC1aaaaa.Ryymmdd: Personalized English Notice or Bilingual Notice  
Mail-out Envelope  
English pamphlet SSA Pub. No. 05-10061  
Spanish pamphlet SSA Pub. No. 05-10961

**ECO Notices (Mailer 13):** The ECO mailer are English or Bilingual Spanish/English notices. These mailers may include the BRM non-window envelope.

- 13. Vendor.ECOAFP.MD1aaaaa.Ryymmdd: Personalized English or Bilingual Spanish/English Notice  
Mail-out Envelope (blue)  
BRM Non-Window Envelope

**New Notice Workloads:** These new mailers could be English only or bilingual Spanish/English notices. All notice, form and envelope requirements will match those described in Mailers 1 through 13.

- 14. – 16. OLBG.BTI.vendor.\*\*\*AFP.M?#aaaaa.Ryymmdd

The file/data set names for each new notice workload will be supplied to the contractor as they are developed.

*Vendor* – is the vendor identifier, assigned after installation of the transmission connectivity.

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

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

*M* – mailer identifier. (Mailer # is the digit(s) that follows the M.)

# - 1 through 8 for each of the Program Service Centers, if applicable, to match the appropriate mailing envelope.

**TRIM SIZES:**

Notices: 8-1/2 x 11” flat size (folding down to 8-1/2 x 5-1/2”).

Form SSA-3105: 10-1/2 x 8” flat size (folding down to 3-1/2 x 8”).

Pamphlets: 3-1/2 x 8”.

Mail-out Envelopes: 6-1/8 x 9-1/2”, plus flap.

BRM Refund Envelopes: No. 9 (3-7/8 x 8-7/8”), plus 1-1/2” flap (with or without a window).

CRM Envelopes: No. 9 (3-7/8 x 8-7/8”), plus 1-1/2” flap.

**NUMBER OF LEAVES/PAGES OF DAILY/MONTHLY NOTICES AND INSERTS:**

Notices: 1 to 10 leaves per notice.

Form SSA-3105: Face and back (1 leaf per form).

Pamphlets (SSA Pub. No. 05-10061 and 05-10961): 16 pages per pamphlet.

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

Combined total Mailers (Mailers 1 through 13) will be for approximately 8,560,927 notices per year, broken down as follows:

Mailer 1 (ROAR English):	Approximately 1,495,810 mailers per year.
Mailer 2 (ROAR Bilingual):	Approximately 71,027 mailers per year.
Mailer 3 (RECOOP English):	Approximately 3,526,442 mailers per year.
Mailer 4 (RECOOP Bilingual):	Approximately 208,154 mailers per year.
Mailer 5 (REACT English):	Approximately 305,170 mailers per year.
Mailer 6 (REACT Bilingual):	Approximately 15,235 mailers per year.
Mailer 7 (GARNISHMENT English):	Approximately 1,223,483 mailers per year.
Mailer 8 (GARNISHMENT Bilingual):	Approximately 17,180 mailers per year.
Mailer 9 (TAX LEVY English):	Approximately 18,308 mailers per year.
Mailer 10 (TAX LEVY Bilingual):	Approximately 118 mailers per year.
Mailer 11 (TTW TERMINATION):	Approximately 960,000 mailers per year.
Mailer 12 (TTW STARTUP):	Approximately 420,000 mailers per year.
Mailer 13 (ECO)	Approximately 300,000 mailers per year.

NOTE: SSA’s Current Operating Month (COM) could begin on as early as the 20<sup>th</sup> calendar day of each month and as late as the 27<sup>th</sup> calendar day of each month.

The figures indicated below are estimates based on historical data of past production runs. The figures show: the minimum and maximum quantities required daily for Mailers 1 through 10 and monthly for Mailers 11 through 13; the minimum and maximum quantities for the first day of COM for ROAR; the number of printed pages in a notice; the inserts (all items that are to be inserted into the mail-out envelope along with the notice); and, how the notice is to be folded.

Exact quantities will not be known until each run is electronically transmitted to the contractor. NO SHORTAGES WILL BE ALLOWED.

**NOTE: PC8 envelopes require Domestic and Par Avion Envelopes. The contractor is responsible for separating the PC8 file for domestic or foreign mail. No volumes are available for separate totals.**

**ROAR Notices:**

NOTE: Daily volumes will be higher on the first day of COM.

<b>Mailer 1:</b> English Notices	Daily Minimum	1,300
	Daily Maximum	22,000
	COM Minimum	58,000
	COM Maximum	165,000
	Printed Pages	2 to 6
	Leaves	1 to 3
	Inserts	BRM Window Envelope (PC1-7) CRM Envelope (PC8 only)
	Folding	Bi-fold

<b>Mailer 2:</b> Bilingual Notices	Daily Minimum	50
	Daily Maximum	1,000
	COM Minimum	2,100
	COM Maximum	7,500
	Printed Pages	2 to 10
	Leaves	1 to 5
	Inserts	BRM Window Envelope (PC1-7) CRM Envelope (PC8 only)
	Folding	Bi-fold

**RECOOP Notices:**

<b>Mailer 3:</b> English Notices	Daily Minimum	1,200
	Daily Maximum	60,000
	Printed Pages	2 to 6
	Leaves	1 to 3
	Inserts	BRM Window Envelope (PC1-6)
	Folding	Bi-fold

<b>Mailer 4:</b> Bilingual Notices	Daily Minimum	60
	Daily Maximum	3,200
	Printed Pages	2 to 10
	Leaves	1 to 5
	Inserts	BRM Window Envelope (PC1-6)
	Folding	Bi-fold

**REACT Notices:**

<b>Mailer 5:</b> English Notices	Daily Minimum	100
	Daily Maximum	12,100
	Printed Pages	2
	Leaves	1
	Inserts	Form SSA-3105 (English) BRM Non-Window Envelope (PC1-7) CRM Envelope (PC8 Only)
	Folding	Bi-fold

<b>Mailer 6:</b> Bilingual Notices	Daily Minimum	0
	Daily Maximum	650
	Printed Pages	2 to 6
	Leaves	1 to 3
	Inserts	Form SSA-3105 (English) BRM Non-Window Envelope (PC1-7) CRM Envelope (PC8 Only)
	Folding	Bi-fold

**GARNISHMENT Notices:**

<b>Mailer 7:</b> English Notices	Daily Minimum	1,000
	Daily Maximum	75,000
	Printed Pages	2 to 4
	Leaves	1 to 2
	Inserts	None
	Folding	Bi-fold

<b>Mailer 8:</b> Bilingual Notices	Daily Minimum	0
	Daily Maximum	1,200
	Printed Pages	2 to 6
	Leaves	1 to 3
	Inserts	None
	Folding	Bi-fold

**TAX LEVY Notices:**

<b>Mailer 9:</b> English Notice	Daily Minimum	0
	Daily Maximum	1,100
	Printed Pages	2 to 4
	Leaves	1 to 2
	Inserts	CRM Envelope
	Folding	Bi-fold

<b>Mailer 10:</b> Bilingual Notice	Daily Minimum	0
	Daily Maximum	200
	Printed Pages	2 to 4
	Leaves	1 to 2
	Inserts	CRM Envelope
	Folding	Bi-fold

**TTW TERMINATION Notices:**

<b>Mailer 11:</b> English or Bilingual Notice	Monthly Minimum	70,000
	Monthly Maximum	90,000
	Printed Pages	2 to 4
	Leaves	1 to 2
	Folding	Bi-fold

**TTW STARTUP Notices:**

<b>Mailer 12:</b> English or Bilingual Notice	Monthly Minimum	30,000
	Monthly Maximum	50,000
	Printed Pages	2 to 4
	Leaves	1 to 2
	Inserts	Spanish and English Pamphlets
	Folding	Bi-fold

**ECO Notices:**

<b>Mailer 13:</b> English or Bilingual Notice	Monthly Minimum	6,000
	Monthly Maximum	35,000
	Printed Pages	2 to 4
	Leaves	1 to 2
	Inserts	BRM Window Envelope
	Folding	Bi-fold

For Mailers 1 through 10, the combined per day minimum volume is 3,710 mailers and the combined per day maximum volume is 176,450 mailers.

