

PROGRAM 3599-S Term: Date of Award thru 05/31/2025 plus up to four 12-month extension periods								
TITLE: Marketplace Notices			040-02494		370-64115		K-Code Not Provided	
ITEM NO.	DESCRIPTION	BASIS OF AWARD	Advantage Mailing Anaheim, CA		NPC Claysburg, PA		Amsive Bolingbrook, IL/Greenville, SC	
			UNIT RATE	COST	UNIT RATE	COST	UNIT RATE	COST
I.	DATA PROGRAMMING:							
(a)	Data Programming for File Viability and Notice Format Testing:							
(1)	PDF Workflow, per 1,000 notices	123,461	NC	\$0.00	\$0.70	\$86,422.70	NC	\$0.00
(2)	Data File Workflow, per 1,000 notices	1,200	NC	\$0.00	\$0.70	\$840.00	\$0.50	\$600.00
(b)	Data Program. for Mail. Address Cert...(CASS and NCOA), per 1,000 addresses	124,659	\$5.00	\$623,295.00	\$0.70	\$87,261.30	\$0.50	\$62,329.50
(c)	Data Program. and Reporting for Secure Destruct, per 1,000 addresses	115,957	\$0.50	\$57,978.50	\$0.70	\$81,169.90	\$0.10	\$11,595.70
II.	PROOFS AND PRE-PRODUCTION SAMPLES:							
(a)	PDF Proofs:							
(1)	Data File Workflow Notices, each proof	3	\$500.00	\$1,500.00	\$100.00	\$300.00	NC	\$0.00
(2)	6-1/8 x 9-1/2" Envelopes, each proof	2	\$500.00	\$1,000.00	\$100.00	\$200.00	NC	\$0.00
(3)	9 x 12" Envelopes, each proof	1	\$500.00	\$500.00	\$100.00	\$100.00	NC	\$0.00
(b)	Prior-to-Production Samples, each order	4	\$2,500.00	\$10,000.00	\$100.00	\$400.00	NC	\$0.00
III.	PRINTING/IMAGING AND TRIMMING TO SIZE:							
(a)	Printing/Imaging Marketplace Notices, per 1,000 images	1,060,522	\$10.55	\$11,188,507.10	\$2.68	\$2,842,198.96	\$2.89	\$3,064,908.58
(b)	Printing/Imaging Envelopes:							
(1)	6-1/8 x 9-1/2" Envelopes, per 1,000 envelopes	115,735	\$14.59	\$1,688,573.65	\$10.75	\$1,244,151.25	\$15.43	\$1,785,791.05
(2)	9 x 12" Envelopes, per 1,000 envelopes	222	\$46.75	\$10,378.50	\$27.34	\$6,069.48	\$42.00	\$9,324.00
IV.	STOCK/PAPER:							
(a)	Notices: White Uncoated Text (50 lbs.), per 1,000 leaves	549,267	\$6.90	\$3,789,942.30	\$6.13	\$3,367,006.71	\$8.40	\$4,613,842.80
(b)	Envelopes: White Writing/Wove (24 lbs.):							
(1)	6-1/8 x 9-1/2" Envelopes, per 1,000 envelopes	115,735	\$14.59	\$1,688,573.65	\$10.75	\$1,244,151.25	\$15.43	\$1,785,791.05
(2)	9 x 12" Envelopes, per 1,000 envelopes	222	\$46.75	\$10,378.50	\$27.34	\$6,069.48	\$42.00	\$9,324.00
V.	ADDITIONAL OPERATIONS:							
(a)	Collating, Folding, and Inserting into 6-1/8 x 9-1/2" Env, per 1,000 leaves	547,040	\$35.10	\$19,201,104.00	\$6.42	\$3,511,996.80	\$5.50	\$3,008,720.00
(b)	Collating, Folding, and Inserting into 9 x 12" Env, per 1,000 leaves	2,227	\$46.10	\$102,664.70	\$27.21	\$60,596.67	\$10.00	\$22,270.00
CONTRACTORS TOTALS				\$38,374,395.90		\$12,538,934.50		\$14,374,496.68
PROMPT PAYMENT DISCOUNT				0.25%		\$31,347.34		\$0.00
DISCOUNTED TOTALS				20 Days		\$12,507,587.16		NET - 30 Days
						Awarded Contractor		

Abstract Created By: LLP 04/02/2024
Abstract Reviewed By: Tshoffstall 4/2/2024
Contract Awarded To: NPC, Claysburg, PA



March 28, 2024

This is Amendment No. 1. The specifications in our invitation for bids on Program 3599-S, scheduled for opening at March 29, 2024 at 11:00 a.m., are amended as follows:

1. Change the bid opening date to April 2, 2024.
2. On page 14 of the contract, under Eligibility Determination Notices, change Peak Months from “Oct to Jan” to “Oct to Dec” and Off-Peak Months from “Oct, Nov, Jan” to “Jan to Sep”.
3. On page 14 of the contract, under “Open Enrollment Notices”, change Peak Months from “Dec” to “Dec and Jan” and Off-Peak Months from “Oct, Nov, Jan” to “Oct and Nov”.
4. On page 28, change Item III. (a) from “533,591” to “1,060,522” and change Item IV. (a) from “276,299” to “549,267”.
5. On page 28, change Item V. (a) from “275,186” to “547,040” and change Item V. (b) from “1,113” to “2,227”.

All other specifications remain the same.

If amendment is not acknowledged on bid, direct acknowledgement to bids@gpo.gov.

Amended bid or acknowledgement must be submitted using the method(s) specified in the solicitation for bid submission.

BIDDER MUST ACKNOWLEDGE RECEIPT OF THIS AMENDMENT PRIOR TO BID OPENING. Failure to acknowledge receipt of amendment, by amendment number, prior to bid-opening time, may be reason for bid being declared nonresponsive.

Sincerely,

WILLIAM M. LANSKY
Contracting Officer

WL/llp

U.S. Government Publishing Office
Northeast Region
General Terms, Conditions, and Specifications
for the procurement of
Marketplace Notices
as requisitioned from the U.S. Government Publishing Office (GPO) by
DHHS/CMS – Center for Consumer Information and Insurance Oversight (CCIO)
Single Award

TERM OF CONTRACT

The term of this contract includes an initial testing period and a production period.

INITIAL TESTING PERIOD

Beginning Date of Award through May 31, 2024

PRODUCTION PERIOD

Beginning June 1, 2024 through May 31, 2025, plus up to four optional 12-month extension period(s) (June 1, 2025 through May 31, 2026 June 1, 2026 through May 31, 2027, June 1, 2027 through May 31, 2028, and June 1, 2028 through May 31, 2029) that may be added in accordance with the “Option to Extend the Term of Contract” clause in Section 1 of this contract.

BID OPENING

Bids shall be publicly opened virtually at 11:00 a.m., prevailing eastern time on **March 29, 2024**. All parties interested in attending the bid opening shall email bids@gpo.gov prior to bid opening date to request a Microsoft Teams live stream link. The link will be emailed on the day of the bid opening.

