

U.S. GOVERNMENT PUBLISHING OFFICE
Washington, DC

GENERAL TERMS, CONDITIONS, AND SPECIFICATIONS

For the Procurement of

MEDICARE (Part D Subsidy) NOTICES

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 beginning Date of Award and ending August 31, 2023, plus up to four (4) optional 12-month extension periods that may be added in accordance with the “OPTION TO EXTEND THE TERM OF THE CONTRACT” clause in SECTION 1 of this contract.

NOTE: Contractor interfacing with SSA’s National File Transfer Management System (FTMS) for electronic transmission of files from SSA to the production facility will take place after award (or from completion date of transmission connectivity) through December 31, 2022 for transmission of test files; actual production begins January 1, 2023. (Orders for bulk material will be available from Date of Award).

BID OPENING: Bids shall be publicly opened at 11:00 a.m., prevailing Washington, DC time, August 12, 2022 at the U.S. Government Publishing Office, APSDC. Due to the COVID-19 pandemic, this will NOT be a public bid opening.

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

RESTRICTION ON LOCATION OF PRODUCTION FACILITIES: Due to the security requirements set forth in these specifications, this program must be produced in the United States.

BIDDERS, PLEASE NOTE: *This program was formerly Program 212-S.* These specifications have been extensively revised; therefore, all bidders are cautioned to familiarize themselves with all provisions of these specifications before bidding with particular attention to the following:

- 100% ACCOUNTABILITY OF PRODUCTION AND MAILING
- SECURITY REQUIREMENTS

Abstracts of contract prices for Program 212-S are available at <https://www.gpo.gov/how-to-work-with-us/vendors/contract-pricing>.

For information of a technical nature, contact Starr Thompson at sthompson@gpo.gov or (202) 512-0307.

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. 01-18)) and GPO Contract Terms, Quality Assurance through Attributes Program for Printing and Binding (GPO Publication 310.1, effective May 1979 (Rev. 09-19)).

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

GPO QATAP (GPO Publication 310.1) – <https://www.gpo.gov/docs/default-source/forms-and-standards-files-for-vendors/qatap-rev-09-19.pdf>.

PREDOMINANT PRODUCTION FUNCTIONS: The predominant production functions are the printing of notices, the laser printing only of data for the notices from electronically transmitted files (inkjet is not allowed), folding, inserting, and disposal of waste materials. Any bidder who cannot perform the predominant production functions of this contract will be declared non-responsible. Additionally, the contractor may subcontract the printing and manufacturing of the envelopes.

The contractor is responsible for enforcing all contract requirements outsourced to a subcontractor.

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

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

Product Quality Levels:

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

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

- (a) Non-destructive Tests - General Inspection Level I.
- (b) Destructive Tests - Special Inspection Level S-2.
- (c) Transparent, low-gloss, poly-type window material, covering the envelope window, must pass a readability test with a rejection rate of less than 1/4% when run through a U.S. Postal Service (USPS) OCR scanner.
- (d) Exception: ANSIX3.17 “Character Set for Optical Character Recognition (OCR-A)” shall apply to these specifications. The revisions of this standard are effective as of the date of this contract are those which shall apply.
- (e) Exception: The PDF417 2-D barcodes must be in accordance with the requirements of ANSI MH 10.8.3M unless otherwise specified.

NOTE: ANSI Standards may be obtained from the American National Standards Institute, 25 West 43rd Street, 4th 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. O.K. Press Samples; O.K. Proofs; Average Type Dimension; Electronic Media; Camera Copy; Manuscript Copy.

P-9. Pantone Matching System.

NOTE: The scannable forms produced under these specifications must be guaranteed to function properly when processed through the high-speed scanner equipment at SSA. SSA will be using Top Image Systems scanning software to process the images and OCR engines to do the OCR/ICR recognition. The 2-D barcodes will be read during scanning by proprietary software from the scanner manufacturer.

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 be considered to include this clause, except, the total duration of the contract may not exceed five (5) years as a result of, and including, any extension(s) added under this clause. Further extension may be negotiated under the “EXTENSION OF CONTRACT TERM” clause. See also “ECONOMIC PRICE ADJUSTMENT” for authorized pricing adjustment(s).

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

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

For the purpose of this clause, performance under this contract will be divided into successive periods. The first period will extend from Date of Award to August 31, 2023 and the second and any succeeding period(s) will extend for 12 months from the end of the last preceding period, except that the length of the final period may vary. The first day of the second and any succeeding period(s) will be the effective date of the economic price adjustment for that period.

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

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

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

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

When the contractor employees are made aware of this information, they will be required to sign the SSA-301, “Contractor Personnel Security Certification.” (See Exhibit A.)

A copy of this signed certification must be forwarded to: Social Security Administration, Attn: Jamey Mays, DMIM, 3-B-10-F Annex Building, 6401 Security Boulevard, Baltimore, MD 21235-6401, or emailed to: Jamey.mays@ssa.gov. A copy must also be forwarded to: U.S. Government Publishing Office, 732 North Capitol Street, NW, CSAPS, APS DC, Attn: Contracting Officer, Room C-838, Washington, DC 20401 (email address to be provided after award). (See paragraph (f) below regarding the minimum standards that the safeguards must meet.)

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

- (g) If the contractor, in the performance of the contract, uses any information subject to the Privacy Act of 1974, 5 U.S.C. 552a, and/or section 1106 of the Social Security Act, 42 U.S.C. 1306, the contractor must follow the rules and procedures governing proper use and disclosure set forth in the Privacy Act, section 1106 of the Social Security Act, and the Commissioner's regulations at 20 C.F.R. Part 401 with respect to that information.
- (h) For knowingly disclosing information in violation of the Privacy Act, the contractor and contractor employees may be subject to the criminal penalties as set forth in 5 U.S.C. Section 552(i)(1) to the same extent as employees of SSA. For knowingly disclosing confidential information as described in section 1106 of the Social Security Act (42 U.S.C. 1306), the contractor and contractor employees may be subject to the criminal penalties as set forth in that provision.
- (i) The contractor shall assure that each contractor employee with access to confidential information is made aware of the prescribed rules of conduct, and the criminal penalties for violations of the Privacy Act and/or the Social Security Act.
- (j) Whenever the contractor is uncertain how to handle properly any material under the contract, the contractor must obtain written instructions from the Contracting Officer addressing this question. If the material in question is subject to the Privacy Act and/or section 1106 of the Social Security Act or is otherwise confidential information subject to the provisions of this clause, the contractor must obtain a written determination from the Contracting Officer prior to any release, disclosure, dissemination, or publication. Contracting Officer instructions and determinations will reflect the result of internal coordination with appropriate program and legal officials.
- (k) Performance of this contract may involve access to tax return information as defined in 26 U.S.C. Section 6103(b) of the Internal Revenue Code (IRC). All such information shall be confidential and may not be disclosed without the written permission of the SSA Contracting Officer. For willfully disclosing confidential tax return information in violation of the IRC, the contractor and contractor employees may be subject to the criminal penalties set forth in 26 U.S.C. Section 7213.
- (l) The Government reserves the right to conduct on-site visits to review the contractor's documentation and in-house procedures for protection of and security arrangements for confidential information and adherence to the terms of this clause.
- (m) The contractor must include this clause in all resulting subcontracts whenever there is any indication that the subcontractor(s), engaged by the contractor, and their employees or successor subcontractor(s) and their employees might have access to SSA's confidential information.
- (n) The contractor must assure that its subcontractor(s) and their employees or any successor subcontractor(s) and their employees with access to SSA confidential information are made aware of the prescribed rules of conduct. For knowingly disclosing SSA's confidential information, any subcontractor(s) and their employees or successor subcontractor(s) and their employees may be subject to criminal penalties as described in section 1106 of the Social Security Act (42 U.S.C. 1306) and the Privacy Act (5 U.S.C. 552a).

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

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

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

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

- b. Upon request from the SSA Contracting Officer Technical Representative (COTR), the ESP shall provide access to the hosting facility to the U.S. Government or authorized agents for inspection and facilitate an on-site security risk and vulnerability assessment.
- c. The solution must meet Federal Information Processing Standards (FIPS) and guidance developed by the National Institute of Science and Technology (NIST) under its authority provided by the Federal Information Security Modernization Act (FISMA) to develop security standards for federal information processing systems, and Office of Management and Budget's (OMB) Circular A-130 Appendix III.
- d. ESPs classified as Cloud Service Providers (CSP) must be FedRAMP authorized. Further information may be found at: <http://www.gsa.gov/portal/category/102371>. As part of these requirements, CSPs must have a security control assessment performed by a Third Party Assessment Organization (3PAO).
- e. The ESP shall submit to the SSA COTR documentation describing how the solution implements security controls in accordance with the designated categorization (FIPS 199) and the Minimum Security Requirements for Federal Information and Information Systems (FIPS 200) which requires the use of NIST SP 800-53 Rev 4 before SSA provides data.
- f. All ESPs that process or store Personally Identifiable Information (PII) are considered a Moderate impact categorization. If PII or sensitive data (defined by the COTR) is stored or processed by the ESP, then the ESP shall provide a Security Assessment Package (SAP) created by an independent assessor. The SAP should include a System Security Plan (SSP), Security Assessment Report (SAR), Risk Assessment Report (RAR), and Plan of Action & Milestone Report (POA&M). The SAP must be reviewed by SSA before the SSA transfers data to the ESP. Refer to NIST SP 800-37 for more information on the Security Authorization Package.

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

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

- g. SSA will consider a self-assessment of security controls for solutions that do not involve sensitive information or PII.

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

References - Refer to most up to date revision:

- Federal Information Security Modernization Act (P.L. 113-283), December 2014.
<https://www.govinfo.gov/app/details/PLAW-113publ283>
- Clinger-Cohen Act of 1996 also known as the "Information Technology Management Reform Act of 1996."

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

and

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

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

- FIPS PUB 199, National Institute of Standards and Technology Federal Information Processing Standards Publication 199, Standards for Security Categorization of Federal Information and Information Systems, February 2004.
<https://doi.org/10.6028/NIST.FIPS.199>
- FIPS PUB 200, National Institute of Standards and Technology Federal Information Processing Standards Publication 200, Minimum Security Requirements for Federal Information and Information Systems, March 2006.
<https://doi.org/10.6028/NIST.FIPS.200>
- FIPS 140-3 Security Requirements for Cryptographic Modules, March 22, 2019.
<https://csrc.nist.gov/publications/detail/fips/140/3/final>
- NIST Special Publication 800-18, Guide for Developing Security Plans for Federal Information Systems, February 2006.
<https://doi.org/10.6028/NIST.SP.800-18r1>
- NIST SP 800-30, Guide for Conducting Risk Assessments, September 2012.
<https://doi.org/10.6028/NIST.SP.800-30r1>
- ITL Bulletin Contingency Planning for Information Systems NIST Special Publication (SP) 800-34, Rev. 1.
<https://csrc.nist.gov/CSRC/media/Publications/Shared/documents/itl-bulletin/itlbul2010-07.pdf>
- NIST SP 800-37 Revision 2, Risk Management Framework for Information Systems and Organizations - A System Life Cycle Approach for Security and Privacy, December 2018.
<https://csrc.nist.gov/publications/detail/sp/800-37/rev-2/final>
- NIST SP 800-47, National Institute of Standards and Technology Special Publication 800-47, Security Guide for Interconnecting Information Technology Systems, August 2002.
<https://csrc.nist.gov/publications/detail/sp/800-47/final>
- NIST SP 800-53 Revision 4, Security and Privacy Controls for Federal Information Systems and Organizations, April 2013.
<https://csrc.nist.gov/publications/detail/sp/800-53/rev-4/final>

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

and

NIST SP 800-60 Volume 2 Revision 1, Guide for Mapping Types of Information and Information Systems to Security Categories: Appendices, August 2008.
<https://csrc.nist.gov/publications/detail/sp/800-60/vol-2-rev-1/final>

- [OMB M-17-12, Preparing for and Responding to a Breach of Personally Identifiable Information.](#)

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

Templates for Required Security Documents:

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

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

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

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

NOTE: These requirements apply to all contractor’s facilities used for production of the products.

All employees working on this contract must:

- Be familiar with current information on security, privacy, and confidentiality as they relate to the requirements of this contract.

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

Contractor's managers working on this contract must:

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

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

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

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

- Leaving an unprotected computer containing Government information in a non-secure space (e.g., leaving the computer unattended in a public place, in an unlocked room, or in an unlocked vehicle).
- Leaving an unattended file containing Government information in a non-secure area (e.g., leaving the file in a break-room or on an employee's desk).
- Storing electronic files containing Government information on a computer or access device (flash drive, 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 GPO and/or SSA.

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

(a) *Definitions.*

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

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

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

Some common examples of a breach include:

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

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

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

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

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

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

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

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

“Transport(ing)” or “transported” means the physical taking or carrying of PII from one location to another. For the purpose of this clause, the term does not include shipping by a common or contract carrier (as defined in Federal Acquisition Regulation (FAR) section 47.001), shipping by the U.S. Post Office, or electronic transmission. See “FILE TRANSFER MANAGEMENT SYSTEM (FTMS) REQUIREMENTS” specified herein for information regarding electronic transmission. SSA will review and approve the Material Handling and Inventory Control plans (see “PREAWARD PRODUCTION PLANS, *Materials Handling and Inventory Control*”). The plans shall describe in detail how the contractor will transport PII.