**PREMIUM PAYMENTS:**

**Daily Mailers Exceeding Estimated Quantities:** Contractor will receive a Premium payment of 20% for those notices over the maximum volume of 176,450 described above on the bid prices offered as specified in the "SCHEDULE OF PRICES." Contractor will receive a premium payment of 20% for printing in accordance with the applicable line items and for inserting in accordance with the applicable line item. No additional time will be allowed for the mailing of those extra notices.

**Monthly Mailers Exceeding Estimated Quantities:** Contractor will receive a Premium payment of 20% for those notices over the maximum volumes stated above for those individual workloads on the bid prices offered as specified in the "SCHEDULE OF PRICES." Contractor will receive a premium payment of 20% for printing in accordance with the applicable line items and for inserting for the applicable line items. No additional time will be allowed for the mailing of those extra notices.

NOTE: All premium payments are forfeited if the contractor fails to meet the production schedule in accordance with these specifications.

**New Notice Workloads:**

These new mailers could be English only or bilingual Spanish/English notices. Notices will consist of 1 to 10 printed pages. All notice, form, and envelope requirements will match those described in Mailers 1 through 13.

<b>Mailers 14 - 16:</b> English and/or Bilingual Notices	Daily Minimum	10
	Daily Maximum	60,000
	Printed Pages	1 to 10
	Inserts	Any of the following inserts (as required) Form SSA-3105 (English) BRM (Window/Non-Window) Envelope CRM Envelope
	Folding	Bi-fold

The file names/data set names for each new notice workload will be supplied to the contractor as they are developed.

**MAIL-OUT ENVELOPES 90-CALENDAR DAY VOLUMES:**

***Mail-Out Envelopes (Mailers 1 and 2, and Mailers 5 through 10):***

<u>Program Service Center</u>	<u>90-Calendar Day Volumes</u>
Northeastern Program Service Center (PC1)	71,890
Mid-Atlantic Program Service Center (PC2)	65,347
Southeastern Program Service Center (PC3)	96,087
Great Lakes Program Service Center (PC4)	82,746
Western Program Service Center (PC5)	96,481
Mid-America Program Service Center (PC6)	95,305
Office of Central Operations (PC7)	309,885
Office of International Operations (PC8)	7,020

***Mail-Out Envelopes (Mailers 3 and 4):***

<u>Program Service Center</u>	<u>90-Calendar Day Volumes</u>
Northeastern Program Service Center (PC1)	133,285
Mid-Atlantic Program Service Center (PC2)	122,146
Southeastern Program Service Center (PC3)	188,566
Great Lakes Program Service Center (PC4)	133,801
Western Program Service Center (PC5)	187,448
Mid-America Program Service Center (PC6)	183,652

NOTE: The same mail-out envelopes broken down by PC number will be used for the ROAR, RECOOP, REACT, GARNISHMENT, and TAX LEVY Notices. RECOOP envelopes will have their own mail-out envelopes.

**ENVELOPE INSERTS 90-CALENDAR DAY VOLUMES:**

***ROAR, RECOOP, and ECO BRM Window Envelope:***

<u>Program Service Center</u>	<u>90-Calendar Day Volumes</u>
See *Below	942,179

\*This BRM window envelope will be inserted in ROAR PC1 through PC7 notices, RECOOP PC1 through PC6 and ECO notices, containing a payment stub. The Mid-Atlantic Program Service Center (PC2) address and IMB will appear in the window. The PC2 address will also appear in the return address area (upper left corner).

***ROAR/REACT Green CRM Envelope:***

<u>Program Service Center</u>	<u>90-Calendar Day Volumes</u>
Office of Central Operations (PC8)	522

NOTE: PC8 ROAR/REACT notices which require a BRM envelope is to receive this PC8 Green CRM envelope instead.

***REACT BRM Non-Window Envelope:***

<u>Program Service Center</u>	<u>90-Calendar Day Volumes</u>
See * Below	3,800

\*This BRM non-window PC2 envelope will be inserted into REACT PC1 through PC7 notices when required.

The contractor is responsible for setting up their equipment to ensure that the correct envelope is inserted.

***REACT and TAX LEVY CRM Envelope:***

<u>Program Service Center</u>	<u>90-Calendar Day Volumes</u>
Northeastern Program Service Center (PC1)	1,663
Mid-Atlantic Program Service Center (PC2)	1,241
Southeastern Program Service Center (PC3)	1,597
Great Lakes Program Service Center (PC4)	1,321
Western Program Service Center (PC5)	2,064
Mid-America Program Service Center (PC6)	1,597
Office of Central Operations (PC7)	2,936
Office of International Operations (PC8)	1,218

**FORM/PAMPHLET INSERTS 90-CALENDAR DAY VOLUMES:**

***REACT and TTW STARTUP Form/Pamphlet Inserts:***

<u>Form/Pamphlet Number</u>	<u>90-Calendar Day Volumes</u>
Form SSA-3105	5,742
SSA Pub No. 05-10061	8,750
SSA Pub No. 05-10961	500

**PREPRODUCTION TESTS AND VALIDATION:** The contractor will be required to demonstrate their ability to perform the contract requirements. The Government will furnish electronic test files at the postaward conference, or shortly thereafter, to perform these tests. The contractor will be required to perform the following tests:

- Wire Transmission Test
- Preproduction Notice Validation Test
- Payment Stub Validation Test
- Preproduction Press and Mail Run Test (12 Hours)

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

***Wire Transmission Test:*** After the appropriate bandwidth connection has been installed, and prior to receiving wire transmission of live production data files, the contractor will be required to perform a wire transmission test. SSA will conduct this test on a date and time at SSA's choosing due to other schedules. It is anticipated that this test will occur on a weekend and start during the night.

The contractor will be required to receive within one (1) workday up to 360,000 notices. The contractor will be required to perform a record count verification within one (1) workday after the complete transmission of all notice test files. The contractor will be required to copy the files to their own system and provide SSA, Printing Management Branch, Baltimore, MD (see Exhibit J) with the exact counts received (broken down by data set name) before proceeding with any other processing. SSA will respond within one (1) day for verification. The contractor will be required to run the test file through their CASS certification system to ensure that there are no problems with the reading of the address file. The contractor will be required to report back to SSA with the test results.

***Preproduction Notice Validation Test:*** Prior to starting production, and within five (5) workdays of receiving the Electronic Test Files, the contractor shall conduct a preproduction notice validation test and provide (via SFTP) PDF sample notices and the same notices printed and inserted from the electronic test files. The printed notices must include at least 10 samples from every PC for each mailer for the ROAR, RECOOP, REACT, GARNISHMENT, TAX LEVY, TTW TERMINATION, TTW STARTUP, and ECO notices. Notices must be complete and include all variable data from Government furnished files and perforations where applicable.

The Government will approve, conditionally approve, or disapprove the samples within two (2) 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, 10 additional samples of each notice will be required until the validation produces no errors.