BID SUBMISSION

Bidders MUST submit e-mail bids to bids@gpo.gov for this solicitation. No other method of bid submission will be accepted at this time. The company name, program number, and bid opening date must be specified in the subject line of the e-mailed bid submission. ***Bids received after bid opening date and time specified above will not be considered for award.***

NOTICE TO BIDDERS

Formerly Program 2599-S. Bidders, please note, these specifications have been extensively revised; therefore, all bidders are cautioned to familiarize themselves with all provisions of this contract before bidding. Special attention is directed to:

- Significant Revisions to:
 - “Bid Opening” and “Bid Submission”, page 1
 - “Security”, page 2
 - “Additional E-Mailed Bid Submission Provisions”, page 11
 - “Reporting”, pages 25 and 26
 - “Schedule”, page 27
 - “Section 5 – CMS Security Specifications”, pages 33 through 49.
- Increased Notice Volume, pages 13 to 15
- Added Secure Destruct and Informed Delivery Campaigns, pages 19 and 26
- Deleted Marketplace Open Enrollment Notice and Form 1095-A Initial Notice
- Additional, lesser changes are scattered throughout.

Abstract of bids for Program 2599-S available at <https://www.gpo.gov/how-to-work-with-us/vendors/contract-pricing>.

For information of a technical nature call Linda Price at (614) 488-4616, ext. 7 (No collect calls) or email lprice@gpo.gov.

SECTION 1. – GENERAL TERMS AND CONDITIONS

GPO CONTRACT TERMS

Any contract which results from this Invitation for Bid will be subject to the applicable provisions, clauses, and supplemental specifications of GPO Contract Terms (GPO Pub. 310.2, effective December 1, 1987 (Rev. 1-18)) and GPO Contract Terms, Quality Assurance Through Attributes Program for Printing and Binding (GPO Pub. 310.1, effective May 1979 (Rev. 9-19)).

- 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>.
- More GPO Publications can be found at: <https://www.gpo.gov/how-to-work-with-us/vendors/forms-and-standards>.

REGULATIONS GOVERNING PROCUREMENT

The U.S. Government Publishing Office (GPO) is an office in the legislative branch of the United States Government. Accordingly, the Federal Acquisition Regulation is inapplicable to this, and all GPO procurements. However, the text of certain provisions of the Federal Acquisition Regulation, as contained in the Code of Federal Regulations (CFR), are referenced in this solicitation. The offeror should note that only those provisions of the Federal Acquisition Regulation which are specifically incorporated by reference into this solicitation are applicable.

SECURITY

The contractor awarded this contract will be in custody of Government owned material considered Personally Identifiable Information (PII). See “Section 5. – CMS Security Specifications”, pages 33 through 49, for security clauses of this contract:

- CMS Information Security (Oct 2020), page 33
- HIPPA Business Associate Clause (Oct 2014), pages 34 to 39
- CMS Security Clause (May 2018), pages 40 to 47
- Open Government Proactive Pre-Disclosure Notifications (Aug 2023), page 48
- Mandatory Contractor Training (July 2021), page 49

CMS Acceptable Risk Safeguards for TIBCO transmissions: Low Security Impact Level.

The Government may conduct on-site unannounced, randomized Security inspections at any time.

SUBCONTRACTING

The predominant production functions are downloading files, manipulating data from TIBCO files (data programming), printing/imaging notices, inserting, preparation for mailing, and delivery to USPS. These items CANNOT be subcontracted. Manufacturing and printing of envelopes are not considered part of the predominant production functions and can be subcontracted. Bidder who must subcontract any of the predominant production functions may be declared non-responsible.

QUALITY ASSURANCE LEVELS AND STANDARDS

The following levels and standards shall apply to these specifications:

Product Quality Levels:

- (a) Printing (Page Related) Attributes -- Level III.
- (b) Finishing (Item Related) Attributes -- Level III.

Inspection Levels (from ANSI/ASQC Z 1.4):

- (a) Non-destructive Tests - General Inspection Level I.
- (b) Destructive Tests - Special Inspection Level S-2.

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	Proofs/Prior to Production Samples and/or Production Inspections

CONTRACTOR FURNISHED PLANS

The contractor will be required to furnish the following plans:

- Back-Up Facility Plan
- Material Handling and Inventory Control Plan
- Production Plan
- Quality Control Plan
- Mailing Plan

The Government reserves the right to waive some or all of the above listed plans. The contractor will be required to submit the required plans to the Government within 2 workdays of request.

BACK-UP FACILITY PLAN

The contractor must have two or more owned and controlled facilities (primary and back-up) that have the capability to perform all requirements of the contract. This clause is to allow for continuous production with back-up facilities if for any reason(s) (act of God, labor disagreements, etc.) the primary production facility is unable to meet all the requirements of the contract.

The back-up facilities, equipment, and personnel that have completed the required security documents must be available to the Contracting Officer as part of the Pre-Award Survey.

The contractor to provide current equipment list, including capacity of printing/imaging and inserting equipment for both primary and back-up facilities.

Failure to have a back-up facility will result in a non-responsible determination.

MATERIAL HANDLING AND INVENTORY CONTROL PLAN

Contractor required to explain in detail how the following materials will be handled at the primary and back-up facilities: incoming raw materials; work-in-process materials; quality control inspection materials; USPS inspection materials; and all outgoing materials cleared for USPS pickup/delivery.

PRODUCTION PLAN

The contractor shall present, in writing, to the Contracting Officer within two (2) workdays of being notified to do so by the Contracting Officer or his/her representative, detailed plans for each of the following activities.

- Data Processing
- Printing/Imaging and Inserting
- Verification of Production and Mailing

The production plans are to include the equipment to be used during each phase of production. These plans are subject to review and approval by the Government and award may not be made prior to approval of same.

Data Processing

Contractor may be required to submit plans describing the data processing workflow, including timeline, personnel, and equipment required to complete all data processing.

Data Reconciliation

Contractor will be required to download notices, check for viability of files and their compatibility with Notice Format Instructions. Contractor will also be required to run CASS and NCOA certifications.

Unique Identification Number

Contractor will be required to create unique identifying numbers (Contractor Furnished Unique ID) to track each notice through entire production process, thereby providing 100% accountability. Before award, contractor will be required to submit Contractor Furnished Unique Identification Number format to Contracting Officer for approval.

If required by the Government, the contractor will be required to create a test sample totaling 50 notices. This test must have the Contractor Furnished Unique ID and must be produced on each of the notices. The contractor will generate a list of the unique identifying numbers for each sample. As samples are pulled, their unique number 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. Those samples, along with the unique numbers, are to be processed and mailed directly to HHS/CMS; 7500 Security Blvd., SL 12-18; Baltimore, MD 21244-1850; Attn: Mark Rydberg.

Printing/Imaging and Inserting

Contractor will be required to submit plans describing the printing/imaging production phase and inserting production phase for both PDF Workflow and Data File Workflow, including timeline and personnel and equipment required to complete all printing/imaging and inserting.

Verification of Production and Mailing

Contractor must have a tracking process (defined below) providing **100% accountability of production and mailing** 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 file 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.

Tracking Process

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.

Tracking Reports

The contractor shall provide all tracking reports. Contractor must have all hardware, programming, and finalized reports in place to meet this requirement before the start of live production. The Verification of Production and Mailing tracking reports at the machine level are to provide 100% accountability to the files transmitted through TIBCO. In addition to the machine level reports, other accountability reports are required as defined in “Section 2. – Specifications” under “Reporting” on pages 25 and 26.

Final report layouts will be determined at the Post-Award Conference. 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. Contractor is required to provide any requested reports within an hour of a request via email in MS Word, MS Excel, PDF, CSV or other software as agreed upon at the Post-Award Conference.

All reports must be retained in electronic form for life of the contract and for 120 days from the date of final payment. All reports must be made available to the Government for auditing of contractor performance upon request.