(b) *Responsibility for Safeguarding PII.*

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

- (5) The contractor shall inform its employees who will or may handle PII of their individual responsibility to safeguard it. In addition, the contractor shall educate and train employees as required by FAR 24.301 and enforce employees' compliance with the contractor's PII policies and procedures and other requirements relating to handling of PII in this contract. SSA may require the contractor to provide evidence of the performance of training and the content of the training.
- (6) Additional policies, procedures, and requirements involving the handling of PII may be prescribed elsewhere in this contract, including but not limited to information security policies. The contractor shall follow all such policies, procedures, and requirements. If contract performance calls for the contractor handling of PII in a manner not addressed in this clause or elsewhere in the contract that may cause a security question or concern, the contractor shall seek clarification and direction from the agency, prior to commencing the handling of PII in question.

(c) *Safeguarding Requirements.*

- (1) The contractor is responsible for safeguarding PII at all times. The contractor shall ensure that PII remains under the immediate supervision and control of authorized employees in a manner that will protect the confidentiality and integrity of PII. Examples of proper safeguarding include, but are not limited to: maintaining the confidentiality of each employee's individual password (by not sharing the password with any other individual or entity and not writing it down); verifying the identity of individuals before disclosing information to them; preventing others in the area from viewing PII on one's computer screen; consistently locking or logging off one's workstation when one is away; and ensuring that PII is appropriately returned or, upon receiving the agency's approval, destroyed when no longer needed. The contractor may use its internal policies and practices, non-disclosure agreements, system security requirements or any other means to accomplish its safeguarding responsibilities.
- (2) **Transporting PII Outside a Secure Area/Secure Duty Station.**
 - (i) The contractor shall safeguard equipment, files, or documents containing PII when transporting information from a secure area/secure duty station. The contractor shall ensure that the laptops and other electronic devices/media being used to transport PII are encrypted and password protected. The contractor shall ensure that the encryption and password protection are in accordance with any agency-prescribed standards or policies, which shall be communicated separately from this clause. The contractor shall use reasonable protection measures when transporting PII, e.g., storing files in a locked briefcase, not leaving files and/or equipment in plain view.
 - (ii) The contractor shall ensure that its PII policies and procedures address transporting PII outside a secure area and emailing PII to and from non-SSA email addresses. The contractor shall provide employees, upon or immediately prior to their commencing work on the contract, with contact information and instructions relating to PII breaches and incidents, based on the contractor's security/PII loss incident policy and procedures. (If the preceding requirement is introduced to the contract under a contract modification, the contractor shall ensure employees are provided this information and instructions within 10 working days of the modification.) The contractor shall periodically remind employees of the foregoing information and instructions per the regular training requirements at (d)(1) below. (NOTE: Agency-prescribed contact information and instructions for reporting lost or possibly lost PII are discussed in paragraph (d) below.) SSA may require that the contractor present evidence of compliance with these provisions.

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

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

- (1) first and last name of the employee taking/returning the material;
- (2) the identification of the PII-containing material, such as the name of the file(s) or document(s) containing PII;
- (3) the media used to transport the PII (e.g., electronic, such as laptop, portable drive, compact disc/digital versatile disc (CD/DVD), or email—be as specific as possible; paper, such as paper file folders or printouts);
- (4) the reason he/she intends to transport the PII-containing material;
- (5) the date he/she transported the PII-containing material from the secure area/secure duty station;
- (6) the date the PII-containing material is due to be returned to the secure area/duty station. See subparagraph (c)(2)(iii)(B) immediately below.
- (7) the approver's name and phone number.
- (8) the actual return date of the PII-containing material.

(B) Materials shall be returned or, when authorized by paragraph (c)(3), documented as destroyed, within 90 calendar days of removal from the office or have contractor supervisory approval for being held longer.

(C) The log shall be maintained in a secure manner. Upon request by the agency, the contractor shall provide the information from the log in a format (e.g., electronic or paper) that can be readily accessed by the agency. The contractor shall retain the log in accordance with General Records [Schedule 4.2, Information Access and Protection Records](#), Item 40 (disposition authority DAA-GRS-2016-0002-0004). (See Exhibit F.)

(D) SSA may relieve the contractor of having to comply with these logging requirements for certain transmissions when the contractor is engaged in routine and secure transmission of PII, and SSA determines that there are appropriate security controls in place to track the data through other means.

(3) *Return and/or Disposal of PII.* The contractor shall return and/or dispose of the PII when the PII is no longer required for performance of this contract, e.g., upon contract completion, per agency direction and requirements. The marked statement(s) below apply to this contract:

- [x] (i) This contract entails the return of PII.
- [x] (ii) This contract entails the disposal of PII. The contractor shall follow the procedures described in “Disposal of Waste Materials” (see “PREAWARD PRODUCTION PLANS, *Disposal of Waste Materials*”).

(4) *Emailing PII.* The contractor’s corporate or organizational email system is deemed not to be secure. Therefore, the contractor shall put policies and procedures in place to ensure that its employees email PII using only the following procedures in (i) and (ii), below:

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

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

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

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

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

(3) *Procedures.*

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

(F) Whether the contractor or its employee has filed any other reports (i.e., Federal Protective Service, local police, and agency reports); and

(G) Any other pertinent information.

(iv) The contractor may use the worksheet following this clause to gather and organize information quickly about the incident. The contractor shall ensure that each employee with access to PII under the contract, prior to accessing the PII, has a copy of the worksheet with its instructions (see agency-specific clause 2352.224-2B (Exhibit G)), and particularly when transporting PII from a secure duty station.

(v) There may be rare instances (e.g., outside of business hours) when the contractor is unable to reach either the primary agency contact or the alternate immediately. In such a situation, the contractor shall immediately call the agency's National Network Service Center (NNSC) toll-free at 1-877-697-4889 to file the initial report directly, providing the information in (d)(3)(iii) above and as requested by the NNSC (again, the worksheet in agency-specific clause 2352.224-2B (Exhibit G) may be used to collect and organize the information prior to (and/or during) the call). Overall, during this time, the contractor shall cooperate as necessary with the NNSC or any of the other external organizations described in (d)(3)(iii) above.

(vi) If the contractor makes a direct report to the NNSC, the contractor shall document the call with the Change, Asset, and Problem Reporting System (CAPRS) number, which the NNSC will assign. The contractor shall provide the CAPRS number to the primary agency contact, or, if unavailable, his/her alternate.

(vii) Subparagraphs (v) through (vi) apply to all contractor employees. The contractor shall ensure its internal procedures and PII breach/incident training make clear to employees these responsibilities. Reports to the NNSC should not be delayed because an employee could not reach the contractor's management.

(viii) The contractor and its employee(s) shall limit disclosures about PII involved in a breach or incident to only those SSA and contractor employee(s) with a need for the information in order to respond to and take action to prevent, minimize, or remedy the breach or incident. The contractor may disclose breach or incident information to Federal, state, or local law enforcement agencies and other third parties with a need for the information; however, information about the specific PII involved may only be disclosed to such authorities and third parties as Federal law permits. The contractor shall not, without SSA approval, publicly disclose information about PII involved in a breach or incident or SSA's involvement in a breach or incident. The contractor shall not, without SSA approval, notify individuals affected by the PII breach or incident. The contractor's PII breach and incident reporting process shall ensure that disclosures are made consistent with these requirements. As used in this paragraph, the term PII references only PII covered by this clause.

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

(1) The contractor shall have a formal security/PII breach or incident reporting process in place that outlines appropriate roles and responsibilities, as well as the steps that must be taken, in the event of a security/PII breach or incident. The plan shall designate who within the contractor's organization has responsibility for reporting the PII breach or incident to the agency.

(2) In the event of a PII breach or incident, the contractor shall take immediate steps to address consequential security issues that have been identified, including steps to minimize further security risks to those individuals whose personal information was lost, compromised, or potentially compromised.

- (3) The contractor shall confer with SSA personnel in reviewing the actions the contractor has taken and plans to take in dealing with the breach or incident. Additionally, the contractor shall provide any documentation requested by SSA.
- (4) The contractor shall bear the cost for any data breach or incident: (1) occurring outside of SSA-controlled facilities, systems, or environments when the affected PII was in the possession or control of the contractor or its employees, agents, or representatives; or (2) resulting from the contractor or its employees, agents, or representatives' failure to properly safeguard PII or facilities, systems, or other environments containing PII in accordance with this contract's requirements. In addition, as SSA requires, the contractor shall be responsible for or shall assist SSA in taking preventative and remedial actions that SSA determines are necessary to address such a breach or incident. Preventative and remedial actions may include notification to individuals potentially affected by the breach and other countermeasures to mitigate the risk of harm or to protect PII (e.g., operating call centers and providing resources for potentially affected individuals). SSA will notify the contractor when SSA determines that preventative or remedial action(s) are necessary and instruct the contractor on whether the action(s) will be effectuated by the contractor or SSA. SSA may choose to effectuate the action(s) at the agency's discretion. The contractor shall be responsible for the cost of all preventative or remedial action(s), including those actions effectuated by SSA, resulting from the breaches and incidents covered by this paragraph. Note: Nothing in this paragraph affects the contractor's obligations in paragraph (e)(2) above to take immediate steps to address identified security issues.

(f) *Subcontractor(s)*.

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

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

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

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

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

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

"Access to a facility, site, system, or information" means physical access to any Social Security Administration (SSA) facility or site, logical access to any SSA information system, or access to programmatic or sensitive information.

"CO" means Contracting Officer.

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

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

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

"CSPS" means Center for Suitability and Personnel Security.

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

"PIV" means Personal Identity Verification.

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

(b) Purpose

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

(c) PIV Credentials

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

(d) Authorities

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

(e) Suitability Process

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

(1) Suitability Document Submission

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

(2) e-QIP Application

- a. Once SSA receives all completed documents, listed in (a)(1), the Center for Suitability and Personnel Security (CSPS) will initiate the e-QIP process using the e-QIP applicant listing. CSPS will email the e-QIP notification to the CPOC and COR inviting vendor personnel to the e-QIP website to electronically complete the background investigation form (Standard Form (SF) 85P, Questionnaire for Public Trust Positions). (See Exhibit K.)
- b. Vendor personnel will have up to 10 business days to complete the e-QIP application. The 10-day timeframe begins the day CSPS sends the invitation to the CPOC and COR. Vendor personnel must electronically sign the signature pages before releasing the application in e-QIP. Signature pages include the Certification, Release, and Medical Release pages for the SF 85P. Find information about the e-QIP process in the e-QIP Quick Reference Guide for e-QIP Applicants at <https://nbib.opm.gov/e-qip-background-investigations/>.
- c. [If vendor personnel need assistance with e-QIP logon and navigation, they can call the e-QIP Hotline at 1-844-874-9940.](#)

(3) Fingerprinting

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

- c. If the vendor needs to mail completed FD 258 fingerprint cards, the vendor can send them, via certified mail, along with a completed Vendor Personnel Suitability Cover Sheet to: Social Security Administration Center for Suitability and Personnel Security, Attn: Suitability Program Officer, 6401 Security Boulevard, 2246 Annex Building, Baltimore, MD 21235.

(4) Status Check

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

(f) Suitability Determination

- (1) CSPS uses a Federal Bureau of Investigation fingerprint check as part of the basis for making a suitability determination.

This determination is final unless information obtained during the remainder of the full background investigation, conducted by the Office of Personnel Management, is such that SSA would find the vendor personnel unsuitable to continue performing under this contract. CSPS will notify the CPOC and the COR of the results of these determinations.

- (2) SSA will not allow vendor personnel access to a facility, site, information, or system until CSPS issues a favorable suitability determination. A suitability determination letter issued by CSPS is valid only for performance on the vendor specified in the letter.
- (3) If personnel have been cleared at a previous contractor's facility and are to perform work under a new vendor, the CPOC must submit a fully completed, legible [Contractor Personnel Rollover Request Form](#) to the COR. (See Exhibit M.) CSPS will notify the CPOC, COR, and Contracting Officer (CO) of suitability to work under the new vendor.

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

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

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

(i) Unsuitable Determinations

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

dchr.ope.suitclarify@ssa.gov

OR

Social Security Administration; Center for Suitability and Personnel Security, Attn: Suitability Program Officer, 6401 Security Boulevard, 2246 Annex Building, Baltimore, MD 21235

(j) Vendor Notification to Government

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

The vendor must provide in the notification as much detail as possible, including, but not limited to: name(s) of vendor personnel whose status has changed, SSA vendor number, the type of charge(s), if applicable, date of arrest, the court date, jurisdiction, and, if available, the disposition of the charge(s).

(k) Obtaining a Credential

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

c. Regional Security Office contact information is in the Appendix at the end of this clause.