***Payment Stub Validation Test:*** Prior to beginning the Preproduction Press and Mail Run Test, the contractor shall furnish SSA 20 printed samples of the notices only (no inserts or envelopes) for each workload (ROAR, RECOOP, and ECO) containing a payment stub for validation of the scanline.

The micro-perforation on the payment stub page must be properly located and the payment stub must function properly when processed through the current high speed scanning equipment owned by SSA. A form is a reject when its OCR print cannot be correctly deciphered on the first pass through the specified reading equipment.

Contractor shall furnish 10 samples from each Mailer effected to SSA, Printing Management Branch, Baltimore, MD (see Exhibit J) and 10 samples for each Mailer effected to an address to be determined later. (See "PREPRODUCTION TEST SCHEDULES, *Payment Stub Validation Test.*")

The Government will approve, conditionally approve, or disapprove the samples within two (2) 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, 10 additional samples of each notice affected will be required until the validation produces no errors.

***Preproduction Press and Mail Run Tests (12-Hour Test):*** The contractor will be required to run a Production and Mail Run test. The contractor will be required to demonstrate their ability to perform the contract requirements, prior to production by performing a 12-hour preproduction press and mail run test. The test will utilize the test files transmitted electronically after the postaward conference.

The Government will issue a print order to the contractor for the Preproduction Press and Mail Run test. Upon successful completion of all test requirements, the contractor will be reimbursed for all applicable costs for a production run, in accordance with the "SCHEDULE OF PRICES," as applicable. If the contractor fails to meet all test requirements, they will not be reimbursed for any associated costs.

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

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

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

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

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 12-hour period for the inserting and mailing process will begin within two (2) hours of the start of the printing to allow time for the contractor to print sufficient materials to begin the inserting process. See "SCHEDULE" for the Preproduction Press and Mail Run Test. (See "PREPRODUCTION TEST SCHEDULES, *Preproduction Press and Mail Run Test (12-Hour Test)*".)

The contractor must perform the preproduction press and mail run test on their equipment and using their personnel. The test must be performed on the printing and inserting equipment with required scanning equipment for 100% accountability of production and mailing that will be used in live production. All samples shall be manufactured at the facility in which the contract production quantities are to be manufactured.

Samples of the preproduction press and mail run test will be brought back to SSA for validation. The Government will approve, conditionally approve, or disapprove the validation output within seven (7) workdays of receipt thereof.

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

**Failure to meet the requirements of either portion of the Preproduction Press and Mail Run test is grounds for immediate termination of the contract for default.**

The files transmitted during the Wire Transmission Test will be utilized for this 12-hour preproduction press and mail run test. The contractor will be required to print and prepare for mailing 180,475 notices as follows:

ROAR*	Mailer 1:	82,500
	Mailer 2:	3,750
RECOOP*	Mailer 3:	30,000
	Mailer 4:	1,600

REACT*	Mailer 5:	6,050
	Mailer 6:	325
GARNISHMENT*	Mailer 7:	37,500
	Mailer 8:	600
TAX LEVY*	Mailer 9:	550
	Mailer 10:	100
TTW TERMINATION	Mailer 11:	9,000
TTW STARTUP	Mailer 12:	5,000
ECO	Mailer 13:	<u>3,500</u>
<b>TOTAL:</b>		<b>180,475</b>

\*For Mailers 1 through 10, the contractor must produce notices from each of the PC files.

***NOTE: Failure of the contractor to perform any of the three (3) tests (i.e., Payment Stub Validation Test, Wire Transmission Test, or Preproduction Press and Mail Run Tests satisfactorily may be grounds for immediate default. The Government reserves the right to waive the requirements of any of these tests. Contractor will be notified at the postaward conference if any test(s) is to be waived.***

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

The contractor shall furnish (via SFTP) 10 PDF samples from each file affected. Once approved, the contractor will provide the same PDF samples printed and inserted in envelopes with all required inserts for each mailer. The Government will approve, conditionally approve, or disapprove the samples within three (3) workdays of receipt thereof. Submit these samples to SSA, Printing Management Branch, Baltimore, MD (see Exhibit J).

The Systems Change/Signature Change/New and Existing Notice Files Validation Test shall occur without a break in production of other SSA notices being produced by the contractor. The Government will inform the contractor in advance when the regular daily wire transmissions will contain the systems changes.

#### **COMPOSITION:**

Contractor will be required to set type for 28 (17 mail-out, 2 BRM, 9 CRM) envelopes. Helvetica or similar typeface will be utilized.

AFP Century Schoolbook, Sonoran Serif, or equivalent fonts are to be used for producing the notices. Contractor must provide the font for USPS IMB bar code.

SSA will provide the required font numbers. The contractor will be required to validate that they have the proper licenses for each. SSA cannot provided licensed fonts to the contractor; contractor will be required to provide.

The contractor must use an OCR-A font to print the numeric scan line on the payment stub that appears in Daily Mailer 1 (RORAFP.M1), Daily Mailer 2 (RORAFP.M2), Daily Mailer 3 (RECAFP.M3), Daily Mailer 4 (RECAFP.M4), and Monthly Mailer 13 (ECO).

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

***Envelopes:***

One (1) set of Adobe Acrobat (most current version) PDF soft proof for each envelope. Proofs will be transferred to the agency via EFT. The PDF proof will be evaluated for text flow, image position and color breaks. Proofs will not be used for color match. Proofs must show all margins, dimensions of the envelope, and window size and placement, if applicable.

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

Contractor may be required to submit ink draw downs on actual production stock of Pantone colors used in job.

When requested, the contractor is to submit one (1) set of Press Quality PDF soft proofs for the forms and pamphlets. Proofs will be transferred to the agency via EFT. The PDF proof will be evaluated for text flow, image position and color breaks. Proofs will not be used for color match.

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

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

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

**PRIOR TO PRODUCTION SAMPLE (ENVELOPES ONLY):** Prior to the commencement of production of the contract production quantity, the contractor shall submit not less than two (2) samples of each envelope required on this contract. The container and accompanying documentation shall be marked "PREPRODUCTION SAMPLES" and shall include the GPO Purchase Order, Jacket, Program, and Print Order Numbers.

All samples shall be printed and constructed, as applicable for each envelope, as specified herein and must be of the size, kind, and quality that the contractor will furnish. Samples will be inspected and tested for conformance of materials and must comply with the specifications as to construction, kind, and quality of materials. All samples must be printed on the paper required for that envelope as specified under "STOCK/PAPER."

Contractor must submit samples to the SSA, Printing Management Branch, Baltimore, MD (see Exhibit J).

Contractor must submit samples within five (5) workdays of receipt of "O.K. to Print" on proofs.

The Government will approve, conditionally approve, or disapprove the samples within two (2) workdays of the receipt thereof. Approval or conditional approval shall not relieve the contractor from complying with the specifications and all other terms and conditions of the contract. A conditional approval shall state any further action required by the contractor. A notice of disapproval shall state the reasons therefore.

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

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

In the event the Government fails to approve, conditionally approve, or disapprove the samples within the time specified, the Contracting Officer shall automatically extend the shipping schedule in accordance with article 12 "Notice of Compliance with Schedules" of contract clauses in GPO Contract Terms (GPO Publication 310.2, effective December 1, 1987 (Rev. 6-01)).

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

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

**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](http://www.gpo.gov/pdfs/customers/sfas/vol12/vol_12.pdf).

Color of stock furnished shall be of a uniform shade and a close match by visual inspection of Pantone colors. The Contracting Officer reserves the right to reject shipments of any order which, in his opinion, materially differs from that of the Pantone color(s) specified.