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 CMS.
- The contractor’s printing process must have automated systems which can detect all sync errors, stop printing when detected, and identify, remove, and reprint these notices.

Mailing integrity shall be defined as follows:

- All notices received from CMS for each file date were printed, inserted, and entered correctly into the United States postal system or otherwise accounted for on the Master Report.
- 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 CMS were printed, all pages for each notice are accounted for, inserted, and mailed correctly or otherwise accounted for on the Master Report as described in “Section 2. – Specifications” under “Reporting” on pages 25 and 26.

Automated System

The contractor’s inserting equipment must have automated systems that include notice coding and scanning technology capable of uniquely identifying each notice and corresponding notice leaves within each individual file. Including:

- (a) 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.
- (b) Touch and Toss: All spoilage, diverted, mutilated, or mail pieces that are acted upon directly by a human hand prior to sealing must be immediately recorded, discarded, properly destroyed, and automatically regenerated in a new print file for reprint. *Exception* – Intentionally diverted pieces due to a requirement for a product, which cannot be intelligently inserted and requires manual insertion such as a publication, can be sealed, re-scanned and placed back into production. These must be programmed diverts and sent to a separate bin for processing to ensure they are not mixed with other problem diverts and logged into the automated system as such.

- (c) 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 capable of identifying and reporting all missing notices that were lost or spoiled during production for each individual file. This system ensures that no missing mail pieces have been inadvertently inserted into another mail piece. The equipment must check the mail pieces, after insertion and verification that all leaves are accounted for, and divert any suspect product. During exit scanning, if a sequence number is missing, the notice prior to and immediately after must be diverted. The equipment must divert all products that exhibit missing or out of order sequence numbers and any other processing errors. All diverted pieces are to be automatically recorded and regenerated in a new print file for reprint.
- (d) Reconciliation: All notices and the amount of correct finished product must be electronically accounted for after insertion using the automated 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.
- (e) Generate a new production file for all missing, diverted, or mutilated notices (reprint files).

A recovery system will be required to ensure that all defective or missing/mutilated pieces detected are identified, reprinted and replaced. The recovery system must use unique sequential numbers assigned to each piece to aid in the recovery and replacement of any defective or missing/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 off-loading to the USPS facility.

The Government will not as a routine matter request that the contractor produce individual pieces in transit within the plant, however, the contractor must demonstrate that they have an audit trail established that has the ability to comply with this type of request when and if the need arises. The contractor's Verification of Production and Mailing and the Quality Control Plan must account for the number of pieces mailed. The contractor 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.

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.

Quality Control Sample

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

The plan should include the sampling interval the contractor intends to utilize. The contractor will be required to create two quality control 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 CMS and will be packed with the remaining samples associated with each print order and shipped to CMS (address to be supplied at the Post-Award Conference).

The plan shall detail the actions to be taken by the contractor when defective, missing, or mutilated items are discovered. These actions must be consistent with the requirements found in GPO Contract Terms (GPO Publication 310.2, effective December 1, 1987 (Rev. 1-18)) Supplemental Specifications 2. Quality.

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

The contractor must maintain quality control samples, inspection reports and records for a period of no less than 120 calendar days after 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. All quality control samples must be produced at no additional cost to the Government.

MAILING PLAN

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

This plan should include a description of the contractor's CASS/NCOA Certification, Secure Destruct, and Informed Delivery Campaign processes will be accomplished and provide a description of the metrics that can be captured.

OPTION TO EXTEND THE TERM OF CONTRACT

The Government has the option to extend the term of this contract for a period of 12 months by written notice to the contractor not later than 30 days before the contract expires. If the Government exercises this option, the extended contract shall be considered to include this clause, except, the total duration of the contract may not exceed 5 years (**May 31, 2029**) as a result of, and including, any extension(s) added under this clause. Further extension may be negotiated under the "Extension of Term of Contract" clause. See also "Economic Price Adjustment" clause for authorized pricing adjustment(s).

EXTENSION OF TERM OF CONTRACT

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 **June 1, 2024 through May 31, 2025**, and the second and any succeeding period(s) will extend for 12 months from the end of the last preceding period, except that the length of the final period may vary. The first day of the second and any succeeding period(s) will be the effective date of the economic price adjustment for that period.

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

The economic price adjustment will be the percentage difference between Index averages as specified in this paragraph. An index called the variable index will be calculated by averaging the monthly Indexes from the 12-month interval ending three (3) months prior to the beginning of the period being considered for adjustment. This average is then compared to the average of the monthly Indexes for the 12-month interval ending **February 29, 2024**, called the base index.

The percentage change (plus or minus) of the variable index from the base index will be the economic price adjustment for the period being considered for adjustment.

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

If the Government exercises an option, the extended contract shall be considered to include this economic price adjustment clause.

PAPER PRICE ADJUSTMENT

Paper prices charged under this contract will be adjusted in accordance with “Table 9 – Producer Price Indexes and Percent Changes for Commodity Groupings and Individual Items” in Producer Price Indexes report, published by the Bureau of Labor Statistics (BLS), as follows:

1. **BLS code 0913 for “All Paper”** will apply to all paper required under this contract.
2. The applicable index figures for the month of **May 2024** will establish the base index.
3. There shall be no price adjustment for the first three months of the production period of the contract.
4. Price adjustments may be monthly thereafter, but only if the index varies by an amount (plus or minus) exceeding 5% by comparing the base index to the index for that month which is two months prior to the month being considered for adjustment.

5. Beginning with order placement in the fourth month from beginning of production period, index variances will be calculated in accordance with the following formula:

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

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

6. The contract adjustment amount, if any, will be the percentage calculated in 5 above less 5%.
7. Adjustments under this clause will be applied to the contractor's bid price(s) for **Line Items IV. Stock/Paper (a) and (b) (1) and (2) in the Schedule of Prices, page 30** and will be effective on the first day of any month for which prices are to be adjusted.

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

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

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

PRE-AWARD 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.

The Pre-Award Survey will include a review of all subcontractors involved, along with their specific functions; and the contractor's/subcontractor's, personnel, data handling, production, security and other requirements outlined in "Security" page 2 and "Section 5 – CMS Security Specifications" pages 33 through 49.

Attending the pre-award survey may be representatives from the Government Publishing Office and/or the Centers for Medicare and Medicaid Services. The Government reserves the right to conduct post-award surveys of the same nature as needed.

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 (as applicable)

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.

POST-AWARD CONFERENCE

The Post-Award Conference between contractor and agency is required, unless waived by the Government. The Post-Award Conference will be conducted via telephone or at contractor's facility(ies). The purpose of the conference will be to discuss and review all aspects of the contractor's production plan and to establish coordination of all internal and external operations required to complete the contract and for CMS to determine the appropriate level of security investigation.

INITIAL TESTING PERIOD/POST-AWARD TEST

Unless waived by the Government, the contractor awarded the contract shall be required to demonstrate their ability to retrieve TIBCO files, program the files, and print and insert the items required in these specifications at the requisite quality level by completing a Post-Award Test.

The contractor will be required to download 1,000 test files from the TIBCO mailbox. Test files will be in both English and Spanish and will be in PDF format. Contractor must program the files for NCOA and IMb as described in these specifications, encrypt and password protect the files, and submit them to Mark Rydberg at mark.rydberg@cms.hhs.gov.

Test files must show the Intelligent Mail Barcode (IMb) for each furnished address. The samples submitted by the contractor must be downloaded and programmed at the same facilities that will be used for producing contract production quantities. Contractor to submit the Post-Award Test samples within one workday of receipt of files in TIBCO.