(l) Contractor Return of PIV Credential

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

(m) Government Control

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

(n) Removal From Duty

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

- (1) Violation of the Rules and Regulations Governing Public Buildings and Grounds, 41 CFR 101-20.3. This includes any local credentialing requirements.
- (2) Neglect of duty, including sleeping while on duty; unreasonable delays or failure to carry out assigned tasks; conducting personal affairs while on duty; and refusing to cooperate in upholding the integrity of SSA's security program.
- (3) Falsification or unlawful concealment, removal, mutilation, or destruction of any official documents, records, or Government property or concealment of material facts by willful omissions from official documents or records.
- (4) Disorderly conduct, use of abusive or offensive language, quarreling, intimidation by words or actions, or fighting. Also, participating in disruptive activities that interfere with the normal and efficient operations of the Government.
- (5) Theft, vandalism, or any other criminal actions.
- (6) Selling, consuming, possessing, or being under the influence of intoxicants, drugs, or substances that produce similar effects.
- (7) Improper use of official authority or credentials.
- (8) Unauthorized use of communications equipment or Government property.
- (9) Misuse of weapon(s) or tools used in the performance of the contract.

- (10) Unauthorized access to areas not required for the performance of the contract.
 - (11) Unauthorized access to SSA's employees' personal property.
 - (12) Violation of security procedures or regulations.
 - (13) Prior contractor personnel unsuitability determination by SSA or another Federal agency.
 - (14) Unauthorized access to, or disclosure of, agency programmatic or sensitive information, or Internal Revenue Service Tax Return information.
 - (15) Failure to ensure the confidentiality of or failure to protect from disclosure, agency information entrusted to them. Certain provisions of these statutes and regulations apply to Federal employees, and apply equally to contractor personnel: The Privacy Act of 1974, The Tax Reform Act of 1976 and the Taxpayer Browsing Protection Act of 1997, SSA regulation 1, The Computer Fraud and Abuse Act of 1986, and Section 1106 of the Social Security Act.
 - (16) Being under investigation by an appropriate authority for violating any of the above.
- (o) The contractor is required to include the substance of this clause in any subcontract requiring the subcontractor to access a SSA facility, site, system, or information. However, the contractor must obtain, review, and submit to SSA all of the completed and required forms (see paragraph (e) from the subcontractor. SSA will not accept completed forms from anyone other than the contractor.

Regional Security Offices and Regional Credentialing Contacts for Contractor Personnel:

Region 1 – Boston

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

Region 2 – New York

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

Region 3 – Philadelphia

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

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

Region 4 – Atlanta

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

Region 5 – Chicago

Management and Operations Support, Building Services Unit
Sharon Young, (312) 575-4150
Evelyn Principe, (312) 575-6342
Sofia Luna, (312) 575-5762
Carlton Brown, (312) 575-5957
Colleen Carrington, (312) 575-5242

Region 6 – Dallas

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

Region 7 – Kansas City

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

Region 8 – Denver

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

Region 9 – San Francisco

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

Region 10 – Seattle

Center for Security and Integrity

Mary Bates, (206) 615-2105

Lisa Steepleton, (206) 615-2183

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

(a) Definitions

Terms defined for this clause:

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

“COR-COTR” means Contracting Officer’s Representative-Contracting Officer’s Technical Representative.

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

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

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

(b) Agency Responsibility Related to FISMA Training Requirements

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

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

(c) Contractor Responsibilities Related to FISMA Training Requirements

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

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

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

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

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

- (i) Following contract award, the contractor shall ensure that all contractor personnel performing under this contract take the security awareness training by reading and signing the CPSC form, SSA-222. This requirement also applies to contractor personnel subsequently added to the contract. A copy of this form is on OAG's Internet website (<http://www.socialsecurity.gov/oag/acq/SSA-222.pdf>) (See Exhibit N.)
- (ii) The contractor must receive signed copies of the form from each contractor personnel working under the contract within 30 calendar days following contract award, or within 30 calendar days after a contractor personnel begins working under the contract, whichever comes first.

- (iii) The contractor shall send an email to the COR-COTR, within 45 calendar days following contract award. Similarly, the contractor shall send such email notification 45 calendar days of when new contractor personnel are added to perform work under the contract. The contractor will attach each signed form, completed per paragraph (c)(3)(ii), above, to the email along with a list of the names (first, middle initial, and last) of the contractor personnel who signed the form and the contract number they are working under.
 - (iv) For each successive year of the contract, the contractor shall repeat the processes described in paragraphs (c)(3)(i)-(iii), above, on an annual basis. The contractor must submit the information in paragraph (c)(3)(iii), above, within 45 calendar days of the date the option was renewed, or the anniversary of the contract award date, whichever comes first.
- (4) The contractor shall retain copies of signed CPSC forms, SSA-222, mentioned in paragraphs (c)(2) and (3) above for potential future SSA audits for a period of three years after final payment (per FAR, Section 4.703).
- (d) Applicability of this Clause to Subcontractor Personnel. The contractor is required to include a clause substantially the same as this in all subcontracts awarded under the prime contract. This clause shall require the subcontractors to follow the instructions in paragraph (c) of this clause. For subcontractor personnel following paragraphs (c)(2) and (3), the subcontractor shall submit the signed forms to the contractor and the contractor will be responsible for submitting this information to SSA per paragraph (c)(3)(iii). The subcontractor shall be responsible for maintaining its signed forms as detailed in paragraph (c)(4).

Email Procedures

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

To Encrypt a File using WinZip

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

Providing the Recipient with the Password

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

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

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

Sending an encrypted Zip File via email

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

PREAWARD SURVEY: In order to determine the responsibility of the prime contractor or any subcontractor, the Government reserves the right to conduct an on-site pre-award survey at the contractor's/subcontractor's facility or to require other evidence of technical, production, managerial, financial, and similar abilities to perform, prior to the award of a contract.

As part of the financial determination, the contractor in line for award may be required to provide one or more of the following financial documents:

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

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

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

Additionally, the preaward survey will include a review of all subcontractors involved, along with their specific functions; and the contractor's/subcontractor's backup facility, quality control, computer system, mail, material handling/inventory control, personnel, production, security control, production area, and disposal of waste materials 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, be installed, and be fully functional at least 90 calendar days prior to the start of live production.

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

PREAWARD PRODUCTION PLANS: As part of the preaward survey, the contractor shall present, in writing, to the Contracting Officer within five (5) workdays of being notified to do so by the Contracting Officer or his/her representative, detailed plans for each of the following activities. The workday after notification to submit will be the first day of the schedule. If the Government requests additional information after review of plans, the contractor must submit updated plans within two (2) workdays of request.

Five (5) additional workdays will be permitted to provide a Security Assessment Package as required. The contractor, at SSA's discretion, may be granted five (5) additional workdays if additional information is required for the Security Assessment Package. The workday after notification to submit will be the first day of the schedule.

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

NOTE: If the contractor intends to use multiple plants (with same contractor code), the preaward survey plans must indicate which plants will be used and the quantity to be produced in each plant. This requirement applies to the Preproduction Press and Mail Run Test in addition to the live production.

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

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

Due to PII issues, the Government cannot award the contract until all security requirements are met. If the contractor fails to meet these requirements within 90 calendar days of start of live production, the contractor will be declared nonresponsive.

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

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

Backup Facility - The failure to deliver these notices in a timely manner would have an impact on the daily operations of SSA. Therefore, if for any reason(s) (Act of God, labor disagreements, pandemics, national emergencies etc.) the contractor is unable to perform at said location for a period longer than 24 hours, the contractor must have a backup facility with the capability of producing the notices. The backup facility must be operated by the contractor.

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

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

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

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

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

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

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

The plan should include the sampling interval the contractor intends to utilize. The contractor will be required to create two (2) control samples every 4,000 notices.

The samples to be drawn from the production stream at the same time:

- One (1) sample will be drawn, inspected, and retained as part of the contractor’s quality assurance records.
- One (1) sample will be drawn for the Social Security Administration and packed with the remaining samples associated with each task order and shipped to: Social Security Administration, Division of Printing Management Attn: Jamey Mays, 3100 Annex Building, 6401 Security Boulevard, Baltimore, MD 21235-6401.

NOTE: Mailers with low volumes (less than 4,000) will require at least one (1) set of samples to be produced.

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

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

The contractor must maintain quality control samples, inspection reports, and records for a period of no less than 210 calendar days subsequent to the date of the check tendered for final payment by the Government Publishing Office. The Government will periodically verify that the contractor is complying with the approved quality control plan through on-site examinations and/or requesting copies of the contractor's quality assurance records and quality assurance random copies.

Computer System Plan – This plan must include a detailed listing of the contractor's operating software platform and file transfer system necessary to interface with SSA's National File Transfer Management System (FTMS) for electronic transmission of notice files from SSA. The plan must also include the media type 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 "FILE TRANSFER MANAGEMENT SYSTEM (FTMS) REQUIREMENTS" and "PREPRODUCTION TESTS, *Transmissions Test*" for additional information). The contractor must complete a Computer System Plan (see Exhibit O).

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 plans to use a consultant, a resume must still be included. This plan must show that the programmer(s) is skilled in the handling of record specifications and programming of the Advanced Function Presentation (Fully Composed) resources and files.

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

Material Handling and Inventory Control – This plan shall explain in detail how the following materials will be handled throughout all phases of production: incoming raw materials; work-in-progress materials; quality control inspection materials; USPS inspection materials; all outgoing materials cleared for USPS pickup/delivery; and, method of disposal of all production waste materials.

Personnel Plan – In conjunction with the required applicant listing (see "Clause 2352.205-1 – Security and Suitability Requirements (MAR 2018)"), this plan should include a listing of all personnel who will be involved with this contract. For any new employees, the plan should include the source of these employees and a description of the training programs the employees will be given to familiarize them with the requirements of this program.

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

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

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

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

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

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

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

The plan shall contain at a minimum:

- How Government files (data) will be secured to prevent disclosure to a third party.
- How the disposal of waste materials will be handled.
- 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).
- How contractors classified as Cloud Service Providers (CSP) will adhere to additional FedRAMP security control requirements. CSPs must have a security control assessment performed by a Third Party Assessment Organization (3PAO), (see Exhibit P); additional information is also available at: <http://www.gsa.gov/portal/category/102371>.
- The contractor shall submit a System Security Plan which documents how the solution implements security controls in accordance with the designated FIPS 199 security categorization and the Minimum Security Requirements for Federal Information and Information Systems which requires the use of NISTSP 800-53, or the contractor shall provide a Security Assessment Package (SAP) completed by either an independent assessor or another Federal agency (see Exhibit P).

Production Area Plan – The contractor must provide a secure area(s) dedicated to the processing and storage of data for the notices, either a separate facility dedicated to these products, 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 the notices.

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

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 area plan.

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 1/4 inch. All documents to be destroyed cannot leave the security of the building and must be destroyed at contractor's printing site. The contractor must specify the method planned to dispose of the material.

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

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

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

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

Notice integrity shall be defined as follows:

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

Mailing integrity shall be defined as follows:

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

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

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

- (a) Uniquely identifying each notice and corresponding notice leaves within each individual file by mailer number and file date.
- (b) Unique identifier to be scanned during insertion to ensure all notices and corresponding notice leaves are present and accounted for.
- (c) *Entrance Scanning*: A camera system must electronically track and scan all leaves of each mail piece as the inserting equipment pulls them into the machine to ensure each mail piece was produced and inserted. If there is any variance on a mail piece or if a mail piece is not verified that all leaves are present, that piece and the piece prior to and immediately following must be diverted and sent back for reprint. All instances of variance must be logged.
- (d) *Touch and Toss*: All spoilage, diverted, mutilated, or mail pieces that are acted upon directly by a human hand prior to sealing must be immediately recorded, discarded, properly destroyed, and automatically regenerated in a new print file for reprint.
- (e) *Exit Scanning*: A camera system must be mounted just aft of the inserting equipment. This camera system must read a unique code through the window of each mail piece and be capable of identifying and reporting all missing notices that were lost or spoiled during production for each individual file by mailer number and file date. This system must ensure that no missing mail pieces have been inadvertently inserted into another mail piece. The equipment must check the mail pieces after insertion, verify that all leaves are accounted for, and divert any suspect product. During exit scanning, if a sequence number is missing, the notice prior to and immediately after must be diverted. The equipment must divert all products that exhibit missing or out of order sequence numbers and any other processing errors. All diverted pieces are to be automatically recorded and regenerated in a new print file for reprint.
- (f) *Reconciliation*: All notices and the amount of correct finished product must be electronically accounted for after insertion through the use of the audit system that is independent of the inserting equipment as well as independent of the operator. The sequence numbers for each file must be reconciled, taking into account any spoilage, duplicate, and/or diverted product. If the reconciliation yields divergent results, corrective action must be taken to locate the mail pieces that are causing any difference between the input and outputs of the inserting process. Therefore, all finished mail for that sequence run must be held in an accessible area until this reconciliation is complete.
- (g) Generate a new production file for all missing, diverted, or mutilated notices (reprint file).
- (h) Contractor must generate an automated audit report from the information gathered from scanning for each mailer number, file date, and each notice (manual inputs are not allowed). This audit report will contain detailed information for each notice as outlined above for each individual file by mailer number and file date. Contractor must maintain this information for 210 calendar days after mailing.