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

The paper to be used will be indicated on each print order.

**Personalized 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.

**Forms:** 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.

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

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

**ECO Mail-Out Envelope (6-1/8 x 9-1/2"):** Blue Wove (close match to Pantone 290 (Blue)), basis weight: 24 lbs. per 500 sheets, 17 x 22"; or at contractor's option, Blue Offset Book, basis weight: 60 lbs. per 500 sheets, 25 x 38", equal to JCP Code A63.

**BRM/CRM Refund Envelopes (3-7/8 x 8-7/8"):** Green Stock (match of Pantone 344 (Green)), basis weight: 20 lbs. per 500 sheets, 17 x 22", bursting strength 20 lb/in<sup>2</sup>.

**CRM Reply Envelope (3-7/8 x 8-7/8"):** White Stock, basis weight: 20 lbs. per 500 sheets, 17 x 22", bursting strength 20 lb/in<sup>2</sup>.

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

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

**Personalized Notices:** Contractor will be required to convert furnished data from electronic transmission for either laser or ion deposition imaging. All printing/imaging of notices shall have a minimum resolution of 600 x 600 dpi. All notices are duplex printed (face and back, head to head) and one-side only (when an odd page is required) in black ink only. **Notices must appear exactly as was approved during validation. Absolutely no deviation will be accepted.**

NOTE: Spanish notices consist of two (2) parts: The first part is the Spanish notice; the second part is the same notice in English.

**Payment Stub Notices:** Daily Mailer 1 (RORAFP.M1), Daily Mailer 2 (RORAFP.M2), Daily Mailer 3 (RECAFP.M3), Daily Mailer 4 (RECAFP.M4), and Mailer 13 (ECO) files will contain notices requiring a micro-perforated payment stub page with an alpha-numeric scanline. The micro-perforation on the payment stub page shall be located 3-1/2" (plus or minus 1/16") up from the bottom of the page and run along the entire 8-1/2" dimension. The alpha-numeric scanline shall be printed using the OCR-A font. The payment stub page (full 8-1/2 x 11" leaf) is part of the notice itself and will be electronically transmitted.

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

**Form:** Print head-to-head, face and back in black ink only.

**Pamphlets:** Print head-to-head in two (2) Pantone ink colors. Self-cover pages bleed three (3) sides. Pages contain adequate gripper margins. Match Pantone ink colors specified on the print order.

**Mail-Out, BRM, and CRM Envelopes:** Contractor to follow copy presented at postaward conference. Envelopes print face and back (after manufacture) in black ink.

Print FIM and IMB on the BRM and CRM envelopes using the furnished camera copy. The FIM and IMB should be placed on the mailing piece according to the current USPS Domestic Mail Manual, "Barcoded Mail pieces."

Printing on all envelopes 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.

All envelopes require a security tint (lining is acceptable) printed on the inside (back – before manufacture) in black ink. Contractor may use his own design but must guarantee that the product will ensure complete opacity and prevent show through of any material contained therein. The inside of the BRM and CRM envelopes must contain a clear area (no pantograph design), approximate size 3-1/2 x 5/8”, behind the barcode to ensure the readability of barcode by the U.S. Postal Service equipment.

**RECYCLED PAPER LOGO:** If recycled paper is used, the recycled paper logo and legend must be printed in black ink on the notices and envelopes. If the forms/pamphlets are printed on recycled paper, the recycled paper logo and legend must print in the same Pantone ink color as the text.

**Notices:** The recycled paper logo/legend must be digitized by the contractor and imaged in the bottom right corner aligned with the contractor’s control number on the first page of each notice. For bilingual Spanish/English notices, the logo will appear on the Spanish copy only.

**Pamphlets:** The SSA furnished electronic file(s) will already contain the recycled paper logo/legend in either English or Spanish (as appropriate).

**PRESS SHEET INSPECTION:** Final *form/pamphlet* makeready press sheets may be inspected and approved at the contractor’s/subcontractor’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.

**Viewing Light:** Full color copy and proofs will be viewed under controlled conditions with 5000 degrees Kelvin overhead luminaries. The viewing conditions must conform to ANSI PH2.30-1989; a viewing booth under controlled conditions with 5000 degrees Kelvin overhead luminaries with neutral gray surroundings.

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

**Notices:** All pages in the notice are gathered in numerical sequence. Notices are to be nested together with all faces forward. Fold from a flat size of 8-1/2 x 11” down to 8-1/2 x 5-1/2”, title out.

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

**Perforation:** For the affected workloads, the micro-perforated payment stub is part of the notice itself and is a full 8-1/2 x 11” leaf. The micro-perforation on the payment stub page shall be located approximately 3-1/2” up from the bottom of the page and run along the entire 8-1/2” dimension.

NOTE: The last leaf of approximately 2% of ROAR notices and 80% of RECOOP notices contain the micro-perforated payment stub. (For bilingual Spanish/English notices, the payment stub will be on the last leaf of the Spanish notice and also on the last leaf of the English notice.) However, the payment stub may not be on the same page for every notice due to ROAR and RECOOP notices having variable page counts. The contractor will be required to identify the payment stub page(s) (English/Spanish) requiring perforation.

**Form SSA-3105:** Trim four sides. Fold from a flat size of 10-1/2 x 8" down to 3-1/2 x 8" with two parallel wraparound folds, title out. Perforate (slit or slot, no ink) on the fold 7" from left edge. Perforation must allow for easy, clean separation.

**Pamphlets: (SSA Publication Numbers 05-10061 and 05-10961):** Saddle-wire stitch in two places and trim three sides. Each product must contain complete 4-page signatures after trimming. Single leaves connected with a lip (i.e., binding stub) to left or right side of stitches will not be allowed.

**Mail-out Envelopes:** Envelopes must be open side, with gummed fold-over flap for sealing and contain high-cut diagonal seams. Flap depth must meet USPS requirements and must be coated with a suitable glue that will securely seal the envelope without adhering to contents, not permit resealing of the envelope, and permit easy opening by the recipient.

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

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

**ROAR, RECOOP, and ECO BRM Refund Envelopes:** Envelopes must be open side, with gummed fold-over flap for sealing and contain high-cut diagonal seams or double side seams, at contractor's option. Flap depth must be 1-1/2" and must be coated with a suitable remoistenable glue that will securely seal the return envelope for mailing. Adhesive must not adhere to the contents of the envelope.

Face of envelope to contain one die-cut address window (1 x 3-1/2" in size) with slightly rounded corners. Window is to be located 7/8" from the bottom edge of the envelope and 3/4" from the right edge of the envelope. The address and barcode on the payment stub will appear in the envelope window. Contractor has the option to adjust the size of the window opening (subject to Government approval), providing the visibility of the computer generated mailing address and barcode on the payment stub is not obscured, and other extraneous information is not visible when the payment stub is inserted into the envelope.

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

***REACT BRM Refund Envelopes (without window):***

Envelopes must be open side, with gummed fold-over flap for sealing and contain high-cut diagonal seams or double side seams, at contractor's option. Flap depth must be 1-1/2" and must be coated with suitable remoistenable glue that will securely seal the return envelope for mailing. Adhesive must not adhere to the contents of the envelope.

***CRM Envelopes:***

Envelope must be open side, with gummed fold-over flap for sealing and contain high-cut diagonal seams or double side seams, at contractor's option. Flap depth must be 1-1/2" and must be coated with suitable remoistenable glue that will securely seal the return envelope for mailing. Adhesive must not adhere to the contents of the envelope.