The contractor may be required to submit up to 100 printed notices provided in the TIBCO mailbox. Each notice must be complete, ready-to-mail notices and envelopes in accordance with the furnished copy and specifications and must be constructed as specified and must be of the size, kind, and quality that the contractor will furnish.

The samples submitted by the contractor must be manufactured at the same facilities that will be used for producing contract production quantities.

Contractor to submit Post-Award printed test samples within three workdays of receipt of files in TIBCO. Contractor to submit the Post-Award printed test samples to: HHS/CMS; 7500 Security Blvd., SL 12-18; Baltimore, MD 21244-1850; Attn: Mark Rydberg.

The samples produced during the Initial Testing Period/Post-Award Test will be checked for adherence to all specifications. The Government will approve, conditionally approve, or disapprove these test copies within 10 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 these copies are disapproved by the Government due to printer's errors, the Government may require the contractor to submit additional copies for inspection and testing, in the time and under the terms and conditions specified in the notice of disapproval.

Such additional copies shall be furnished, and necessary changes made, at no additional cost to the Government. In the event these additional copies are disapproved by the Government due to printer's errors, the contractor may 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.

The Post-Award Test will be performed at no cost to the Government. All samples must be manufactured at the same facilities used for producing contract production quantities.

ASSIGNMENT OF JACKETS, PURCHASE AND PRINT ORDERS

A GPO jacket number will be assigned and a purchase order issued to the contractor to cover work performed. The purchase order will be supplemented by an individual "Print Order" for each job placed with the contractor. The print order, when issued, will indicate the quantity to be produced and any other information pertinent to the particular order.

ORDERING

Items to be furnished under the contract shall be ordered by the issuance of print orders by the Government. Production orders may be issued under the contract from **June 1, 2024 through May 31, 2025** plus for such additional period(s) as the contract is extended. All print orders issued hereunder are subject to the terms and conditions of the contract. The contract shall control in the event of conflict with any print order. A print order shall be "issued" 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 activities 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.

ADDITIONAL E-MAILED BID SUBMISSION PROVISIONS

The Government will not be responsible for any failure attributable to the transmission or receipt of the e-mailed 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 e-mail provider may have different size limitations for sending e-mail; however, bidders are advised not to exceed GPO's stated limit.

4. When the e-mail bid is received by GPO, it will remain unopened until the specified bid opening time. Government personnel will not validate receipt of the e-mailed bid prior to bid opening. GPO will use the prevailing eastern time and the exact time that the e-mail is received by GPO's e-mail server as the official time stamp for bid receipt at the specified location.

PAYMENT

Partial payments are permitted in accordance with GPO Contract Terms (GPO Pub. 310.2) Contract Clause 25. Partial Payments.

Contractor's billing invoice must be itemized in accordance with the line items in the "Section 4. - Schedule of Prices", pages 29 to 31. Failure to itemize invoice may result in delay of payment.

Submitting all invoices for payment via the GPO fax gateway (if no samples are required) utilizing the GPO barcode coversheet program application is the most efficient method of invoicing. Instruction for using this method can be found at <https://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/finance/index.htm>.

At time of invoicing, the contractor shall submit a copy of the print order, contractor's invoice, and all mailing and/or delivery receipts via e-mail to: infonortheast@gpo.gov, lprice@gpo.gov, and to mark.rydberg@cms.hhs.gov.

SECTION 2. – SPECIFICATIONS

SCOPE

These specifications cover the production of Marketplace notices and envelopes requiring such operations as programming of furnished files, printing/imaging in English and Spanish, envelope construction and printing, collating, folding, inserting, and mailing notices.

TITLE

Marketplace Notices

NUMBER AND FREQUENCY OF ORDERS

Anticipate 54 to 56 orders per year. Individual print orders will be placed for the PDF Workflow and for the Data File Workflow.

The highest monthly volume of notices will be between October and January.

PDF WORKFLOW

Anticipate 52 orders per year. Notices will be transmitted daily. Digital files will be placed in TIBCO Sunday through Saturday. A GPO Form 2511 (print order) for the notices will usually be issued weekly. Anticipate print orders will be placed on Thursday for daily notices transmitted the following week.

DATA FILE WORKFLOW

Anticipate 2 to 4 orders per year. Notices will be transmitted as required, anticipate September and January. Digital files will be placed in TIBCO apart from the daily files and a print order will be issued as required.

QUANTITY

Anticipate 50,000,000 to 250,000,000 notices per year. Approximately 6,000,000 to 20,000,000 notices per month.

Participation in the Marketplace is consumer based and impacted by state and federal legislative and administrative actions, as a result, the notice quantity can increase or decrease up to 35% annually.

Anticipate up to 25% of the annual notices will be in Spanish and the balance in English.

The number of notices transmitted through TIBCO to the contractor will require data programming, see “Workflow and Data Programming” below. Data Programming will include File Viability Testing, Notice Format Testing, and Mailing Address Programming and Certification.

It is anticipated that 3% to 15% (average 7% to 8%) of the files transmitted will be non-viable files, files that do not conform to notice format requirements, or files that have invalid or undeliverable mailing addresses. The contractor will deduct these files from the number of records received and will not send these files to print production. See “Reporting” hereafter.

PDF WORKFLOW

There are several different notice types that are printed throughout the year, most have peak seasons of high volume, usually October through January. Some notices will be time sensitive. To accommodate the time sensitivity, Priority Tiers will be established by the Government.

All notice types will be assigned a Priority Tier of 1, 2, or 3 at the beginning of the contract. The Priority Tier is identified by the XML tag “SpecifyingNoticeType” and can be reprioritized as needed by the Government. The contractor will append the Priority Tier to the notice.

For example, there are approximately 6 different “SpecifyingNoticeType” XML tags for DMI Notices. All DMI Notices will have a Priority Tier of 2 at the beginning of the contract.

The contractor will append this priority tier to all DMI Notices in their workflow; however, the Government may require the contractor to reassign one or more of the DMI Notices to a higher or lower priority tier for a specified period of time. The contractor will update all priority tier reassignments in the workflow.

The following is anticipated:

Notice	Peak Months Notices per Month	Off-Peak Months Notices per Month	Priority Tier
Eligibility Determination Notices (EDN)	Oct to Jan 4,000,000 to 6,000,000	Feb to Sep 1,000,000 to 3,250,000	Tier 1
Open Enrollment Notices: <ul style="list-style-type: none"> • Consumer Confirmation Notices (CCN) • Cross-Issuer Notices (CIN) 	Dec (usually CCN’s) Up to 1,650,000	Oct, Nov, Jan (usually CIN’s) Up to 550,000	Tier 1
Data Matching Inconsistency Notices (DMI)	Oct, Dec, Jan, Feb 4,000,000 to 6,250,000	Nov and Mar to Sep 2,000,000 to 4,000,000	Tier 2
Form 1095-A Notices: <ul style="list-style-type: none"> • Correction Notices • Reprint Notices 	Feb to Apr 225,000 to 600,000	Jan, May to Dec 3,000 to 125,000	Tier 1
Various Daily Notices	Jun to Oct 3,000,000 to 5,500,000	Nov to May 1,500,000 to 3,000,000	Tiers 1, 2, and 3

DATA FILE WORKFLOW

Anticipate 200,000 to 400,000 notices per print order.