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

- (j) Contractor must generate a final automated 100% accountability summary report for each individual file by mailer number and file date. This information must be generated directly from the audit report (manual inputs are not allowed). The summary report must contain the following:
 1. Job information - Job name, file date, mailer number, piece quantity, sequence start and end number, if multiple batches for a single file include number of batches and batch number (i.e., 1 of 4, due date, etc.).
 2. Job Start Time and Job End Time
 3. Volume of sequence numbers associated with an individual file by mailer number and file date that were inserted and date completed.
 4. Volume of reprints that were inserted for each file date and when completed.
 5. Total volume inserted for each file date and final date and time that each batch was completed.

A PDF copy of the summary report(s) and matching USPS Certificate of Bulk Mailing, USPS 3607R and/or GPO 712 form(s) must be submitted to Jamey Mays at Jamey.Mays@ssa.gov within two (2) workdays of mailing.

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

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

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

The contractor must provide the required audit reports within one (1) hour of request; the audit team will grant one (1) hour for each report to be pulled. The audit team may request a full tour and demonstration of the accountability process at the time of the audit. A wrap-up meeting will occur at the conclusion of the audit. The audit team will review their findings with the contractor at this time. The contractor will need to provide in writing responses to all findings, questions, and concerns within one (1) week of the wrap-up meeting. If corrections are required to the contractor's audit reports the Government may grant the contractor 60 calendar days to complete the changes. The audit team must approve the audit and summary report changes prior to the contractor implementing the changes.

Once the new report is approved, the contractor must update the sample of the audit and summary reports provided with the production plans. The Government considers grounds for the immediate default of this contract if the contractor, at any time, is unable to perform or found not in compliance with any part of this requirement.

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

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

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

REQUEST FOR FOREIGN NOTICES PULLS FROM FILE PRIOR TO PRODUCTION: The contractor is to remove foreign notices from files transmitted prior to production of the files. The contractor is to provide a daily count for number of foreign notices pulled from each mailer.

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

The contractor will be required to provide one private office of not less than 150 square feet, furnished with at least one (1) desk, two (2) swivel arm chairs, secure internet access for Government laptop computers, a work table, and two (2) 4-drawer, letter-size file cabinets with combination padlock, and pendaflex file folders or equal.

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

These representatives 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 representatives must have full and unrestricted access to all production areas where work on this program is being performed.

NOTE: This requirement applies to all contractor's facilities (i.e., multiple plants) used in the production of all mailers produced on this contract.

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

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

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

The contractor shall meet with SSA and USPS representatives to present and discuss their plan for mailing. The preproduction meeting may 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.

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

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

ORDERING: Items to be furnished under the contract shall be ordered by the issuance of weekly print orders supplemented by daily electronic notice count. Orders may be issued under the contract from Date of Award through August 31, 2023, plus for such additional period(s) as the contract is extended. All print orders and 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.

Daily notice counts will be "issued" daily for purposes of the contract and shall detail the daily volume of notices required. A print order (GPO Form 2511) will be used for billing purposes, will be issued weekly, and will cover all daily electronic transmissions issued that week. A print order shall be "issued" upon notification by the Government for purposes of the contract when it is electronically transmitted or otherwise physically furnished to the contractor in conformance with the schedule.

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

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

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

Orders issued during the effective period of this contract and not completed within that time shall be completed by the contractor within the time specified in the order, and the rights and obligations of the contractor and the

Government respecting those orders shall be governed by the terms of this contract to the same extent as if completed during the effective period of this contract.

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

The Government may issue orders which provide for shipment/delivery to or performance at multiple destinations.

Subject to any limitations elsewhere in this contract, the contractor shall furnish to the Government all items set forth herein which are called for by print orders issued in accordance with the "ORDERING" clause of this contract.

PRIVACY ACT NOTIFICATION: This procurement action requires the contractor to do one or more of the following: design, develop, or operate a system of records on individuals to accomplish an agency function in accordance with the Privacy Act of 1974, Public Law 93-579, December 31, 1974 (5 U.S.C. 552a) and applicable agency regulations. Violation of the Act may involve the imposition of criminal penalties as stated in 5 U.S.C. 552a (i)(1) CRIMINAL PENALTIES. It is incumbent upon the contractor to inform its officers and employees of the penalties for improper disclosure imposed by the Privacy Act of 1974, 5 U.S.C. 552a, specifically, 5 U.S.C. 552a (i)(1) CRIMINAL PENALTIES and m(1) GOVERNMENT CONTRACTORS.

PRIVACY ACT

(a) The contractor agrees:

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

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

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

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

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

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

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

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

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

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

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

SECTION 2. - SPECIFICATIONS

SCOPE: These specifications cover the production of imaging for 10 mailers (English and Spanish) consisting of a personalized or non-personalized notice/scannable form, personalized worksheet, letter, Business Reply Mail (BRM) return envelope, and mail-out envelope (as applicable to each mailer) requiring such operations as the receipt and processing of transmitted data; composition; printing; imaging (computerized printing); binding; construction; assembly; packing; and, distribution.

In addition, these specifications cover the production of bulk mailers 1BL and 2BL (English and Spanish language mailers) consisting of a non-personalized notice/scannable form (containing 2-D barcode), a Business Reply Mail (BRM) return envelope, and a mail-out envelope requiring such operations as composition; printing; binding; construction; assembly; packing; and bulk shipment delivery.

TITLE: Medicare (Part D Subsidy) Notices.

FREQUENCY OF ORDERS:

A weekly print order will be issued for each week's transmission of files. More than one mailer's transmission may be ordered on the same print order.

A separate print order will be issued after award for composition, proofs, preproduction tests, and prior to production samples (envelopes only).

Below is the anticipated transmission schedule (delays and changes to the schedule may occur) –

Files for the Medicare Notices (Mailers 1, 2, 3, 4, 5, 6, 8, 9, and 10) will be electronically transmitted daily.

SPIKE files for Mailers 1, and 2 will be transmitted on approximately the 25th of each month; however, the transmission could begin as early as the 22nd calendar day of each month or as late as the 27th calendar day of each month.

Each year, SSA determines the quantities for Mailers 5, 6, and 10 (REDE Notices), which are processed in August. The majority of the annual quantity is transmitted in one (1) session for processing in August (approximately August 20th). The quantities will decline during the months of September through January. From February through July, the quantities for Mailers 5, 6, and 10 will be minimal. (For additional information, see "PRODUCTION SCHEDULE.") SPIKE files for mailers 5 and 6 will be transmitted at the end of August.

Mailer 7 includes an English or Spanish CMS Letter and the SSA-1020B-OCR-SM or SSA-1020B-OCR-SM-SP. Files for Mailer 7 will be transmitted no later than the Monday following Labor Day. The record layout provided for Mailer 7 contains information associated only with this mailer. A separate Excel spreadsheet will be provided for CMS toll-free numbers for each State to be included in the CMS letter. NOTE: Camera copy of CMS Letter will be available in July/August of each year.

The quantities for Mailers 1 through 10 (and SPIKE runs) are approximate and the Government reserves the right to increase or decrease the combined annual total mailer quantity by 20%. Exact quantities will be furnished with the electronic file.

Approximately two (2) print orders will be issued for Bulk Mailers 1BL and 2BL. One order will be placed in December of each year. If needed, one order may be placed mid-year.

The bulk shipment quantities are approximate and the Government reserves the right to increase or decrease the combined annual (total) quantity by 20%. Exact quantities will be furnished with bulk shipment distribution lists.

NOTE: During all Monthly SPIKE runs, annual REDE, and CMS Mailer 7 production, the contractor must provide a daily production report in Excel format showing how many notices have printed, inserted, and mailed and how many are remaining for printing, inserting, and mailing.

QUANTITY:

Mailers 1 through 10: The combined total annual quantity for Personalized Medicare Notices mailers will be approximately 3,028,300 mailers. A breakdown for each mailer is as follows:

Mailer	Title	Form Number	Quantity
1	Application for Help with Medicare Prescription Drug Plan Costs Notice/Scannable Form (English) Mailing Package	SSA-1020-OCR-SM	2,078,000
2	Application for Help with Medicare Prescription Drug Plan Costs Notice/Scannable Form (Spanish) Mailing Package	SSA-1020-OCR-SM-SP	97,000
3	Reporting A Change That May Affect Your Extra Help with Medicare Prescription Drug Plan Costs Worksheet and Scannable Form (English) Mailing Package	SSA-1026 -OCR-SM-SCE	12,000
4	Reporting A Change That May Affect Your Extra Help with Medicare Prescription Drug Plan Costs Worksheet and Scannable Form (Spanish) Mailing Package	SSA-1026-OCR-SM-SCE-SP	600
5	Review of Your Eligibility for Extra Help with Medicare Prescription Drug Plan Costs Worksheet and Scannable Form (English) Mailing Package	SSA-1026-OCR-SM-REDE	250,000
6	Review of Your Eligibility for Extra Help with Medicare Prescription Drug Plan Costs Worksheet and Scannable Form (Spanish) Mailing Package	SSA-1026 -OCR-SM-REDE-SP	10,000
7	CMS Redeeming Letter (English or Spanish versions) with Application for Help with Medicare Prescription Drug Plan Costs Scannable Form (English) Mail-out and BRM return Envelopes)	11198 11198-SP	550,000 30,000
8	Application for Help with Medicare Prescription Drug Plan Costs Notice/Scannable Form (English and Spanish versions)	SSA-1020B-OCR-SM or SSA-1020B-OCR-SM-SP	500
9	Reporting A Change That May Affect Your Extra Help with Medicare Prescription Drug Plan Costs Worksheet and Scannable Form (English and Spanish versions)	SSA-1026 -OCR-SM-SCE or SSA 1026-OCR-SM-SCE-SP	50

10	Review of Your Eligibility for Extra Help with Medicare Prescription Drug Plan Costs Worksheet and Scannable Form (English and Spanish versions)	SSA-1026-OCR-SM-REDE or SSA-1026-OCR-SM-REDE -SP	150
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NOTE: For Mailers 8, 9, and 10, both English and Spanish versions require Certified Mail. (Mailer 8 = Mailers 1 and 2 Certified Mail; Mailer 9 = Mailers 3 and 4 Certified Mail; and, Mailer 10 = Mailers 5 and 6 Certified Mail.)

Bulk Mailers: The combined total annual quantity for the bulk mailers (Mailers 1BL and 2BL) will be approximately 1,100,000 mailers. A breakdown for each bulk mailer follows:

Bulk Mailer	Title	Form Number	Quantity
1BL	Application for Help with Medicare Prescription Drug Plan Costs Notice/Scannable Form (English) Mail-out and Return Envelopes (Bulk Shipment)	SSA-1020B-OCR-SM	1,000,000
2BL	Application for Help with Medicare Prescription Drug Plan Costs Notice/Scannable Form (Spanish) Mail-out and Return Envelopes (Bulk Shipment)	SSA-1020B-OCR-SM-SP	100,000

Bulk Mailers 1BL and 2BL maybe ordered on the same print order or maybe ordered on separate print orders.

The bulk shipment quantities are approximate, and the Government reserves the right to increase or decrease the combined annual (total) quantity by 20%. Exact quantities will be furnished with bulk shipment distribution lists.

NOTE: During the term of this contract, the Government expects to develop new notice workloads with the same requirements as the 10 notice workloads with computerized imaging of variable data described by these specifications. All terms and conditions in this specification will apply to these future notice workloads. It is estimated that approximately one (1) to four (4) new notice workloads may be added during the term of this contract.

NUMBER OF PAGES:

- Notice/Scannable Forms: 8 to 10 pages per notice.
- Letter: 2 pages per letter.
- Worksheets: 2 pages per sheet.
- BRM Return Envelopes: Face and back (after manufacturing).
- Mail-out Envelopes: Face and back (after manufacturing).

TRIM SIZES:

- Notice/Scannable Forms: 16-3/4 x 10-3/4" flat (folded to 8-3/8 x 10-3/4").
- Letters and Worksheets: 8-1/2 x 11".
- BRM Envelopes: 5-3/4 x 8-3/4" plus flap.
- Mail-out Envelopes (Window): 6-1/8 x 9-1/4", plus flap.
- Mail-out Envelopes (Non-Window): 6-1/8 x 9-1/4", plus flap.

GOVERNMENT TO FURNISH:

Manuscript copy for nine (9) mail-out envelopes and eight (8) BRM return envelopes.

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

Manuscript copy for all notices.

Camera copy and/or TIF, JPEG, or PDF files for SSA and CMS logos will be emailed to contractor or uploaded to contractor-hosted/maintained SFTP site.

PS Form 3615, Mailing Permit Application and Customer Profile (1 for SSA; 1 for CMS).

CASS certificate and NCOA certificate (except for RRB Files and CASS for CMS files).

Instruction form for Small Package Common Carrier Billing.