**GATHERING/INSERTING:** Gather the appropriate number of leaves per notice (folded), and insert into mail-out envelope with recipient's name and address on first page facing out for visibility through window envelope. When required (as specified according to each notice workload), any combination of the following components shall be inserted behind the notice (when viewed from the window side of the envelope): Form SSA-3105, pamphlets, BRM refund envelope, and/or CRM envelope. In the case of bilingual Spanish/English notices, the recipient's name and address on the Spanish notice should be visible through the window envelope. NOTE: The bilingual Spanish/English notices must be nested together.)

It is the contractor's responsibility to assure that only the computer-generated address, field office code, and IMB barcode on the notice will be visible through the bottom window in the mail-out envelope and that only one notice is inserted into each envelope. It is also the contractor's responsibility to assure that only the SSA field office return address on the notice will be visible through the top window of the mail-out envelope. In the case of bilingual Spanish/English notices, the recipient's name and address on the Spanish notice should be visible through the bottom window of the mail-out envelope. (The Spanish notice will be in front with the English notice inserted behind the Spanish notice (when viewed from the window side of the envelope).)

Seal mail-out envelopes.

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

**NOTE:** A production inspection may be required at the contractor's facility before production begins on any new workload.

**DISTRIBUTION:** Mail f.o.b. contractor's each individual notice package. Contractor is responsible for all costs associated with transporting notice packages to the USPS.

***Domestic First-Class Letter-Size Mail:*** The contractor is required to prepare domestic First-Class letter-size mail and obtain the maximum postage discount allowed by USPS in accordance with appropriate USPS rules and regulations, including the USPS Domestic Mail Manual, and Postal Bulletins on Automation Compatible First-Class Domestic Mail (automated and non-automated) 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).

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.

**International Mail:** If the mailing meets the qualifications for International Priority Airmail (IPA), it should be processed through IPA in accordance with postal rules and regulations in effect for USPS IPA at the time of the mailing. To maximize postage savings, the contractor shall sort to the IPA Rate Group 1 through 15.

Pieces not qualifying for the IPA Rate Group Levels of discount shall be prepared at the Worldwide Non-presorted rate level and any remaining pieces that do not meet IPA qualifications will be sorted by individual country rules according to the USPS IMM in effect at the time of the mailing.

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.

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

**Coding Accuracy Support System (CASS) and National Change of Address (NCOA):** Addresses for this contract will come from SSA's Supplemental Security Record (except RECOOP). SSA will provide a certificate indicating that, within the last 180 days, the addresses have been matched against USPS certified Coding Accuracy Support System (CASS) certified ZIP Code software and USPS National Change of Address (NCOA) move update service for addresses from the MBR. New CASS and NCOA certificates will be provided to the contractor as required by the USPS Domestic Mail Manual.

**"ADDRESS SERVICE REQUESTED"** endorsement must appear on all mailing envelopes for the RECOOP Notices, in accordance with USPS for NCOA in a location approved by USPS.

**NOTE:** Contractor cannot, at any time change, the SSA supplied address prior to receipt by the USPS.

**Mailing Requirements for All Notices:** All versions mailed will have the "Postage and Fees Paid" First-Class Mail permit imprint G-11 mailing indicia. Permit imprint may be printed directly on mail pieces. Permit imprint mailings must contain at least 200 pieces or 50 pounds.

**Manifest Mailing:** The contractor is strongly encouraged to use manifest mail when postal regulations allow for this contract. The contractor must have a Manifest Mailing System (MMS) for First-Class Mail, which has been approved by the U.S. Postal Service to document postage charges for this mailing. Requirements for MMS are contained in USPS Publication 401, Guide to the Manifest Mailing System. Each mail piece must be identified either with a unique identification number or with a keyline containing a unique identification number and rate information about the piece.

The mail pieces being sent under Manifesting will have a printed "Postage and Fees Paid First-Class Mail" permit imprint mailing indicia. The contractor is cautioned to use the permit imprint only for mailing material produced under this contract. ***A copy of the USPS approval for the MMS must be presented at the postaward conference.***

Permit imprint may not be used if the mailing is less than 200 pieces. Instead, the mail must be metered and any permit imprint must be covered/concealed by a meter strip. All meter supplies must be borne by the contractor.

Intelligent Mail barcoding (IMB), 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.

**NOTE:** Each notice provided on this contract will transmit with an IMB and coded for the full service option. The contractor will be required to use the provided USPS Intelligent Mail Barcode, meet the 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.

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.

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 Barcode and the top and bottom edges of the window.

All letters in a mailing must pass the “tap” test in order to obtain the maximum postal discounts for the 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.

***Mailing Documentation:*** The contractor shall provide SSA with complete copies of all documents used by USPS to verify and accept the mail (e.g., computer records of presort ZIP+4, barcode breakdown, press runs, etc.) including USPS 3607R and/or GPO’s Form 712 (Certificate of Conformance) noted with file date and mailer number. The contractor shall place the number that is on top of the GPO Form 712 (the number that starts with "A") in the space provided on the USPS mailing statements. If no space is provided on the mailing statement, place the number in the upper right margin of the mailing statement. The contractor will use Federal Agency Code 276-00023 on all mailing documents.

Within three (3) workdays of completion of each print order the contractor shall provide PDF copies of all mailing documentation and 100% Accountability Summary reports to SSA, Printing Management Branch, Baltimore, MD (see Exhibit J) all copies must be legible and include required information to disseminate the file date and Mailer documentation is for.

Furnished material and USPS validated copies of postal documentation must be delivered (via overnight carrier or PDF copies via email) to the SSA, Printing Management Branch, Baltimore, MD (see Exhibit J).

Upon completion of this contract, the contractor must return all camera copy/PDF files made for each envelope, form, and pamphlets to Social Security Administration, Printing Management Team (see Exhibit J).

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 and verification of the accuracy of counts and files from the daily electronic task order. **If contractor should not receive the electronic task order, they must notify SSA's Printing Management Team immediately.**

For each option year exercised, the amount of time in the schedule will remain the same. The contractor must not deviate from the specified mailing schedule or the quantity to be mailed. In the event that the contractor is to deviate from the specified mail-out date or the quantity to be mailed, the SSA's PMT must be notified immediately.

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

Manuscript and/or camera copy must be returned with proofs.

Contractor to email PDF soft proofs of envelopes to email address specified on the print order. Contractor is required to follow up with a phone call to the requestor to confirm receipt.

**The first task order for actual production will transmit on the morning of November 3, 2015. Contractor will be notified in advance if this date should change.**

***TRANSMISSION SCHEDULE:***

- ROAR Runs – Early morning Tuesday through Saturday.
- REACT Runs - Early morning Tuesday through Saturday
- RECOOP Runs - Early morning Tuesday through Saturday
- GARNISHMENT Runs - Early morning Tuesday through Saturday Tax Levy - Tuesday through Saturday.
- TTW REMINDER Runs – first of the month
- TTW AWARD Runs – middle of the month
- ECO Runs – last Friday of the month

**PROOF SCHEDULE:**

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 to submit all proofs for envelopes and pamphlets within seven (7) workdays of receipt of furnished materials.
- Proofs will be withheld no more than five (5) workdays from their receipt at the ordering agency until they are made available for pickup. (NOTE: The first workday after receipt of proofs at the ordering agency is day one (1) of the hold time.)
- Contractor to submit revised proofs, if necessary due to author's alterations, within five (5) workdays of receipt of author's alterations.
- Revised proofs will be withheld no more than three (3) workdays from their receipt at the ordering agency until they are made available for pickup. (NOTE: The first workday after receipt of proofs at the ordering agency is day one (1) of the hold time.)