PAGES

Anticipate each notice to have between 4 and 30 pages with or without blanks (3 to 30 images, 2 to 15 leaves).

PDF WORKFLOW

Furnished files and subsequent production runs will contain mixed notice types and mixed page counts with printing in English or Spanish. Most notices will have between 4 and 24 pages but up to 30 pages may be ordered. The following is anticipated:

Notice	Page Count Ranges	Most Common Page/Image Count per Notice
Eligibility Determination Notices (EDN)	6 to 24 pages	14 pages with 14 images (no blanks)
Open Enrollment Notices (CCN and CIN Notices)	4 to 8 pages	6 pages with 6 images (no blanks)
Data Matching Inconsistency Notices (DMI)	6 to 14 pages	8 pages with 8 images (no blanks)
Form 1095-A Notices: <ul style="list-style-type: none"> • Correction Notices • Reprint Notices 	6 to 12 pages	8 pages with 8 images (no blanks)
Various Daily Notices	4 to 12 pages	6 pages with 5 images (1 blank)

DATA FILE WORKFLOW

Most orders will be 4 to 8 pages with or without blanks (3 to 7 images, 2 to 4 leaves).

TRIM SIZE

Notices: 8-1/2 × 11” flat trim size

Mailing Envelopes: 6-1/8 × 9-1/2”
9 × 12”

GOVERNMENT TO FURNISH

MEDIA

The contractor must be able to send and receive electronically transmitted data via Secure File Transfer Protocol (sFTP). The medium used by the contractor must have the capability to compare records received with records sent, verifying a complete transmission.

Government to furnish notices and a Count file of total notices and images provided to the contractor. ***Furnished files contain different notice types and mixed page counts with printing in English or Spanish.*** Contractor to reconcile daily counts with production volumes as described in “Workflow and Data Programming” hereafter.

Data Files will be furnished by EFT, MFT/GIS-compatible secure File Transfer Protocol Client (sFTP), Internet Explorer 5.0 or above. A TIBCO MFT access will be setup by CMS to provide contractor access to data files. See “Security”, page 2 and “Section 5 – CMS Security Specifications”, pages 33 through 49, for information regarding access to the TIBCO files.

PLATFORM

Microsoft Windows XP operating system or Apple Macintosh Operating System.

SOFTWARE

Microsoft Word 2013 or higher, Adobe Live Cycle Version 9.5, XML, ASCII Text, delimited CSV, and/or Microsoft Excel 2013 or higher. Contractor required to update software versions as needed. Additional software may be used that is agreeable to the Government and the contractor.

FONTS

All printer and screen fonts will be furnished. The contractor is cautioned that furnished fonts are the property of the Government and/or its originator. All furnished fonts are to be eliminated from the contractor's archive immediately after completion of the contract.

ADDITIONAL GOVERNMENT FURNISHED MATERIAL

Notice format requirements will be provided at time of award. These requirements will define print parameters including, but not limited to, XML and data file mapping, font, heading styles, margins, logo placement, and variable data and barcode placement. These requirements will be furnished at the beginning of the contract and when revisions are required.

PS Form 3615 (Mailing Permit Application and Customer Profile)

Print Orders (GPO Form 2511).

Identification markings such as register marks, ring folios, rubber stamped jacket numbers, commercial identification marks of any kind, etc., form number, and revision date, carried on copy or film, must not appear on finished product. Note: GPO imprint is not to appear on completed product.

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. Contractor will be required to create a Master Report as described under "Reporting", pages 25 and 26.

ELECTRONIC PREPRESS

Immediately upon receipt and prior to image processing, the contractor shall perform a basic check (preflight) of the furnished media and publishing files to assure correct output of the required reproduction image. Any errors, media damage, or data corruption that might interfere with proper file image processing must be reported to GPO Contracting Office prior to further performance.

It is recommended that the contractor output files on the same platform (i.e. PC); no additional time or compensation will be given for errors commonly associated with file output from a different platform. The contractor shall create or alter any necessary trapping, set proper screen angles and screen frequency, and define file output selection for the imaging device being utilized. Furnished files must be imaged as necessary to meet the assigned quality level.

If discrepancies are found on the Government-furnished material(s), the contractor must contact Mark Rydberg (410) 786-3038, before starting production.

WORKFLOW AND DATA PROGRAMMING

Notices will require a “PDF Workflow” or a “Data File Workflow”. Both workflows will require data testing, programming, and reconciliation as well as reporting. ***Furnished files will consist of different notice types and mixed page counts with printing in English or Spanish.***

It is anticipated that EDN, Open Enrollment Notices (CCN and CIN), DMI, 1095-A Correction Notices, 1095-A Reprint Notices, and Various Daily Notices will require a “PDF Workflow”.

The “Data File Workflow” notices will be issued as stand-alone print orders with unique content for the consumer. Individual print order will indicate that the “Data File Workflow” is to be used.

PDF WORKFLOW

The Government will place zipped files in TIBCO. Zipped files will contain up to 1,000 PDF files and up to 1,000 corresponding XML files. Each PDF file will contain the notice to be printed with the mailing address in place. All PDF content will consist of static data. The XML file will contain the mailing address and additional notice specific variable data.

If a PDF file does not have a corresponding XML file or an XML file does not have a corresponding PDF file, contractor shall immediately notify the Government. If any PDF or XML file is corrupted or unreadable or if zipped file is empty, contractor shall immediately notify the Government.

Contractor shall perform “Data Programming” and “Reporting” as described hereafter, print notices, insert notices into envelopes, and offload notices to USPS.

DATA FILE WORKFLOW

The Government will place files in TIBCO. Static data will be furnished in a PDF or Microsoft Word file. Variable data will be furnished as XML, ASCII Text, delimited CSV, or Microsoft Excel file and will contain the mailing address and additional variable data information. Variable data mapping information (known as a crosswalk) will be provided in a Microsoft Word or PDF file.

Contractor shall immediately notify the Government of any corrupt or unreadable data in the furnished files.

Contractor shall perform “Data Programming” and “Reporting” as described hereafter, print notices, insert notices into envelopes, and offload notices to USPS.

DATA PROGRAMMING

Contractor will be required to perform data programming as described under “File Viability Testing”, “Notice Format Testing”, and “Mailing Address Programming and Certification”.

File Viability Testing

Files placed in TIBCO by multiple sources and each source will notify the contractor of the availability of files, including the Count file, via e-mail. Contractor to download files, confirm number of files received with the Count file, and determine file viability. Files that are empty or have been corrupted or are unreadable are not viable and are to be reported to the Government before further action can be taken. Upon resolution of non-viable files, contractor to record the reason the files are non-viable in the Master Report along with their Government Unique ID and App ID as applicable.

Notice Format Testing

After completing File Viability Testing, the contractor will be required to test each notice for conformance to the most recent Notice Format requirements and report any discrepancies to the Government before further action can be taken. The Government will provide revised files or direct the contractor to correct file formatting or add non-conformant notices to the Master Report as non-viable.

Mailing Address Programming and Certification

After completing Notice Format Testing, the contractor to conduct Mailing Address Programming and Certification.

The addresses furnished for PDF Workflow and for Data File Workflow will be four to seven lines; however, the number of lines may change during the course of the contract. The last line of address must be city, state, and zip code. Contractor to format page 1 of all notices in a manner that ensures that only the mailing address and IMb appear in the window of the mailing envelope. Addressing requirements are indicated under "Printing/Imaging" and window dimensions are indicated under "Envelope Construction".