Vendor/Record Specifications

SSA will transmit all distribution data electronically (see “TRANSMISSIONS” and “FILE TRANSFER MANAGEMENT SYSTEM (FTMS) REQUIREMENTS”).

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.

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

EXHIBITS:

Exhibit A: Contractor Personnel Security Certification (SSA 301)

Exhibit B: SSA External Service Provider Additional Security Requirements

Exhibit C: Security Assessment Report (SAR) Template

Exhibit D: Risk Assessment Report (RAR) Template

Exhibit E: Externally Hosted Information System Plan (ESP) Template

Exhibit F: General Records Schedule 4.2, Information Access and Protection Records

Exhibit G: Clause 2352.224-2B: Worksheet for Reporting Loss or Suspected Loss of Personally Identifiable Information (May 2019)

Exhibit H: Declaration for Federal Employment (Optional Form 306)

Exhibit I: Fair Credit Reporting Act Authorization Form

Exhibit J: Additional Questions for Public Trust Positions Branching

Exhibit K: Standard Form (SF) 85P, Questionnaire for Public Trust Positions

Exhibit L: Sample of Fingerprint Card (FD-258)

Exhibit M: Contractor Personnel Rollover Request Form

Exhibit N: Form SSA-222

Exhibit O: Computer System Plan

Exhibit P: 3PAO-Obligations-and-Performance-Guide-v1.0

Exhibit Q: Audit and Summary Report

Exhibit R: MVRP Request Letter

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

Secure File Transfer Protocols (SFTP) Site: Contractor is required to set up, establish, and maintain an SFTP site that multiple users at SSA can access for passing PDF notice validation samples containing PII to SSA and back. Appropriate log-on instructions and protocol must be provided at time of award.

DATA SET NAME*

The file name may be in the following formats (“vendor” would be an SSA-assigned vendor identifier):

OLBG.BTO.filename.vendor.RYYMMDD

*The actual data set names will be provided to the contractor at the postaward meeting, or shortly thereafter.

Personalized Medicare notice mailers are English and Spanish represented by the following data set names:

<u>Mailer Name</u>	<u>Data Set Name*</u>
Mailer 1 (SSA-1020-OCR-SM)	MMAPPNOT.VEND101.RTST1116
Mailer 2 (SSA-1020-OCR-SM-SP)	MMAPPNOT.VEND1SP.RTST1116
Mailer 3 (SSA-1026-OCR-SM-SCE)	MMAPPNOT.VEND101.RTST1116
Mailer 4 (SSA-1026-OCR-SM-SCE-SP)	MMAPPNOT.VEND1SP.RTST1116
Mailer 5 (SSA-1026-OCR-SM-REDE)	MMAPPNOT.VEND101.RTST1116
Mailer 6 (SSA-1026-OCR-SM-REDE-SP)	MMAPPNOT.VEND1SP.RTST1116
Mailer 7 (CMS-Letter/SSA-1020B-OCR-SM/ SSA-1020B-OCR-SM-SP)	MMAPPNOT.VEND101.RTST1116
Mailer 8 (SSA-1020-OCR-SM)/ (SSA-1020-OCR-SM-SP) Certified	MMAPPNOT.MEDCRTEN.RTST1116
Mailer 9 (SSA-1026-OCR-SM-SCE)/ (SSA-1026-OCR-SM-SCE-SP) Certified	MMAPPNOT.MEDCRTEN.RTST1116
Mailer 10 (SSA-1026-OCR-SM-REDE)/ (SSA-1026-OCR-SM-REDE-SP) Certified	MMAPPNOT.MEDCRTEN.RTST1116

****The data set names listed throughout these specifications are not the final data set names that will be transmitted to the contractor. The actual data set names will be provided to the contractor at the postaward meeting, or shortly thereafter.***

CRITERIA FOR DATA IMAGING: At any point during the term of the contract, the Government reserves the right to move the data from record specific to AFP Fully Composed.

TRANSMISSIONS: Upon award of this contract, the Government will determine the connectivity method between SSA and the contractor. Internet Protocol (IP) will be the connection protocol for the transmissions. At the Government’s option, the Government will either place an order for a dedicated circuit data connection to be installed (within 60 calendar days) between the contractor’s location(s) and SSA’s network interface location or the connectivity method will be through the Internet using an encrypted VPN tunnel. The connection method is at the sole discretion of the Government.

The Government shall not be responsible for installation delays of data connections due to any external influences such as employee strikes, weather, supplies, etc., which are conditions beyond the control of the Government.

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

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

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

The contractor must provide capability to utilize the capacity of the connection(s) to fulfill the intended purposes of this contract. The contractor shall provide a suitable environment for installation of the equipment. Power specifications for the router(s) are: AC Power Dissipation (280W maximum) and AC input voltage (100 to 240VAC). The cabinet specifications are: 36U enclosure; frame (72" H x 24" W x 36" D); 23-19 inch appropriate revsa rails (10-32 tapped); louvered side panels; Plexiglas locking front door; solid locking rear door; heavy duty lockable dual width casters; top fan assembly (4 fans); 10- or 12-outlet 20-amp power strip; 19" width slide-out shelf; cable management (wire loops); appropriate cabinet grounding for installation; or equivalent to previous specifications.

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

Contractor must verify counts within 24 hours of receipt of transmission.

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

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

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

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

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

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.

All data provided by the Government or duplicates made by the contractor or their 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.

MAKE-UP OF MAILERS:

A record will be transmitted for each mailing address. The records will contain all the data relevant for the mailing of an associated mail piece.

Personalized and Bulk Shipment Medicare Notice Mailers page count and make-up are as follows:

Personalized Mailers: The components of each mailer are as follows:

Mailer 1 - Personalized English Notice/Scannable English Form (SSA-1020-OCR-SM)
BRM Envelope
Mail-out Window Envelope

- Mailer 2 -** Personalized Spanish Notice/Scannable Spanish Form (SSA-1020-OCR- SM-SP)
BRM Return Envelope
Mail-out Window Envelope
- Mailer 3 -** Personalized English Worksheet/Personalized Scannable English Form (SSA-1026-OCR-SM-SCE)
BRM Return Envelope
Mail-out Window Envelope
- Mailer 4 -** Personalized Spanish Worksheet/Personalized Scannable Spanish Form (SSA-1026-OCR-SM-SCE-
SP)
BRM Return Envelope
Mail-out Window Envelope
- Mailer 5:** Personalized English Worksheet/Personalized Scannable English Form (SSA-1026-OCR-SM-
REDE)
BRM Return Envelope
Mail-out Window Envelope
- Mailer 6 -** Personalized Spanish Worksheet/Personalized Scannable Spanish Form (SSA-1026-OCR-SM-
REDE-SP)
BRM Return Envelope
Mail-out Window Envelope
- Mailer 7 -** Personalized English Letter/Personalized Spanish Letter/Non-Personalized English Notice/Scannable
English Form (SSA-1020B-OCR-SM)/Non-Personalized Spanish Notice/Scannable English Form
(SSA-1020B-OCR-SM-SP)
BRM Return Envelope
Mail-out Window Envelope

NOTE: Mailer 7 English (ONLY) uses the same bulk form as 1BL. Mailer 7 Spanish (ONLY) uses the same bulk form as 2BL.

- Mailer 8 -** CERTIFIED Personalized English or Spanish Notices/Scannable English Form (SSA-1020-OCR-
SM) or Scannable English Form (SSA-1020-OCR- SM-SP)
BRM Return Envelope
Mail-out Window Envelope
- Mailer 9 -** CERTIFIED Personalized English or Spanish Worksheet/Personalized Scannable English Form
(SSA-1026-OCR-SM-SCE) or (SSA-1026-OCR-SM-SCE-SP)
BRM Return Envelope
Mail-out Window Envelope
- Mailer 10 -** CERTIFIED Personalized English or Spanish Worksheet/Personalized Scannable English Form
(SSA-1026-OCR-SM-REDE) or (SSA-1026-OCR-SM-REDE-SP)
BRM Return Envelope
Mail-out Window Envelope

Non-Personalized Bulk Mailers: The components of each bulk mailer are as follows:

- 1BL -** Non-Personalized English Notice/Scannable English Form (SSA-1020B-OCR-SM)
BRM Return Envelope
Mail-out Non-Window Envelope

*REDE SPIKE: Represents the bulk of the quantity for Mailers 5 and 6 which will be transmitted approximately August 20th in one (1) session. Contractor must process, print, and mail the entire quantity within the contract production schedule (see "SCHEDULE" for additional information).

Mailer 7 (CMS Letter and SSA-1020-OCR-SM or SSA-1020-OCR-SM-SP)	Annual Minimum: 300,000 Annual Maximum: 580,000 Printed Pages: 10 Folding: Bi-fold
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NOTE: Files for Mailer 7 will be transmitted no later than the Monday following Labor Day. Exact quantities will not be known until live files are produced. No estimated quantity will be provided each year prior to an actual, live run.

Mailer 8 (SSA-1020-OCR-SM or SSA-1020-OCR-SM-SP CERTIFIED)	Annual Minimum: 0 Annual Maximum: 500 Printed Pages: 8 Folding: Bi-fold
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Mailer 9 (SSA-1026-OCR-SM-SCE or SSA-1026-OCR-SM-SCE-SP CERTIFIED)	Annual Minimum: 0 Annual Maximum: 50 Printed Pages: 10 Folding: Bi-fold
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Mailer 10 (SSA-1026-OCR-SM-REDE or SSA-1026-OCR-SM-REDE-SP CERTIFIED)	Annual Minimum: 0 Annual Maximum: 150 Printed Pages: 10 Folding: Bi-fold
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FOR QUALITY CONTROL AND AUDITING PURPOSES: The contractor must not merge file dates and mailers during processing, printing, and mailing.

Any alteration of the notice content in the file is not permitted.

PREPRODUCTION TESTS: Prior to receiving transmission of live production data files, the contractor will be required to demonstrate their ability to perform the contract requirements by performing a Transmission Test and a Preproduction Press and Mail Run Test.

Failure of the contractor to perform the Transmission Test or Preproduction Press and Mail Run Test satisfactorily may be cause for default.

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

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

Transmission Test: After the appropriate bandwidth data connection has been installed, the contractor will be required to receive within one (1) workday, data for 580,000 notices (up to 10 pages). The transmission test will begin after the Government is notified of the availability of the system.

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

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

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

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

This test is to be completed after the contractor receives materials necessary to perform the tests (notices/scannable forms, worksheets, letters, envelopes).

The test shall occur during the regular workweek of Monday through Friday (excluding Federal holidays).

The Government will issue a print order to the contractor for the preproduction 12-hour 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 applicable line items in the "SCHEDULE OF PRICES." If the contractor fails to meet all test requirements, they will not be reimbursed for any associated costs.

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

The mailers must be produced in accordance with all contract specifications and USPS regulations. The Government will furnish electronic files for this test if an adequate data connection does not already exist between the contractor's location and the nearest available SSA network interface.

During the 12-hour period, the contractor will be required to print and prepare for mailing 15,580 notices as follows:

Mailer 1	10,714
Mailer 2	571
Mailer 3	9
Mailer 4	1
Mailer 5	3,214
Mailer 6	<u>1,071</u>
Total	15,580

The contractor must perform the preproduction press and mail run test on their equipment and using their personnel.

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

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

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

The contractor must produce a minimum of 15,580 notices/forms in a continuous 12-hour period that will prove to the Government representatives that the contractor can satisfactorily complete the requirements of this contract during live production.

The 12-hour period for the printing process will begin when an "O.K. to Print" is given by the Government representative on site. The inserting and mail process will begin when the contractor has sufficient materials printed to begin the inserting process.

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

The Government will approve, conditionally approve, or disapprove the validation output within five (5) workdays of receipt thereof. Approval or conditional approval 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.

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

Failure to meet the requirements of the 24-hour test at either facility is grounds to immediately terminate the contractor for default.

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

COMPOSITION:

Contractor will be required to set type for nine (9) mail-out envelopes and eight (8) BRM return envelopes. Helvetica or similar typeface will be utilized.

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

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

Contractor must provide the font for the Intelligent Mail Barcode.

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 – Six (6) sets of digital color content proofs for each of the mail-out envelopes and the BRM return envelopes. Direct to plate must be used to produce the final product with a minimum of 2400 x 2400 dpi. Proofs must be created using the same Raster Image Processor (RIP) that will be used to produce the product. Proofs shall be collated with all elements in proper position (not pasted up), imaged face and back, trimmed, and folded to the finished size of the product, as applicable.

Proofs must show all margins and dimensions, indicate trim marks, show flap, and window size and placement (if applicable).