**PREPRODUCTION TEST SCHEDULES:** Contractor will be issued a print order for each of these tests.

***Prior to Production Validations and Tests:***

Contractor must complete validation prior to testing. Prior to receiving wire transmission of live production data files, the contractor will be required to perform the following tests:

***Daily/Monthly Wire Transmission Test:*** This test is to be performed within one (1) week after the bandwidth connection has been installed, the contractor will be required to perform the RRR, GARN, Tax Levy, Ticket to Work, and ECO Notice Wire Transmission Test.

- The contractor will be required to receive approximately 360,000 notices within one (1) workday.
- The contractor will be required to perform a Record Count Verification within one (1) workday of receipt of complete transmission of all notice test files and furnish the Government with the exact counts.
- The Government will provide verification within one (1) workday of receipt thereof.

***Preproduction Notice Validation Test:***

- Contractor to submit the required samples from test files within five (5) workdays of receipt of electronic test files.
- The Government will approve, conditionally approve, or disapprove within three (3) workdays of receipt thereof.

***Payment Stub Validation Test:*** This test is to be performed within 10 workdays of receipt of test files and prior to the Preproduction Press and Mail Run Test.

- The contractor to submit the required samples within 10 workdays of receipt of test files.
- The Government will approve, conditionally approve, or disapprove within five (5) workdays of receipt thereof.

***Preproduction Press and Mail Run Test (12-Hour Test):***

- The Daily/Monthly Notice 12-Hour Preproduction Press and Mail Run Test is to be performed within seven (7) workdays after the Wire Transmission Test has been successfully completed and the Wire Transmission Test samples have been approved by SSA.
- The contractor must produce a total of 180,475 notices in continuous 12-hour period.
- The Government will approve, conditionally approve, or disapprove within seven (7) workdays of receipt thereof.

NOTE: Contractor must notify the GPO of the date and time the preproduction press and mail run tests will be performed. In order for proper arrangements to be made, notification must be given at least five (5) workdays prior to the tests.

***Systems Change/Signature Change/New and Existing Notice Files Validation Test –***

- When required, contractor must submit required notice samples within three (3) workdays of receipt of test files.
- The Government will approve, conditionally approve, or disapprove within two (2) workdays of receipt thereof.

**PRODUCTION SCHEDULE:**

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

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

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

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

**NOTE:** Contractor should not proceed with processing a transmission until counts are verified against the task order. If a discrepancy is found, the contractor must call SSA’s Scheduling Helpline immediately at (410) 965-2580.

**Daily Production Schedule:** Daily files transmit each morning Tuesday through Saturday.

**Mailers 1 through 10:** Complete production and mailing must be made within five (5) workdays of receipt of each transmitted file (for example, transmissions received on Tuesday must be mailed by the close of business the following Tuesday; transmissions received on Saturday must be mailed by the close of business Friday).

**Monthly Production Schedule:**

**Mailers 11 through 13:** Complete production and mailing must be made within five (5) workdays of receipt of each transmitted file (for example, transmissions received on Monday must be mailed by the close of business the following Monday; transmissions received on Saturday must be mailed by the close of business).

**NOTE:** Transmission delays of 24 hours or more will not constitute a backlog. Premium Payments for Daily volume may be used if the next day’s transmission exceeds total daily maximums.

Contractor is encouraged to start mailing as soon as they are ready, which counts towards the delivery schedule as outlined above.

The contractor must notify the U.S. GPO of the date and time the production and press sheet inspections can be performed. In order for proper arrangements to be made, notification must be given at least 48 hours prior to the inspection. Notify the U.S. Government Publishing Office, Quality Control for Published Products, 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 of GPO Contract Terms (GPO Publication 310.2, effective December 1, 1987 (Rev. 6-01)). NOTE: 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

The ship/deliver date indicated on the print order is the date products ordered mailing f.o.b. contractor's city must be delivered to the USPS.

Unscheduled material such as shipping documents, receipts or instructions, delivery lists, labels, etc., will be furnished with each 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](mailto: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

The Government will determine the lowest bid by applying the prices offered in the "SCHEDULE OF PRICES" to the following units of production which are the estimated requirements to produce the one (1) year's production under this contract. These units do not constitute, nor are they to be construed as, a guarantee of the volume of work which may be ordered under this contract for a like period of time.

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

I. 13

II. 28

III. (a) 2  
(b) 32

IV. (a) 250  
(b) 17,096  
(c) 23  
(d) 592  
(e) 8,561  
(f) 3,769  
(g) 15  
(h) 57

V. (a) 17,096  
(b) 23  
(c) 296  
(d) 8,261  
(e) 300  
(f) 3,786  
(g) 55

VI. 8,561

VII. (a) 1  
(b) 1  
(c) 1

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**SECTION 4. - SCHEDULE OF PRICES**

Bids offered are f.o.b. contractor's city.

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

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

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

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

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

All 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.

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

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

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

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

**II. COMPOSITION AND PROOFS FOR ENVELOPES:** Prices offered must include the cost of all operations (including prior to production samples), if required, in accordance with the terms of these specifications for each of the 28 envelopes.

Composition and PDF soft proof of envelope .....per envelope .....\$ \_\_\_\_\_

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

**III. PROOF FOR FORMS AND PAMPHLETS:** Prices offered must include the cost of all materials and operations necessary for the complete production of the product listed in accordance with these specifications.

- (a) Form: Inkjet proof ..... per trim/page-size unit/per set of 3 .....\$ \_\_\_\_\_
- (b) Pamphlets: Inkjet proof ..... per trim/page-size unit/per set of 3 .....\$ \_\_\_\_\_

**IV. PRINTING/IMAGING AND BINDING/CONSTRUCTION:** Prices offered must include the cost of all materials and operations necessary for the printing/imaging and binding/construction of the product listed in accordance with these specifications.

- (a) \*Daily makeready/setup charge .....\$ \_\_\_\_\_

\*Contractor will be allowed only one (1) makeready/setup charge per workday. This combined charge shall include all materials and operations necessary to makeready and/or setup the contractor's equipment for the ten (10) mailers run each workday. Any invoice submitted with more than one makeready/setup charge per workday will be disallowed. NOTE: Workday is Monday through Friday and excludes all Federal Holidays.

- (b) Notices:  
Printing/imaging in black ink, including binding/construction ..... per 1,000 leaves .....\$ \_\_\_\_\_
- (c) Form SSA-3105:  
Printing in black ink, including binding/construction ..... per 1,000 forms .....\$ \_\_\_\_\_
- (d) Pamphlets:  
Printing in two ink colors, including binding/construction ..... per 1,000 pages .....\$ \_\_\_\_\_
- (e) Mail-out Envelopes:  
Printing in black ink, including binding/construction ..... per 1,000 envelopes .....\$ \_\_\_\_\_
- (f) BRM Window Refund Envelopes:  
Printing in black ink, including binding/construction ..... per 1,000 envelopes .....\$ \_\_\_\_\_
- (g) BRM Non-Window Refund Envelopes:  
Printing in black ink, including binding/construction ..... per 1,000 envelopes .....\$ \_\_\_\_\_
- (h) CRM Envelopes:  
Printing in black ink, including binding/construction ..... per 1,000 envelopes .....\$ \_\_\_\_\_

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

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

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

Notices: A charge will be allowed for each page-size leaf.