When performing Mailing Address Programming on PDF Workflow files, contractor must extract mailing address from furnished PDF, perform programming on furnished XML file address, add IMb to address format, and then insert XML address with IMb into correct furnished PDF file in proper location.

CASS/NCOA Certification

Contractor to perform CASS and NCOA certification on all addresses. All address updates/changes are to be accepted. Any notice with an address identified as undeliverable or invalid is to be deleted from production run and added to the Master Report as a CASS/NCOA undeliverable or invalid address.

Contractor shall create a word processing or spreadsheet file identifying the address furnished by the Government, the notice's App ID (found in XML data), and the address update indicated by CASS or NCOA. All deleted addresses are to be recorded in the same file and are to include the App ID and the CASS or NCOA reason for the deletion.

Contractor to maintain CASS and NCOA updates/changes files for 120 days after mailing. The files are identified as CASS/NCOA Movers Update Report and must be properly configured to protect PII. The contractor is to submit this report to CMS upon completion of mailing via secure e-mail with files encrypted and password protected. The report is not to be sent to GPO.

Intelligent Mail Barcode (IMb)

During the term of this contract, CMS mailers will be required to meet USPS requirements for using IMb to access automation postal rates for presort first class mail. Full Service IMb will be required for Domestic Mail only. The successful bidder must understand and be able to implement all mail preparation requirements enacted by the Postal Service related to using full-service IMb. The requirements include, but are not limited to, preparing Intelligent Mail barcodes for the mail trays and containers meeting USPS quality acceptance standards.

Experience with assigning unique numbers for each mail piece, preparing electronic manifests, making electronic appointments, producing revised tray/pallet label formats and other similarly detailed IMb requirements as mandated by the Postal Service is essential.

The IMb must appear in the address block of the inserted item and show through the window area of the mailing envelope. Printing or imaging of the IMb on the envelope is NOT permissible.

Contractor may be responsible for any postage fees related to undeliverable letters caused by print quality control issues.

All copies mailed must conform to the appropriate regulations in the U.S. Postal Service manuals for domestic presorted First-Class mail. Mail as applicable. Mail must be prepared for the most cost-effective mailing rate/class obtainable, including ZIP + 4, bar-coding, and presorting for maximum postal automation discounts (as applicable).

The placement and application of the full-service Intelligent Mail Barcode (IMb) must not compromise any applicable USPS addressing/imprinting requirements.

All mailed copies must be sorted using the ZIP + 4 code. Exception – Puerto Rican addresses (if any) must only display the zip + 4 codes from CMS provided address file.

Secure Destruct

The Mailer Identifier (MID) is a field within the Intelligent barcode (IMb) that is used to identify mailers requiring Secure Destruct (SD). Full Service IMb – ACS SD Option 2 – Service Type ID 335 is required. CMS to provide the MID code to contractor for use in the IMb.

The metrics for SD to be encoded in the IMb is as follows:

- MID Code
- Single Source ACS
- Service Type Identifiers (STIDs) 335
 - Forward Mail pieces
 - Undeliverable Mail pieces
 - Note: Change-of-Address (COA's) life cycle is for 12 months. During months 13-18 the mail pieces will be destroyed and an Address Correction Service (ACS) notice is generated and coded as Forwarding Order Expired (FOE) on the record. A notice will contain the reason for non-delivery as a UAA Code.

As part of the SD program, the U.S. Postal Service uploads daily the SD metrics of mail-pieces. Contractor to download daily these metrics from the password protected Electronic Product Fulfillment (EPF) site.

There are two files per day, one is the delimited SD file and the other contains a fixed length file of the SD plus ACS metrics. The contractor retains these downloaded files in a secure location until the mailing for the 3599-S is 100% complete for that week of domestic mail pieces.

The contractor must provide all mailing materials, as well as all labeling and marking, as necessary to fulfill mailing and distribution requirements. Noncompliance with the packing and labeling instructions will be cause for the government to take corrective action in accordance with GPO Pub. 310.2.

Informed Delivery Campaigns

It is anticipated that 2 to 3 Informed Delivery (ID) Campaigns will be applied to Program 3599-S mailings. Contractor will be required to upload the ID Campaign per click count and realized postage discounts along with the USPS mail.dat file for each mailing.

Production Reports:

Upon completion of File Viability Testing, Notice Format Testing, and Mailing Address Programming and Certification, contractor to provide a revised notice and file count as well as an image, page, leaf, and envelope count to the Government to reconcile the files received to the files sent to production.

The contractor shall create a Master Report in a data collection and repository file format such as a database, delimited text file (CSV file format), or spreadsheet. The contractor shall be required to generate a variety of reports from the Master Report. All reports are to be maintained by the contractor for the life of the contract. See "Reporting" pages 25 and 26.

REPRODUCIBLES

The contractor must make all reproducibles required. The contractor is responsible for determining what type reproducibles will be used but must maintain the quality level specified in the contract. No separate charges will be allowed for the various types of reproducibles that may be used.

Further, the contractor is responsible for outputting all images contained on furnished material, regardless of the production process, at the highest effective resolution possible. The contractor is responsible for determining the appropriate output resolution to achieve optimal results for such design elements as blends, gradients, halftones, type, and other images. This determination should be made using factors such as stock, imaging device (or press) being used, and other factors unique to the contractor's production environment.

PROOFS

Proofs will not be required for the notices produced under the PDF Workflow. PDF Proofs will be required for notices produced under Data File Workflow. PDF Proofs will be required for each envelope.

NOTICES

Contractor to submit one "Press Quality" PDF soft proof (for content only) 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, and image position. Email proofs on or before the date indicated on the individual print order. Contractor must call the individual indicated on the individual print order to confirm receipt of e-mailed proofs.

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

ENVELOPES

Proofs will be required for envelopes on the first print order and whenever changes are required to the envelopes. There will be no change in envelope artwork for the first three months of the contract. When changes are required, contractor will be notified 30 workdays in advance of upcoming changes. Changes to the envelopes are not expected to exceed 4 changes during each term of the contract.

The 6-1/8 × 9-1/2" envelopes will require one set of proofs for the PDF Workflow and one set of proofs for the Data File Workflow. Construction is the same but printed content is different. The 9 × 12" envelopes will require one set of proofs for the PDF Workflow but 9 × 12" envelopes are not anticipated for the Data File Workflow.

Contractor to submit one "Press Quality" PDF soft proof (for content only) 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, and image position. Email proofs on or before the date indicated on the individual print order. Contractor must call the individual indicated on the individual print order to confirm receipt of e-mailed proofs.

ALL PROOFS

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 Government will approve or disapprove the proofs within 3 workdays of the receipt thereof. Notification will be given by e-mail. Approval or disapproval will not relieve the contractor of complying with the specifications and all other terms and conditions of the contract. Additional e-mail proofs may be required if proofs are disapproved.

The contractor must not print/image envelopes prior to receipt of an "OK to print".

PRIOR-TO-PRODUCTION SAMPLES

The contractor may be required to produce Prior-to-Production Samples. The individual print order will provide information regarding which notices will require these samples. All Prior-to-Production Samples shall comply with specifications in Section 1. under "Initial Testing Period/Post-Award Test", page 10.

PRODUCTION INSPECTION

When indicated on the individual print order, or at any time as may be required during the contract term, the Government may conduct a complete production inspection including receipt of files, programming, imaging, inserting, and entry into USPS mail system.