Notices/Scannable Forms, Worksheets, and Letters –

- Three (3) sets of digital color content proofs for each product. Direct to plate must be used to produce the final product with a minimum of 2400 x 2400 dpi. Proofs must be created using the same Raster Image Processor (RIP) that will be used to produce the product. Proofs shall be collated with all elements in proper position (not pasted up), imaged face and back, trimmed, and folded to the finished size of the product, as applicable.
- One (1) press quality Adobe Acrobat (most current version) PDF soft proof (for content only – showing all elements) using the same Raster Image Processor (RIP) that will be used to produce the final printed product. PDF proof will be evaluated for text flow, image position, and color breaks. Proof will not be used for color match.
- Three 3 set(s) of inkjet proofs that are G7 profiled and use pigment-based inks. A proofing RIP that provides an option for high quality color matching (such as Device Links Technology and/or ICC Profiles Technology), and meets or exceeds industry tolerance to ISO 12647-7 Standard for Graphic Technology (as of 3/19/09, and future amendments) must be utilized plus GRACoL 2006 Coated #1 specifications (CGATS TR006) must be achieved. Output must be a minimum of 720 x 720 dpi on a GRACoL or SWOP certified proofing media. Proofs must contain the following color control strip to be evaluated for accuracy: IDEAlliance ISO 12647-7 Control Strip 2009 or 2013(i1).

Proofs must contain color control bars (such as Brunner, GATF, GRETAG, or RIT) for each color of ink on the sheet. Control bars must be placed parallel to the press's ink rollers and must show areas consisting of minimum 1/8 x 1/8" 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 consecutively across the sheet.

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

Pantone colors must be simulated on proofs and must be proofed separately on a digital color content, overlay, or inkjet proof.

Contractor to submit ink drawdowns on actual production stock of Pantone color(s) used to produce the product.

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

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

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

PRIOR TO PRODUCTION SAMPLES (*Notices/Scannable Forms, Worksheets, and Letters - without and with variable data*): *Prior to production samples will be required with the initial order and any time that a copy change is required during the term of the contract.*

The Government reserves the right to waive the Press Samples without Variable Data. The contractor will be notified if these samples are waived.

Prior to the commencement of production of the contract production quantity, the contractor shall submit 100 sets of press samples (English and Spanish) for each of Mailers 1 through 10 and Bulk Mailers BL1 and BL2. (NOTE: No envelopes will be required.)

Mailer 7 and Bulk Mailers BL1 and BL2 samples must include the static 2-D barcodes.

Each sample must be printed and bound as specified.

Samples will be inspected and tested and must comply with the specifications in all respects. If machine processing of the final product is indicated in the specification, the samples will be tested and must function satisfactorily on the equipment indicated.

All samples must be produced using the materials, equipment, and methods of production which will be used in producing the final product. All samples shall be manufactured at the facilities in which the contract production quantities are to be manufactured.

Contractor to submit Samples Without Variable Data within seven (7) workdays of receipt of furnished materials, as follows:

- Submit 50 Press Samples without Variable Data for Mailers 1 through 10 and 1BL and 2 BL to: SSA, Division of Printing Management, Attn: Jamey Mays, 3-B-9-A Annex Building, 6401 Security Boulevard, Baltimore, MD 21235-6401.
- Submit 50 Press Samples without Variable Data for Mailer 7 to: SSA, Division of Printing Management, Attn: Jamey Mays, 3-B-9-A Annex Building, 6401 Security Boulevard, Baltimore, MD 21235-6401.)
- Submit 50 Press Samples without Variable Data for Mailers 1 through 10 and Bulk Mailers 1BL and 2BL to: SSA, Wilkes-Barre Data Operations Center, Center for Program Support, Room 341, 1150 E. Mountain Drive, Wilkes-Barre, PA 18702-7997.

The Government will approve, conditionally approve, or disapprove the samples without variable data within five (5) workday of the receipt thereof.

Contractor to submit Samples With Variable Data within five (5) workdays of receipt of approval on samples without variable data (as specified above) as follows:

Submit Press Samples with Variable Data for Mailers 1 through 10 as follows:

- Submit 50 Press Samples with Variable Data to: SSA, Division of Printing Management, Attn: Jamey Mays, 3-B-9-A Annex Building, 6401 Security Boulevard, Baltimore, MD 21235-6401.
- Submit duplicate 50 Press Samples with Variable Data to: SSA, Wilkes-Barre Data Operations Center, Center for Program Support, Martin Room 341, 1150 E. Mountain Drive, Wilkes-Barre, PA 18702-7997.

Submit Samples with Variable Data for Mailer 7 (CMS Letter only), as follows:

- Submit 50 Press Samples with Variable Data to: SSA, Division of Printing Management, Attn: Jamey Mays, 3-B-9-A Annex Building, 6401 Security Boulevard, Baltimore, MD 21235-6401.

The Government will approve, conditionally approve, or disapprove the samples without variable data within five (5) workday 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. 01-18)).

Manufacture of the final product prior to approval of the samples submitted is at the contractor's risk. Samples will not be returned to the contractor. All costs, including the costs of all samples, shall be charged in accordance with the applicable pricing line item in the "SCHEDULE OF PRICES."

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

New Workload: If new workloads are required, press samples with variable data will be required prior to the commencement of production. The contractor will be required to furnish 200 press samples (English and Spanish) for each new workload.

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 (with window mail-out envelope, without window mail-out envelope, and the BRM return envelope). The container and accompanying documentation shall be marked "PREPRODUCTION SAMPLES" and shall include the GPO jacket, purchase order, program, and print order numbers.

All samples must 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. All samples must be printed on the paper required for that envelope as specified under "STOCK/PAPER."

Samples will be inspected and tested for conformance of materials and must comply with the specifications as to construction, kind, and quality of materials. If machine processing of the final product is indicated in the specification, the samples will be tested and must function satisfactorily on the equipment indicated.

Contractor must submit samples to: SSA, Printing Management, Attn: Jamey Mays, 3-B-9-A Annex Building, 6401 Security Boulevard, Baltimore, MD 21235-6401.

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. 01-18)).

Manufacture of the final product prior to approval of the samples submitted is at the contractor's risk. Samples will not be returned to the contractor. All costs, including the costs of all samples, shall be charged in accordance with the applicable pricing line item in the "SCHEDULE OF PRICES."

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. 13" dated September 2019.

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

Color of paper furnished shall be of a uniform shade and a close match by visual inspection of the JCP and/or attached color sample(s). The Contracting Officer reserves the right to reject shipments of any order printed on paper the color of which, in his opinion, materially differs from that of the color sample(s).

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

Notices/Scannable Form and Worksheet: White Optical Character Recognition (OCR) Bond, basis weight: 20 lbs. per 500 sheets, 17 x 22", equal to JCP Code O-25.

CMS Letter: Uncoated Colored Text, basis weight: 50 lbs. per 500 sheets, 25 x 38", equal to JCP Code A63. NOTE: Stock must match International Paper, Springhill, Opaque Offset Gray for color and weight.

BRM Return Envelopes: White Writing Envelope, basis weight: 20 lbs. per 500 sheets, 17 x 22", equal to JCP Code V20.

Mailout Envelopes: White Kraft Envelopes, basis weight: 24 lbs. per 500 sheets, 17 x 22”, equal to JCP Code V15; or, at contractor’s option, White Uncoated Text, basis weight: 50 lbs. per 500 sheets, 25 x 38”, equal to JCP Code A60.

PRINTING/IMAGING: The Government reserves the right to make changes to the envelopes or the format(s)/text of the notice/scannable form, worksheets, and/or letters at any time during the term of the contract. Notification of a proposed change will be given with sufficient time for the contractor to allow for the change and submit proofs to the Government. Therefore, the contractor is not to preprint or maintain more than a 90-calendar day surplus/inventory of any of the components required on this contract. The Government shall not be required to purchase from the contractor the surplus/inventory of any of the components remaining on hand in excess of the authorized 90-day supply.

Notices/Scannable Forms: Print face and back, head-to-head in black, Pantone 289U (Blue), and Flint Ink J-6983 (Red OCR drop-out ink). Image in black as specified below. Forms will include a static 2-D barcode that prints in black.

CMS Letters: Print face and back in black ink only. Image in black as specified below.

Worksheet: Print face and back, head-to-head, in Pantone 289U (Blue) only. Image in black as specified below.

Variable Imaging (Notices/Scannable Forms, Letters and Worksheets): Either laser or ion deposition printing, in black, with a minimum resolution of 300 x 300 dpi, utilizing a 13-point Times New Roman or similar serif typeface on page 1 (face of notice) and a 12-point OCR-A font on page 3 for imaging the application form and the contractor’s sequential number. A 2-D barcode will print on pages 3 through 8 of the constructed notice/scannable form. All forms require variable imaging with the exception of the Bulk Mailers.

NOTE: Contractor is to produce a keyline that appears above the mailing address and shows through the mail-out envelope window. The keyline must contain the following information: workload (1020 SM,1020 SM RRB,1020 SM-SP,1020 Cert, 1026 SCE, 1026 SCE RRB, 1026 SCE-SP, 1026 SCE Cert,1026 REDE SM, 1026 REDE SM RRB, 1026 REDE-SM-SP, 1026 REDE Cert), Mailer number, and file date (mm/dd) (e.g., 1020 SM M1 10-30).

NOTE: Bulk shipment mailers **DO NOT** require computerized imaging of variable data. All bulk shipment mailers must contain the 2-D barcode (see “PRINTING” for additional information).

Mail-out and BRM Return Envelopes: Print face and back (after manufacturing) in black ink only. Printing shall be in accordance with the requirements for the style of 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.

For the BRM return envelope, the contractor is responsible for the placement of the Facing Identification Mark (FIM) and the ZIP Code barcode using the furnished copy to comply with current USPS standards.

An identifier will be printed on the mail-out and BRM return envelopes to identify the workload.

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

RECYCLED PAPER LOGO/LEGEND:

The recycled paper logo/legend must be printed in Pantone 289U (Blue) on each notice/scannable form in the lower left-hand corner on the face of the notice/scannable form.

The recycled paper English logo/legend must print in black ink on envelopes (if recycled paper is used) in the lower left-hand corner on the seam side of the envelope. The Spanish logo/legend must print in the lower right-hand corner on the seam side of the envelope.

PDF417 (PORTABLE DATA FILE) 2-D BARCODES: A 2-D barcode will be required on all scannable forms (pages 3 through 8 of the constructed notice/scannable form) located 1” from the left edge. At least 1/4” margins (quiet zone) is required top, bottom, left, and right of each 2-D barcode. Maximum resolution of 300 dpi, with 4.41 code words per inch. Height is 1/2”, plus or minus 1/16”; length/width is 1-1/4”, plus or minus 1/16”.

All data elements contained in the barcode must begin in the specified positions. Data elements can be filled with blanks if necessary to begin the next element in the proper position.

Data columns are to be preceded and followed by the standard PDF417 stop/start patterns, left row indicator and right row indicator.

The 2-D barcodes to be imaged on the SSA-1020-OCR-SM, SSA-1020-OCR-SM-SP, and Medicare CMS Mailer 7 personalized notices/scannable forms should contain the following data elements:

<u>Field Name</u>	<u>Field Size</u>
Form Number	20
Page Number	3 (contractor to insert)
Vendor Name	4
Applicant Last Name	20
Applicant Suffix	4
Applicant First Name	15
Applicant Middle Initial	1
Applicant SSN	9
Spouse Last Name	20
Spouse Suffix	4
Spouse First Name	15
Spouse Middle Initial	1
Spouse SSN	9
Address Street 1	22
Address Street 2	22
Address City	19
Address State	2
Address Zip 1	5
Address Zip 2	4
Address Zip Delivery Point Code	3
Edition Date (Month)	2
Edition Date (Year)	4
Language Indicator	1
File Creation Date	8
Applicant Date of Birth	8
Spouse Date of Birth	8
Miscellaneous Data	18
Record Length	250

The 2-D barcodes to be imaged on the SSA-1026-OCR-SM-REDE, SSA-1026-OCR-SM-REDE-SP, SSA-1026-OCR-SM-SCE, and SSA-1026-OCR-SM-SCE-SP personalized notices/scannable forms should contain the following data elements:

<u>Field Name</u>	<u>Field Size</u>
Form Number	23
Page Number	2 (contractor to insert)
Vendor Name	4
Applicant Last Name	20
Applicant Suffix	4
Applicant First Name	15
Applicant Middle Initial	1
Applicant Date of Birth	8
Applicant Medicare Claim Number	12
Applicant SSN	9
Spouse Last Name	20
Spouse Suffix	4
Spouse First Name	15
Spouse Middle Initial	1
Applicant Date of Birth	8
Applicant Medicare Claim Number	12
Spouse SSN	9
Address Street 1	22
Address Street 2	22
Address City	19
Address State	2
Address Zip 1	5
Address Zip 2	4
Address Zip Delivery Point Code	3
Edition Date (Month)	2
Edition Date (Year)	4
Language Indicator	1
File Creation Date	8
Miscellaneous Data	16
Record Length	275

Final record and block lengths to be provided at the postaward conference, or shortly thereafter. The PDF417 2-D barcodes must be in accordance with the requirements of ANSI MH 10.8.3M, unless otherwise specified. All data elements contained in the barcode must begin in the specified positions. Data elements can be filled with blanks if necessary to begin the next element in the proper position.

Data for personalized forms to be included in the 2-D barcode will be contained on the SSA-furnished files via the network circuit. See the SSA furnished Vendor/Record Specifications for details.