Form SSA-3105: A charge will be allowed for each page-size leaf.

Pamphlets: A charge will be allowed for each page-size leaf.

Envelopes: One page-size leaf will be allowed for each envelope.

Per 1,000 Leaves

- (a) Notices:  
White Offset Book (50-lb.), or at contractor's option, White Writing (20-lb.).....\$\_\_\_\_\_
- (b) Form SSA-3105:  
White Offset Book (50-lb.), or at contractor's option, White Writing (20-lb.).....\$\_\_\_\_\_
- (c) Pamphlets:  
White Offset Book (60-lb.) .....\$\_\_\_\_\_
- (d) Mail-out Envelopes:  
White Wove (24-lb.), or, at contractor's option, White Offset Book (60-lb.).....\$\_\_\_\_\_
- (e) ECO Mail-out Envelopes:  
Blue Wove (24-lb.), or at contractor's option, Blue Offset Book (60-lb.) .....\$\_\_\_\_\_
- (f) BRM/CRM Refund Envelopes (Window and Non-Window): Green stock (20-lb.) .....\$\_\_\_\_\_
- (g) CRM Reply Envelopes: White stock (20-lb.).....\$\_\_\_\_\_

**VI. GATHERING AND INSERTING:** Prices offered must include the cost of all required materials and operations necessary for the mailing of the notices including cost of gathering notice(s) (single or multiple leaves) in proper sequence, and inserting notice(s) and appropriate inserts as required into mail-out envelope, and, complete distribution, in accordance with these specifications.

Per 1,000 Mailers .....\$\_\_\_\_\_

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

**VII. PREPRODUCTION TESTS AND VALIDATION:** Price offered must include all costs incurred in performing the four (4) tests (Wire Transmission Test, Preproduction Notice Validation Test, Payment Stub Validation Test, and Preproduction Press and Mail Run Test) as specified in these specifications. These costs shall cover, but are not limited to, machine time, personnel, all required materials, wire transmissions or Virtual Private Network (VPN) films, plates, paper, printing, imaging, perforating, gathering, 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 Notice Validation Test ..... per test.....\$\_\_\_\_\_
- (c) Payment Stub Validation Test ..... per test.....\$\_\_\_\_\_

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

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

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

**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**  
**Contractor Personnel Security Certification**

**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**  
**Contractor Personnel Security Certification**

-----  
Contractor Employee

-----  
Date

**Exhibit A**  
**Contractor Personnel Security Certification**

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

**Exhibit B**  
**Security and Suitability Requirements**

**SECURITY and SUITABILITY REQUIREMENTS**

**Purpose:** To provide procedures for obtaining suitability determinations for contractor personnel who will be performing under the contract.

**Definition:** “*Performing under the contract*” is defined as either working on-site at an SSA facility (including visiting the SSA site for any reason) or having access to agency programmatic or sensitive information.

**Suitability Factors:** Suitability considerations include:

- Delinquency or misconduct in prior employment.
- Criminal, dishonest, infamous, or notoriously disgraceful conduct.
- The nature and seriousness of the conduct.
- When the conduct occurred.
- The applicant’s or employee’s age at the time of the conduct.
- The circumstances surrounding the conduct.
- Intentional false statement, deception, or fraud on application forms.
- Habitual use of intoxicating beverages to excess.
- Abuse of narcotics, drugs, or other controlled substances.
- Reasonable doubt as to the loyalty of the individual to the Government of the United States.
- The kind of position for which the person is applying or in which the person is employed.
- Contributing social and environmental conditions.
- The absence or presence of rehabilitation or efforts towards rehabilitation.

**Authorities:**

*Personnel* security requirements for programmatic and sensitive information are mandated by Executive Orders 10450 and 12968, and Title 5, Code of Federal Regulations (CFR), Parts 731, 732, and 736.

*Protective* security requirements mandated by the General Services Administration (GSA).

**Exhibit B**  
**Security and Suitability Requirements**

**Required Forms:**

Two (2) completed forms FD-258, "Fingerprint Charts\*," (The contractor will absorb the costs for obtaining fingerprints.)

One (1) completed SF-85P, "Questionnaire for Public Trust Positions,"

One (1) completed Optional Form 306, "Declaration for Federal Employment,"

**Note: For Federal and Federal Contract Employment**

One (1) completed "Fair Credit Reporting Act (FCRA) authorization form\*\*," and

For a non-U.S. citizen, one (1) legible photocopy of the work authorization permit and Social Security card.

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\* Preprinted with MD 900310Z, SOC SEC ADMIN, PROT SEC BR, BALTIMORE, MD on the form.

\*\* The FCRA, as amended on September 30, 1997, requires that the Government notify each applicant, employee, and contractor (in a document consisting solely of the notice) that a consumer report may be used for employment purposes. The applicant, employee, or contractor must authorize this use in writing before the Government obtains the consumer report. The FCRA also requires that, before taking adverse action relative to an employment decision based on a consumer report, the agency provide the consumer with a copy of the report, and a copy of the Federal Trade Commission's Consumer Rights Notice. To comply with these requirements, SSA requires that the contractor submit each applicant's or employee's signed FCRA authorization form along with the other investigative documents.

**Obtaining Forms:** The contracting officer will include a set of the forms with the signed contract.

The contractor may contact the Social Security Administration (SSA) Personnel Security Suitability Program Officer (SPO) on (410) 965-4548 for additional forms.

**Forms Completion:** The contractor must make sure that all forms are fully completed. This includes making sure that the fingerprint charts are printed legibly or typed in black ink and all signatures are in black ink.

**Forms Submission:** The contractor must submit the completed forms for each employee and replacement employee (including each subcontractor employee) who will be performing under the contract to the Personnel Security SPO. The Government will not permit contractor personnel to perform under the contract until the prescreening process is complete. See prescreening below.

Cover Letter:

The contractor must provide a *cover letter* listing:

The names of employees for whom completed forms are submitted;

The contract number; and

The contractor's contact name and telephone number.

**Exhibit B**  
**Security and Suitability Requirements**

Notes: (1) The prescreening process may take up to fifteen (15) days. (2) If contractor personnel will require access to an SSA facility, the contractor should contact the SSA project officer to obtain a copy of the access procedures. Also note that some facilities require access forms to be completed and approved after prescreening is completed but before access. The access process may take as many as seven (7) days (five (5) working days) at a Headquarter's facility. For access to a regional or field facility, contact the SSA project officer to determine how much time may be needed.

The Personnel Security SPO's address is:

Social Security Administration  
OPE Security and Suitability Staff  
Room 1260 Dunleavy  
6401 Security Boulevard  
Baltimore, Maryland 21235

Phone: (410) 965-4548

Note: The SSA Project Officer (PO) needs to know for whom and when the completed forms are submitted. To accomplish this, when submitting the forms for processing, the contractor must send a copy of the cover letter or e-mail this information to the PO.

**Waiver:**

For contractor employees performing services on-site at an SSA facility up to one (1) day *and* where access to programmatic or sensitive information is not required, the contractor may request that the Personnel Security SPO waive submission of the FD-258s and the Credit Authorization form.

If the SPO authorizes a waiver, it will apply only to the one (1) day for which the contractor requested it.

If an individual subsequently performs or is expected to perform additional work, the SPO will not approve another waiver. The contractor must therefore submit the FD-258s and Credit Authorization form.