This inspection shall be conducted and approved at the contractor's plant for the purpose of establishing specified standards for use during the complete production (from download of files to entry into USPS mail system).

Upon approval, the contractor is charged with maintaining those standards throughout the production and mail entry process (within QATAP tolerances when applicable) and with discarding all imaged and/or inserted sheets that preceded approval. See GPO Publication 315.3 (Guidelines for Contractors Holding Press Sheet Inspections) dated August 2002 (available on GPO web site at: <http://www.gpo.gov/printforms/index.html>).

A production inspection is for the purpose of setting specific standards that are to be maintained throughout the entire production run, including entry into USPS mail system. It does not constitute a prior approval of the entire production run.

The Government may conduct on-site randomized Security and Imaging inspections at any time.

NOTIFICATION

The notification schedule should be followed for these Inspections. The contractor shall make all efforts necessary to schedule the inspection on the same, or subsequent, days. Call the GPO Contracting Officer, Northeast Team at (614) 488-4616, Ext. 0 and Mark Rydberg at 410-786-3038 with a minimum notice of 2 workdays prior to availability.

This notification must provide the starting date and time of the first download, as well as the tentative schedule for all subsequent imaging and inserting required for complete production and entry into USPS mail system. On site inspections must be scheduled Monday through Friday, exclusive of Federal holidays, and scheduled to begin between the hours of 7:00 a.m. and 7:00 p.m. local time.

It is the contractor's responsibility to maintain and adjust inspection schedules, as required, to ensure all subsequent inspections are performed on following workdays. Inspection schedules must allow Government representatives to complete approval of all press forms within the day/time requirements. Inspections must not be scheduled on weekends, or to "carry over to the following week" without prior approval by the GPO Contracting Officer.

The GPO Contracting Officer reserves the right to deny requests for press inspections/color approvals that conflict with these scheduling requirements. Failure to comply with these scheduling requirements may result in additional Government per diem, overtime, and/or travel related charges which may be chargeable to the contractor (See GPO Contract Terms, Pub. 310.2, (Rev. 1-18), Article 14. Inspection and Tests, (e) (1) & (2)).

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.

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).

NOTICES

White Uncoated Text, basis size 25 × 38", 50 lbs. per 500 sheets, equal to JCP Code A60.

MAILING ENVELOPES

6-1/8 × 9- 1/2” and 9 × 12” : White Writing or Wove, basis size 17 × 22”, 24 lbs. per 500 sheets, equal to JCP Code V20.

PRINTING/IMAGING

All printing/imaging of notices, regardless of method must be a minimum resolution of 600 × 600 dpi and meet Quality Level III attributes.

NOTICES

Each notice will be unique and customized for each recipient. Notices will have 4 to 30 pages (3 to 30 images) imaging in black ink. Most pages in a notice will print face and back. Government furnished files consist of logo, type and rule, tables and charts, and mailing addresses. Some files will contain a barcode on one or more pages.

Orders with PDF Workflow will require the contractor to extract address data from furnished PDF, run through CASS and NCOA, apply changes as necessary, create and apply IMb barcode, and insert back into correct position in PDF.

Orders with Data File Workflow will require the contractor to merge the data file with the notice template with significant variable data throughout. It is anticipated that each notice issued will contain different variable data but one notice template.

It is anticipated that the addresses will be four to seven lines. The last line of address must be city, state, and zip code. All address elements, components, ink characteristics and IMb barcodes must meet USPS automated mail processing equipment compatibility standards and comply with all related USPS requirements as cited in the DMM and Standard Mail Processing Guidelines in effect at the time of mailing.

Address placement, format, and fonts must be consistent with current U.S. Postal Service (USPS) *Address Quality Standards*, and in accordance with appropriate USPS rules and regulations including USPS Domestic Mail Manual (DMM) in effect at the time of mailing. The type font must be one of the USPS accepted and verified MLOCR readable type.

ENVELOPES

At the contractor’s option, contractor may preprint envelopes to keep a stock on hand or print the envelopes when orders are received. It is anticipated that the contractor may keep no more than a 3-month supply of envelopes. Contractor is not to pre-print notices. Although the envelopes will generally remain the same from order to order, changes may need to be made from time to time. The Government will provide the contractor with as much advance notice as possible. The inventory of stock on hand for monthly supply should be coordinated with the Government when the contract is within 3 months of expiration. Contractor is cautioned that reimbursement will only be made for actual quantities mailed.

Orders requiring a PDF Workflow will require 6-1/8 × 9-1/2” envelopes and 9 × 12” envelopes. Orders requiring a Data File Workflow will only require 6-1/8 × 9-1/2” envelopes.

Content on the 6-1/8 × 9-1/2” envelopes under PDF Workflow is different than content on the 6-1/8 × 9-1/2” envelopes under Data File Workflow. Content on 9 × 12” envelopes under PDF Workflow is different than content on either 6-1/8 × 9-1/2” envelope. After construction, face prints in black ink with return address, USPS “Official Business” and “Penalty for Private Use, \$300” statements, First-Class Mail postage and fees paid permit imprint and up to four lines of type.

Interior of envelope (after construction) prints with a security tint in black ink. Use standard obliteration feature of jumbled character design or, at the contractor’s option, use their own design, however, no proprietary design and no company logos are permitted. Contractor must guarantee that the envelopes will ensure complete opacity and prevent show through of any material contained therein.

MARGINS

Adequate gripper, margins per Notice Format instructions. Follow approved proofs for envelope margins.

ENVELOPE CONSTRUCTION

Envelopes are to be constructed as described below. Orders requiring a PDF Workflow will require 6-1/8 × 9-1/2” envelopes and 9 × 12” envelopes. Orders requiring a Data File Workflow will only require 6-1/8 × 9-1/2” envelopes.

6-1/8 × 9-1/2” ENVELOPES:

Open side with side seams and a fully gummed flap.

Face of envelope to have an approximately 2 × 5” die-cut window positioned approximately 7/8” from left and 2-1/8” from bottom to allow imaged address on notice to show through window when it is folded and inserted. Contractor to determine exact size and position of window but it must be sized and placed to accurately display up to seven lines of address and IMb and meet all applicable USPS machinable mail/addressing standards. Cover window with a clear glassine or poly material securely glued on all sides of the interior of the envelope.

9 × 12” ENVELOPES:

Open side with side seams and a fully gummed flap.

Face of envelope to have an approximately 5 × 2” die-cut window positioned approximately 2-5/16” from left and 5/8” from bottom to allow imaged address on notice to show through window when it is inserted. Contractor to determine exact size and position of window but it must be sized and placed to accurately display up to seven lines of address and IMb and meet all applicable USPS machinable mail/addressing standards. Cover window with a clear glassine or poly material securely glued on all sides of the interior of the envelope.

TRIMMING/COLLATING/FOLDING

Trim 4 sides.

It is the contractor’s responsibility to ensure that only the mailing address, including IMb, and contractor generated Unique ID will be visible through the window in the envelope and that only one complete notice is inserted into each envelope.

NOTICES WITH UP TO AND INCLUDING 18 PAGES (9 LEAVES)

Each piece of each notice is to be gathered in sequence (collated), face up on all pages and then folded from 8-1/2 × 11” to 8-1/2 × 5-1/2”, and inserted into a 6-1/8 × 9-1/2” envelope with the mailing address facing out for visibility of the address through the window in the envelope.