BULK SHIPMENT PRINTING: The non-personalized bulk shipment forms (Bulk Mailers 1BL and 2BL) also require 2-D barcodes on pages 3 through 8 of the constructed notice/scannable form. The contractor will be required to perform the necessary programming in order to print the 2-D barcodes on these forms.

The 2-D barcodes to be printed on the bulk shipment notices/scannable forms should contain the following data elements:

<u>Field Name</u>	<u>Field Size</u>
Form Number	20
Page Number	2
Language	1
Edition Date (Month)	2
Edition Date (Year)	4
Vendor Name	4

PRESS SHEET INSPECTION: Final makeready press sheets may be inspected and approved at the contractor's plant for the purpose of establishing specified standards for use during the actual press run. Upon approval of the sheets, contractor is charged with maintaining those standards throughout the press run (within QATAP tolerances when applicable) and with discarding all makeready sheets that preceded approval. When a press sheet inspection is required, it will be specified on the individual print order. See GPO Publication 315.3 (Guidelines for Contractors Holding Press Sheet Inspections) issued January 2015. NOTE: A press sheet inspection is for the purpose of setting specific standards that are to be maintained throughout the entire run. It does not constitute a prior approval of the entire run.

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

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

MARGINS: Margins will be indicated on print order, furnished sample, or furnished copy/electronic file. Follow manuscript copy for envelopes,

BINDING: *NOTE: Forms require precision trimming to guarantee proper processing.*

Mailers 1, 2, and 8:

Notices/Scannable Form: Trim each 16-3/4 x 10-3/4" sheet four sides. Fold each 16-3/4 x 10-3/4" sheet down to 8-3/8 x 10-3/4" (the two 16-3/4 x 10-3/4" sheets are nested together to create an 8-page form).

Mailers 3, 4, 5, 6, 9, and 10:

Scannable Form: Trim each 16-3/4 x 10-3/4" sheet four sides. Fold each 16-3/4 x 10-3/4" sheet down to 8-3/8 x 10-3/4" (the two 16-3/4 x 10-3/4" sheets are nested together to create an 8-page form).

Worksheet: Trim four sides.

Mailer 7:

Scannable Form: Trim each 16-3/4 x 10-3/4" sheet four sides. Fold each 16-3/4 x 10-3/4" sheet down to 8-3/8 x 10-3/4" (the two 16-3/4 x 10-3/4" sheets are nested together to create an 8-page form).

Letter: Trim four sides.

Bulk Mailers 1BL and 2BL:

Notices/Scannable Form: Trim each 16-3/4 x 10-3/4" sheet four sides. Fold each 16-3/4 x 10-3/4" sheet down to 8-3/8 x 10-3/4" (the two 16-3/4 x 10-3/4" sheets are nested together to create an 8-page form).

CONSTRUCTION:

BRM Return Envelopes: Envelopes are open side, with suitable seams and an industry standard gummed, fold-over flap for sealing. Flap depth is at contractor's option but must comply with all USPS requirements. Flap must be coated with suitable glue the entire length of flap that will securely seal the return envelope without adhering to contents, not permit resealing of the envelope, and permit easy opening by the recipient.

Mail-out Envelopes (With Window) for Mailers 1 through 10: Envelopes are open side, with suitable seams and an industry standard gummed, fold-over flap for sealing. Flap depth is at contractor's option but must comply with all USPS requirements. Flap must be coated with suitable remoistenable glue that will securely seal the envelope without adhering to contents, not permit resealing of the envelope, and permit easy opening by the recipient.

Face of envelope to contain one die-cut window (1-3/4 x 4-1/4" in size) with four rounded corners (the long dimension of the window is to be parallel to the long dimension of the envelope). Window is to be located 2" from bottom edge of the envelope and 3/4" from the left edge of the envelope. The 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 postnet 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 securely affixed to the inside of the envelope so as not to interfere with insertion of contents. Window material must meet the current U.S. Postal Service's readability standard/requirements. Address image must meet USPS reflectance standards when viewed through the window material.

Mail-out Envelopes (Non-Window) for Bulk Mailers 1BL and 2BL: Envelopes are open side, with suitable seams and an industry standard gummed, fold-over flap for sealing. Flap depth is at contractor's option but must comply with all USPS requirements. Flap must be coated with suitable remoistenable glue that will securely seal the envelope without adhering to contents, not permit resealing of the envelope, and permit easy opening by the recipient.

ASSEMBLY:

Mailers 1, 2, and 8: Fold the 8-page notice/scannable form from 8-3/8 x 10-3/4" down to 8-3/8 x 5-3/8". Insert the notice/scannable form and a BRM return envelope into a mail-out envelope with the recipient's name and address on the notice/form visible through the envelope window. Securely seal each mail-out envelope.

Mailers 3, 4, 5, 6, 9, and 10:

Worksheet: Fold from 8-1/2 x 11" down to 8-1/2 x 5-1/2".

Scannable Form: Fold the 8-page scannable form from 8-3/8 x 10-3/4" down to 8-3/8 x 5-3/8".

Insert the worksheet, followed by the scannable form and BRM return envelope, into a mail-out envelope with the recipient's name and address on the sheet visible through the envelope window. Securely seal each mail-out envelope.

Mailer 7:

Letter: Fold from 8-1/2 x 11” down to 8-1/2 x 5-1/2”.

Scannable Form: Fold the 8-page scannable form from 8-3/8 x 10-3/4” down to 8-3/8 x 5-3/8”.

Insert the letter, followed by the scannable form and BRM return envelope, into a mail-out envelope with the recipient’s name and address on the letter visible through the envelope window. Securely seal each mail-out envelope.

NOTE: Contractor must provide Mailer 7 samples (CMS Letter) on required paper, for Government approval.

Bulk Mailers 1BL and 2B: Fold the 8-page notice/scannable form from 8-3/8 x 10-3/4” down to 8-3/8 x 5-3/8”. Insert the notice/scannable form and a BRM return envelope into a non-window mail-out envelope. Securely seal each mail-out envelope.

It is the contractor’s responsibility to ensure that only the computer-generated address and Intelligent Mail barcode (IMb) on the personalized mailers will be visible through the window in the mail-out envelope (if applicable) and that only copy of each required item (as applicable to each mailer) is inserted into the mail-out envelope.

In addition, it is the contractor’s responsibility to ensure that the personalized worksheet imaged with recipient’s name (and other personal information) will be matched with the scannable form (which contains 2-D barcodes with personalized data) for the same recipient and be inserted correctly into the envelope.

PACKING:

Bulk Shipment Mailers (1BL and 2BL): Shrink-film wrap in units of 25 or 50 assembled bulk mailers.

Pack suitably in shipping containers not to exceed 45 pounds when fully packed. Packing must not cause bowing of products.

All shipments which fill less than a shipping container must be packaged with materials of sufficient strength and durability and in such a manner which will guarantee that the product will not be damaged and the package will not open nor split when processed through a small package carrier delivery system.

Pallets are required.

LABELING AND MARKING (Package and/or Container label): The following must be completed for all truck shipments:

Contractor to download the “Labeling and Marking Specifications” form (GPO Form 905, R. 7-15) from gpo.gov, fill in appropriate blanks, and attach to shipping containers.

Barcode Markings: Labels must be barcoded on shipping containers, using Uniform Symbology Specifications-Code 39 (new standard) bar code system, for non-contact reading, in accordance with ANSI/AIM BCI-1995. The bar code must be positioned in accordance with Fed. Std. 123.

Barcode: Appropriate information that will be barcoded is as follows: Inventory Control Number (ICN), National Stock Number (NSN), Quantity per Container, Unit of Issue, Form Revision Date, Department Requisition Number and GPO Jacket Number. The barcode must be a 3 of 9 barcode, with an x-dimension of 10 millimeters. The barcode must have a human-readable interpretation (HRI) printed above or below the 3 of 9 barcode.

The destination address in the “TO” box does not have to be filled in on the individual shipping container labels when packed on pallets. In lieu thereof, complete filled in labels, including the destination address must be attached to all four sides of each pallet. In addition to regular markings, include the following:

- Inventory Control Number (ICN)
- National Stock Number
- Quantity per Container
- Unit of Issue
- Revision Date
- Department Requisition Number
- Print Order Number (if applicable).

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

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

NOTE: A production inspection(s) may be required at the contractor’s/subcontractor’s plant before production begins on any new workloads.

DISTRIBUTION:

- Deliver f.o.b. destination (on the first order and whenever SSA makes a significant change to the language, format, or appearance of any of the components) 10 complete sample copies of each type of mailer, inserted into mail out envelopes. (DO NOT SEAL ENVELOPES.) to: SSA, Printing Management Jamey Mays, 3-B-9-A Annex Building, 6401 Security Boulevard, Baltimore, MD 21235-6401.
- Ship f.o.b. contractor’s city all Bulk Mailers 1BL and 2BL to several addresses nationwide as specified on the print order.
- Mail f.o.b. contractor’s city each individual mailer. (NOTE: The contractor is responsible for all costs incurred in transporting this product to the U.S. Postal Service facility.)

Addresses and delivery instructions will be furnished with each print order.

All mailing shall be made at the First Class rate.

All copies mailed must conform to the appropriate regulations in the U.S. Postal Service manuals for “Domestic Mail” (DMM)

NOTE: All f.o.b. destination shipments/bulk mailers must ship as a full truckload/complete.

Reimbursable Freight (Bulk Mailers): Shipments are to be shipped by reimbursable freight. The contractor will be responsible for the selection of carrier and shall ship by the most reasonable method to ensure prompt delivery and safe arrival at all destinations for shipments requiring reimbursable freight. Contractor will be reimbursed for all freight costs upon receipt of all freight receipts with their billing invoice. Shipments are to be delivered direct to the point of destination(s) stated on the print order.

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).

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

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

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

SSA will not supply a CASS or NCOA certificate for the RRB addresses contained in these mailers. The contractor will be required to run all RRB files through CASS and NCOA and provide certificates for the USPS.

SSA will not supply a CASS certificate for the CMS addresses for Mailer 7. The contractor will be required to run all CMS files through CASS and provide certificates to USPS.

Contractor must provide any documentation of the move update software process required by USPS. The contractor must ensure that no portion of the mailing envelope window protrudes into the barcode clear zone as specified in DMM 202.5.0 and the update software license agreement.

NOTE: The move update software version, which changes the addresses prior to printing, is not acceptable.

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.

In order to avoid the use of postage meters, the contractor must participate in the USPS Minimum Volume Reduction Program (MVRP) to allow mailings under 200 pieces or less than 50 pounds to mail via permit imprint.

The MVRP (refer to Domestic Mail Manual, section 604.5.1.2, provision) provides an exception for approved mailers to the “200 pieces or 50 pounds” rule for Permit Imprint mailings (including certified and foreign mail).

Contractor must request participation in USPS's Minimum Volume Reduction Program (MVRP). The contractor must submit a request to participate in writing to the USPS (see Exhibit R - MVRP Request Letter). The MVRP, reference Domestic Mail Manual, section 604.5.1.2, provision provides an exception for approved mailers to the "200 pieces or 50 pounds" rule for Permit Imprint mailings (including certified and foreign mail). Contractors must submit paperwork electronically, including piece level barcode information. Contractor will be required to contact USPS prior to any MVRP expiration date (if specified by USPS) for additional MVRP approval. Contractor will be required to notify SSA in a timely manner should they encounter any problems with additional USPS MVRP approvals.

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

NOTE: A copy of the USPS approval for the MMS must be presented at the postaward conference.

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.

Each notice provided on this contract will transmit with an IMb 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.

The USPS uses 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.

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

USPS Certified Mail: The domestic mail pieces included in these mailings may be required to be mailed using USPS Certified Mail. The contractor will prepare these mail pieces according to USPS regulations contained in the Domestic Mail Manual under Section 503.3.0, Certified Mail.

Notices associated with the certified mail file shall be inserted into envelopes and processed as certified mail. The contractor must place the current Postal Service Form 3800 (20-digit certified number and barcode) on the envelope.

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) and/or Certificate of Bulk mailing, etc., each noted with file date and mailer number. The contractor will use Federal Agency Cost Code 276-00070 on all mailing documents for Mailers 1, 2, 3, 4, 5, 6, 8, 9, and 10. The contractor will use Federal Agency Cost Code 271-09800 on all mailing documents for Mailer 7.

Within 24 hours of completion of each print order, the contractor shall provide PDF copies of all mailing documentation and matching 100% Accountability Summary reports to: Jamey.Mays@ssa.gov. Copies must be legible and include required information to disseminate what the file date and mailer documentation is for.

Upon completion of this contract, the contractor must return all Government furnished materials (if applicable) to: Social Security Administration, Printing Management, Attn: Jamey Mays, 3-B-9-A Annex Building, 6401 Security Boulevard, Baltimore, MD 21235-6401.

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

SCHEDULE: Adherence to this schedule must be maintained. Contractor must not start production of any job prior to receipt of the electronic daily counts or print order (GPO Form 2511), as applicable. *NOTE: If contractor should not receive the electronic daily counts and/or print 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 Printing Management Team must be notified immediately.