**Prescreening:**

The Personnel Security SPO will use the information from the completed forms as part of the basis for making a prescreening determination. The Personnel Security SPO will notify the contractor whether a prospective employee may or may perform under the contract pending a final suitability determination. Concurrently, the Personnel Security SPO will send a copy of the notification to the contracting officer and project officer.

Timeframe for Prescreening

The contractor should anticipate that the Personnel Security SPO will issue the notification within fifteen (15) days after receipt of the properly completed forms.

Final Suitability Determination

The Personnel Security SPO makes the final suitability determination for each contractor employee.

**Exhibit B**  
**Security and Suitability Requirements**

Note: The contractor may expect a final suitability determination to be received approximately 45 days after submittal of the completed forms.

**Unsuitable Employees:**

If the Government determines that a contractor employee or applicant is unsuitable, the Personnel Security SPO will advise the contractor in writing that such employee may not continue to perform or begin performing under the contract. Concurrently, the Personnel Security SPO will send a copy of the notification to the CO and PO.

When the contractor receives the notification, the contractor must *immediately* remove the employee from performing under the contract. The contractor must confirm, in writing to the SPO, the date of the employee's removal.

Concurrently, the SPO will advise the PO and CO that he has notified the contractor that the proposed contractor personnel have been determined unsuitable/unfit to perform on the contract and must be replaced. The letter will also request that a replacement(s) be named and the appropriate security forms completed as quickly as possible in order that contract performance will not be adversely impacted. The SPO's letter will also advise the contractor to contact the CO if there are any contract performance problems related to the removal.

Neither the denial resulting from the prescreening nor the removal of an individual determined unsuitable gives rise to an equitable adjustment under the contract.

**Contractor Notification to Government:**

In the event that contractor personnel performing on this contract either leave the company or are removed from the project, or are arrested or charged with a crime during the term of this contract, the contractor shall notify the Personnel Security SPO immediately. In the notification, the contractor must provide the contractor personnel name(s), SSN, the type of charge(s), the court date, and, if available, the disposition of the charge(s).

**Government Control:**

The Government has full control over granting, denying, or withholding access to SSA facilities and for requiring the contractor to remove personnel from performing under the contract.

Following a successful prescreening, the Government will usually permit contractor personnel to work on the contract pending a final suitability determination.

Permitting a contractor employee to work does not assure that a favorable final suitability determination will follow. This permission to work or issuance of a favorable final suitability determination does not prevent, preclude, or bar the Government from withdrawing or terminating any such permission or suitability determination.

# Exhibit C

## Questionnaire for Public Trust Positions

Exhibit C

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

Form approved:  
OMB No. 3208-0191  
NSN 7540-01-317-7372  
85-1802

## 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.**

# Exhibit C Questionnaire for Public Trust Positions

### Final Determination on Your Eligibility

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

### Penalties for Inaccurate or False Statements

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

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

### Disclosure of Information

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

### PRIVACY ACT ROUTINE USES

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

### STATE CODES (ABBREVIATIONS)

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

### PUBLIC BURDEN INFORMATION

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

# Exhibit C

## Questionnaire for Public Trust Positions

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. 3208-0191  
NSN 7540-01-317-7372  
85-1602

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

**Agency Use Only (Complete items A through P using instructions provided by USOPM)**

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

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

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

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

**5 OTHER NAMES USED**

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

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

<b>7 TELEPHONE NUMBERS</b>	<b>8 CITIZENSHIP</b>
Work (include Area Code and extension)	Home (include Area Code)
Day Night ( )	Day Night ( )

<b>a</b> Mark the box at the right that reflects your current citizenship status, and follow its instructions.	<b>b</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. <b>Answer items b and d.</b>	
<input type="checkbox"/> I am a U.S. citizen, but I was NOT born in the U.S. <b>Answer items b, c and d.</b>	
<input type="checkbox"/> I am not a U.S. citizen. <b>Answer items b and e.</b>	

**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
-------	------	-------	--------------------	-----------------------

**Citizenship Certificate (Where was the certificate issued?)**

City	State	Certificate Number	Month/Day/Year Issued
------	-------	--------------------	-----------------------

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
----------------	-------------

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.	Alien Registration Number	Country(ies) of Citizenship
			Month Day Year		

# Exhibit C Questionnaire for Public Trust Positions

**9 WHERE YOU HAVE LIVED**

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

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

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

**10 WHERE YOU WENT TO SCHOOL**

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

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

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

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

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

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

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

# Exhibit C Questionnaire for Public Trust Positions

**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)     |
| 2 - National Guard/Reserve        | 6 - Self-employment (Include business and/or name of person who can verify) | 8 - Federal Contractor (List Contractor, not Federal agency) |
| 3 - U.S.P.H.S. Commissioned Corps |   | 9 - Other  |
| 4 - Other Federal employment      |   |  |

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

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

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

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

## Exhibit C Questionnaire for Public Trust Positions

**YOUR EMPLOYMENT ACTIVITIES (CONTINUED)**

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

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

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 Questionnaire for Public Trust Positions

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

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

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

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

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

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

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

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

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

Registration Number \_\_\_\_\_ Legal Exemption Explanation \_\_\_\_\_

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

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

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

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

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

<b>19 FOREIGN COUNTRIES YOU HAVE VISITED</b>	Yes	No
--	-----	----

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

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

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

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

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

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

## Exhibit C Questionnaire for Public Trust Positions

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

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

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

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

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

**UNITED STATES OF AMERICA**

**AUTHORIZATION FOR RELEASE OF INFORMATION**

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

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

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

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

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

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

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

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

**Exhibit C**  
**Questionnaire for Public Trust Positions**

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> ) (     )



**Exhibit E**  
**Declaration for Federal Employment**

Exhibit E  
**Declaration for Federal Employment**

Form Approved  
OMB No. 3206-0182

**Instructions**

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

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

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

**Privacy Act Statement**

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

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

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

**Public Burden Statement**

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

**Exhibit E**  
**Declaration for Federal Employment**

**Declaration for Federal Employment**

Form Approved  
OMB No. 3208-0182

**GENERAL INFORMATION**

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

**Selective Service Registration**

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

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

**Military Service**

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

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

**Background Information**

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

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

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

Exhibit E  
Declaration for Federal Employment

Declaration for Federal Employment

Form Approved:  
OMB No. 3206-0182

**Additional Questions**

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

**Continuation Space / Agency Optional Questions**

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

**Certifications / Additional Questions**

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

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

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

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

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

<b>Appointing Officer:</b> Enter Date of Appointment or Conversion MM / DD / YYYY
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18. **Appointee (Only respond if you have been employed by the Federal Government before):** Your elections of life insurance during previous Federal employment may affect your eligibility for life insurance during your new appointment. These questions are asked to help your personnel office make a correct determination.

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

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

YES  NO  Do Not Know

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

YES  NO  Do Not Know

**Exhibit F**  
**Federal Investigations Notice**  
**Letter No. 98-02**  
**Date: March 6, 1998**

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

Most notably, **Section 1681b** of title 15 addresses permissible purposes for which consumer reports may be furnished and conditions for furnishing and using consumer reports for employment purposes. If an 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

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

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SAMPLE RELEASE  
Fair Credit Reporting Act of 1970, as amended

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

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

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

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

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

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

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

## Exhibit F Fair Credit 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.

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

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

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

## Exhibit F Fair Credit 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

## Exhibit G

### SYSTEM PLAN

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

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

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

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

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

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

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

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

**100% Accountability and Summary Reports**

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

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

Example:

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

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

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

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

## Exhibit I

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

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

NOTE: There is one record for each mail packet.

## Exhibit J

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