When required, the furnished material and hard copy proofs must be picked up from and delivered to: SSA, Printing Management, Attn: Jamey Mays, 3-B-9-A Annex Building, 6401 Security Boulevard, Baltimore, MD 21235-6401. If applicable, furnished manuscript and/or camera copy must be returned with proofs.

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

Schedule for Proofs and Prior to Production Samples (Envelopes Only): The following schedule begins the SAME workday as notification of availability of print order and furnished materials; the same workday as notification will be the first workday of the schedule.

- The contractor must submit all proofs within seven (7) workdays after receipt of furnished materials.
- Proofs will be withheld no more than five (5) workdays from receipt at the ordering agency until they are made available for pickup. (NOTE: The first workday after receipt of proofs at the ordering agency is day one (1) of the hold time.).
- When required due to AA's, contractor to submit revised proofs within five (5) workdays of receipt of the author's alterations.

- Revised proofs will be withheld no more than three (3) workdays from receipt at the ordering agency until they are made available for pickup. (NOTE: The first workday after receipt of proofs at the ordering agency is day one (1) of the hold time.)
- Contractor must submit prior to production samples of envelopes only 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.

Schedules for Preproduction Tests:

Transmission Test –

- This test is to be performed after the contract is awarded and the appropriate bandwidth has been installed. The Government will notify the contractor when the test will be performed.
- The contractor will be required to receive approximately 580,000 notices within one (1) workday.
- The contractor will be required to perform a record count verification same workday as receipt of complete transmission of the test files, furnish the Government with the exact counts, and provide a timeline showing how long it took to receive the file.
- The Government will approve, conditionally approve, or disapprove within 72 hours of receipt thereof.
- Contractor to submit sample notices within five (5) workdays of receipt of approval on transmission test.

Preproduction Press and Mail Run Test –

- The contractor must produce a minimum of 15,580 notices in a continuous 12-hour period.
- The Government will approve, conditionally approve, or disapprove the validation output within five (5) workdays of receipt thereof.

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

Schedule for Prior to Production Samples (Without and With Variable Data):

- The contractor shall submit the press samples *without* variable data within seven (7) workdays after receipt of furnished materials.
- The Government will approve, conditionally approve, or disapprove the press samples without variable data within five (5) workdays of receipt thereof.
- If required, the contractor must submit revised press samples without variable data within five (5) workdays of notification.
- The Government will approve, conditionally approve or disapprove the revised press samples without variable data within three (3) workdays of receipt thereof.
- The contractor shall submit the samples *with* the variable data within five (5) workdays after receipt of

approval on the press samples without variable data.

- The Government will approve, conditionally approve, or disapprove the press samples with variable data output within five (5) workdays of receipt thereof.
- If required, the contractor must submit revised press samples with variable data within five (5) workdays of notification.
- The Government will approve, conditionally approve or disapprove the revised press samples with variable data within three (3) workdays of receipt thereof.

Schedule for Production:

Workday - The term “workday” is defined as Monday through Friday* each week, exclusive of the days on which Federal Government holidays are observed. NOTE: The contractor is not to wait for print order to start their schedule.

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

*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.

Daily Medicare Notices (Mailers 1 through 10): Production files will be transmitted on a daily basis Monday through Saturday for Medicare 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).

SPIKE Medicare Notices (Mailers 1 and 2): Production files for SPIKE runs will be transmitted on approximately the 25th of each month throughout the term of the contract. (NOTE: Files could be transmitted as early as the 22nd calendar day of each month or as late as the 27th calendar day of each month.)

REDE Medicare Notices (Mailers 5, 6, and 10): August production files will be transmitted on approximately the 20th of August (in one session) throughout the term of the contract. They contain the majority of the annual quantity for these mailers.

CMS Redeeming Letter (Mailer 7): Production files are transmitted electronically (one session) or made available for contractor pickup no later than the Friday following Labor Day.

Bulk Shipment: During the term of the contract, the Government will place approximately two (2) orders for bulk shipment mailers. One order will be placed in December of each year; if needed, a second order may be placed mid-year.

The following schedules begin the workday after notification of availability of task order and furnished materials; the same workday after notification will be the first workday of the schedule.

Contractor must complete production and mailing of all Medicare Notices mailers in accordance with the following schedule:

Mailers 1, 2, and 8: Complete production and mailing of these notices must be made within five (5) workdays after receipt of each complete transmission (e.g., 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 the following Friday).

Mailers 1, and 2 (SPIKE): Complete production and mailing of these notices must be made within seven (7) workdays after receipt of each complete transmission. During any SPIKE run, the contractor must provide daily production reports.

Mailers 3, 4, 5, 6, 9 and 10: Complete production and mailing of these notices must be made within seven (7) workdays after receipt of each complete transmission

Mailers 5, and 6 (SPIKE): Complete production and mailing of these notices must be made within seven (7) workdays after receipt of each complete transmission). During any SPIKE run, the contractor must provide daily production reports.

Mailer 7: Complete production and mailing of these notices must be made over a maximum of four (4) workdays starting the third Monday in September of each contract year. Contractor will be required to mail a minimum of 145,000 notices per day until completed. For Mailer 7, the contractor must provide daily production reports.

Bulk Shipments Mailers 1BL and 2BL: Complete production and mailing must be made within 10 workdays after notification of the availability of print order for orders up to and including 500,000 copies. Contractor will be allowed one (1) additional workday for each additional 500,000 copies, or portion thereof.

The contractor must notify the GPO of the date and time the press sheet and production inspections can be performed. In order for proper arrangements to be made, notification must be given at least 72 hours prior to the inspection. Notify the U.S. Government Publishing Office, Quality Control for Published Products, Washington, DC 20401, or telephone area code (202) 512-0542 AND SSA, Printing Management Branch. Telephone calls will only be accepted between the hours of 8:00 a.m. and 2:00 p.m., Monday through Friday, prevailing Eastern Time. NOTE: See contract clauses, paragraph 14(e)(1), Inspections and Tests of GPO Contract Terms (GPO Publication 310.2, effective December 1, 1987 (Rev. 01-18)). When supplies are not ready at the time specified by the contractor for inspection, the Contracting Officer may charge to the contractor the additional cost of the inspection.

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

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, the contractor is to notify the U.S. Government Publishing Office regarding each order with date of shipment or delivery, as applicable, in accordance with the contract requirements by contacting the Shared Support Services Compliance Section via email at compliance@gpo.gov, via telephone at (202) 512-0520, or via facsimile at (202) 512-1364. Personnel receiving the email, call, or facsimile will be unable to respond to questions of a technical nature or to transfer any inquiries.

SECTION 3. – DETERMINATION OF AWARD

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

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

I. 12

II. 17

III. 1

IV. (a) 1. 102
2. 1
(b) 1. 39
2. 3
3. 39
4. 1

V. (a) 252
(b) 24,226
(c) 1,706
(d) 11,000
(e) 4,128
(f) 3,028
(g) 1,100

VI. (a) 17,886
(b) 580
(c) 4,128
(d) 3,028
(e) 1,100

VII. 3,028

VIII. 1,100

IV. 700

SECTION 4. – SCHEDULE OF PRICES

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

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

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

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

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

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

All 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.”

All costs associated with processing of supplied mailing lists to obtain the necessary certifications and mail discounts for USPS should be included in costs under Item VI., “INSERTING AND MAILING,” and Item VII., “PACKING AND DISTRIBUTION.”

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

I. PROCESSING/FORMATting FILES: The contractor will be allowed only one (1) charge per mailer workload for the term of the contract to process and/or format the files supplied necessary to print and mail the notices each workload.

Processing/Formatting filesper mailer\$ _____

II. COMPOSITION: Prices offered must include the cost of all materials and operations necessary in accordance with the terms of these specifications for each of the nine (9) mail-out envelopes and each of the eight (8) BRM return envelopes.

Envelopesper envelope\$ _____

(Initials)

III. TRANSMISSION TEST: Prices offered must include all costs incurred in performing the transmission test as stated in these specifications and any other operations necessary to produce the required quantities of the product in the time specified and in accordance with specifications

Transmission Test per test\$ _____

IV. PROOFS AND PRIOR TO PRODUCTION SAMPLES:

(a) Envelopes:

- 1. Digital color content proofsper envelope/per proof.....\$ _____
- 2. Prior to production samplesper order.....\$ _____

(b) Notices/Scannable Forms, Worksheets, and Letters:

- 1. Color content proofs per page.....\$ _____
- 2. PDF soft proof per proof.....\$ _____
- 3. Inkjet (G7) proofs per page.....\$ _____
- 4. Prior to production samplesper order.....\$ _____

V. PRINTING/IMAGING, BINDING, AND CONSTRUCTION: Prices offered must include the cost of all materials and operations necessary for the printing/imaging, binding, and construction of the products 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 set up the contractor’s equipment. Invoices submitted with more than one makeready/setup charge per workday will be disallowed.

(b) Notices/Scannable Forms (Mailers 1 through 10):

Printing in three ink colors, imaging in black,
including binding..... per 1,000 pages.....\$ _____

(c) Personalized Worksheets and CMS Letter: Mailers 3, 4, 5, 6, 7, 9, and 10

Printing in a single ink color, imaging in black,
including binding..... per 1,000 pages.....\$ _____

(d) Notices/Scannable Forms (Bulk Mailers 1BL and 2 BL):

Printing in two ink colors, including static 2-D barcode in black,
including binding..... per 1,000 pages.....\$ _____

(Initials)

- (e) BRM Return Envelopes:
Printing in black ink, including construction per 1,000 envelopes\$ _____
- (f) Mail-out Envelopes (With Window):
Printing in black ink, including construction per 1,000 envelopes\$ _____
- (g) Mail-out Envelopes (Non-Window):
Printing in black ink, including construction per 1,000 envelopes\$ _____

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

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

- Notices/Scannable Forms: A charge will be allowed for each 16-3/4 x 10-3/4” page-size leaf.
- Worksheets and CMS Letters: A charge will be allowed for each 8-1/2 x 11” page-size sheet.
- BRM Return Envelopes: One leaf will be allowed for each envelope.
- Mail-out Envelopes: One leaf will be allowed for each envelope.

Per 1,000 Leaves

- (a) Notices/Scannable Forms and Worksheets: White OCR Bond (20-lb.).....\$ _____
- (b) CMS Letters: Opaque Offset Gray Uncoated Colored Text (50-lb.).....\$ _____
- (c) BRM Return Envelopes: White Writing (20-lb.)\$ _____
- (d) Mail-out Envelopes (With Window): White Kraft Envelope (24-lb.);
or, at contractor’s option, White Uncoated Text (50-lb.)\$ _____
- (e) Mail-out Envelopes (Non-Window): White Kraft Envelope (24-lb.);
or, at contractor’s option, White Uncoated Text (50-lb.)\$ _____

VII. INSERTING AND MAILING (Mailers 1 through 10): Prices offered must include the cost of all required materials and operations necessary for the mailing of Mailers 1 through 10, including the cost of gathering notices (single or multiple leaves) in proper sequence, collating all required items (as specified) in proper sequence, folding all items as specified for insertion into mail-out envelope, insertion of all items into mail-out envelope, and mailing in accordance with these specifications.

Mailers per 1,000 mailers\$ _____

(Initials)

VIII.PACKING AND DISTRIBUTION (Bulk Mailers IBL and 2BL): Prices offered must include the cost of all required materials and operations necessary for the distribution of the Bulk Mailers 1BL and 2BL including cost of gathering notices (single or multiple leaves) in proper sequence, collating all required items (as specified) in proper sequence, folding all items as specified for insertion into mail-out envelope, insertion of all items into mail-out envelope, shrink-film wrapping, packing, shipping containers, pallets, all packing materials, and delivery of the bulk shipments in accordance with these specifications.

Bulk Mailers IBL and 2BL per 1,000 mailers\$ _____

IV. CERTIFIED/REGISTERED MAIL: Prices offered must include the cost of any and all additional materials (i.e., paper, envelopes, printing, labels, etc.) and operations necessary to complete the Certified/Registered mail and provide to the USPS. This price is in addition to the “SCHEDULE OF PRICES” for Items I. through VII. listed above.

Certified/Registered mailing.....per mailer\$ _____

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

Post Office located at Street Address _____,

City _____, State _____, Zip Code _____

(Initials)

SHIPMENTS: Shipments will be made from: City _____ State _____.

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

DISCOUNTS: Discounts are offered for payment as follows: _____ Percent _____ Calendar Days. See Article 12 “Discounts” of Solicitations Provisions in GPO Contract Terms (Publication 310.2).

AMENDMENT(S): Bidder hereby acknowledges amendment(s) number(ed) _____.

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

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

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

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

Bidder _____
(Contractor’s Name) (GPO Contractor’s Code)

(Street Address)

(City – State – Zip Code)

By _____
(Signature and Title of Person Authorized to Sign this Bid) (Date)

(Printed Name) (Telephone Number)

(Email) (Fax Number)

THIS SECTION FOR GPO USE ONLY

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