NOTICES OVER 18 PAGES, UP TO AND INCLUDING 30 PAGES (10 TO 15 LEAVES)

Each piece of each notice is to be gathered in sequence (collated), inserted face up on all pages (flat, not folded), and inserted into a 9 × 12” envelope with the mailing address facing out for visibility of the address through the window in the envelope.

LABELING AND MARKING

Refer to Contract Terms and furnished Form 905.

MAIL PREPARATION

All envelopes will have a printed/imaged DHHS Mail Postage and Fees Paid permit for domestic mail. The contractor is cautioned to use the permit imprints only for mailing material produced under this contract.

Using the address information as provided, the contractor is required to obtain the maximum USPS postage discounts possible in accordance with the USPS First Class mail and appropriate automated mail discount structure in effect at the time of mailing.

The contractor will use Federal Agency Cost Code 271-03599 on all mailing documents.

In compliance with USPS Mail Preparation & Sortation Regulations, all mail must be appropriately marked and supported with the documentation necessary to ensure USPS acceptance. Gather each piece and insert into mailing envelope, and seal. Contractor must ensure all addresses can display address format acceptable for USPS automation processing.

The contractor must provide all mailing materials, as well as all labeling and marking, as necessary to fulfill mailing and distribution requirements. Noncompliance with the mail preparation and labeling and marking instructions will be cause for the Government to take corrective action in accordance with GPO Pub. 310.2.

Contractor may be responsible for any postage fees related to undeliverable letters caused by print quality control issues.

Any mail related questions/issues should be directed to John Czumalowski, jczumalowski@cms.hhs.gov and Mark Rydberg at mark.rydberg@cmshhs.gov.

CASS AND NCOA CERTIFICATION FILES

Contractor will be required to perform Coding Accuracy Support System (CASS), including ZIP + 4, and National Change of Address (NCOA) certifications.

Contractor sponsored address data enhancements to secure postal discount MUST NOT negatively affect deliverability. It is the contractor's responsibility to keep up to date on all USPS requirements.

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

All copies mailed must conform to the appropriate regulations in the U.S. Postal Service manuals for domestic presorted First-Class mail and must be prepared for the most cost-effective mailing rate/class obtainable presorting for maximum postal automation discounts (as applicable).

INTELLIGENT MAIL BARCODE (IMB)

The Intelligent Mail barcodes must be furnished by contractor as part of each individual notice. The placement and application of the IMb must not compromise any applicable USPS addressing/imprinting requirements.

The successful bidder must understand and be able to implement all mail preparation requirements enacted by the Postal Service related to using Intelligent Mail. The requirements include, but are not limited to preparing Intelligent Mail barcodes meeting USPS quality acceptance standards. Experience with assigning unique numbers for each mail piece, preparing electronic manifests, making electronic appointments, producing revised tray/pallet label formats and other similarly-detailed IMb requirements as mandated by the Postal Service is essential.

TAP TEST

In addition, USPS has instituted a verification procedure called a “tap” test. This test is used to screen all mailings with barcode inserts for proper barcode spacing within the envelope window. USPS will randomly select samples from a mailing and tap the pieces on their left right and bottom edges to test whether the barcode maintains a minimum spacing of 1/8 inch between the barcode and the left and right edges of the window, at least 1/25 inch between the barcode and the bottom edge of the mail piece. Mail pieces are not to be tapped upside down (i.e. on their top edge).

REPORTING

Contractor will be responsible for validating the integrity of every notice produced in all phases of printing/imaging, inserting, and mailing and to ensure all notices received from CMS were correctly entered into the United States postal system or otherwise accounted for. The Master Report is to be the primary data collection receptacle and all other reports listed below, unless otherwise indicated, must be populated from the Master Report. Reports are to be sent to various individuals; e-mail addresses will be provided at the Post-Award Conference and may be updated during the term of the contract. Exhibits 1 through 6, pages 51 to 53, describe the minimum data criterion to be collected on the Master Report.

MASTER REPORT

The Master Report provides for 100% accountability of notices received, printed, inserted, and mailed. The Master Report is to contain a row for each file received during the life of the contract. An example of the Master Report raw data is included in Exhibit 1 page 51. Additional data points may be added during the term of the contract. The contractor is to submit a PDF copy of the Master Report upon request of the Government.

DAILY COUNT VERIFICATION REPORT

The Daily Count Verification Report is to be generated out of the Master Report. Contractor to confirm counts received by each Data Provider and submit Count Verification Report by 7:00 a.m. prevailing Eastern time each workday. An example of the Daily Count Verification Report is included in Exhibit 2, page 52. Additional data points may be added during the term of the contract. The Daily Count Verification Report to be submitted via e-mail in PDF, XLSX, or CSV file format. E-mail address(es) provided at time of award.

DAILY RECORDS RECEIVED REPORT

The Daily Records Received Report is to be generated out of the Master Report. Contractor to submit report by 3:00 p.m. prevailing Eastern time each workday. An example of the Daily Records Received Report is included in Exhibit 3, page 52. Additional data points may be added during the term of the contract. Daily Records Received Report to be submitted via e-mail in XLSX or CSV file format. E-mail address(es) provided at time of award.

DAILY APP ID REMOVAL REPORT

The Daily App ID Removal Report is to be generated out of the Master Report. Contractor to submit report by 3:00 p.m. prevailing Eastern time each workday. An example of the Daily App ID Removal Report is included in Exhibit 4, page 52. Additional data points may be added during the term of the contract. Daily App ID Removal Report to be submitted via e-mail in XLSX or CSV file format. E-mail address(es) provided at time of award.

DAILY CASS/NCOA CERTIFICATION REPORT

The Daily CASS/NCOA Certification Report is not populated from the Master Report but is generated and maintained by the contractor using USPS authorized CASS and Change of Address software. The contractor is to submit a PDF copy of the report upon request of the Government.

DAILY CASS/NCOA MOVERS UPDATE REPORT

The Daily CASS/NCOA Movers Update Report will contain PII and the contractor is to handle data in accordance with the security requirements of this contract. See “Security”, page 2, and “Section 5 CMS Security Specifications”, pages 33 through 49. Contractor to submit the report by 8:00 a.m. prevailing Eastern time the workday after mailing is completed.

A complete list of mailing address changes is to be sent in an encrypted email to CMS only. It is anticipated to indicate the App ID and the NCOA revised addresses. Exact format to be determined at the post-award conference.

WEEKLY DETAILED PRODUCTION REPORT

The Weekly Detailed Production Report is to be generated out of the Master Report. Contractor to submit report by 7:00 a.m. prevailing Eastern time the first workday after weekly production and mailing is completed. An example of the Weekly Detailed Production Report is included in Exhibit 5, page 53. Additional data points may be added during the term of the contract. The Weekly Detailed Production Report to be submitted via e-mail in XLSX or CSV file format. E-mail address(es) provided at time of award.

SECURE DESTRUCT

Secure Destruct will require the contractor to submit the “SD File” and the “SD Plus ACS Metrics File” as described under “Workflow and Data Programming”, pages 17 through 19. These files are not a part of the Master Report.

INFORMED DELIVERY CAMPAIGN TRACKER

The Informed Delivery Campaign Tracker is an Excel or CSV file that records the results of Informed Delivery Campaigns implemented under Program 3599-S. The tracker records all print orders issued during a given campaign, the dates associated with the campaigns, the total click throughs of the campaign, and the total postal savings of the campaign. The tracker is separate from the Master Report. Contractor to submit report within 2 weeks after campaign ends. An example of the Informed Delivery Campaign Tracker is included in Exhibit 6, page 53. Additional data points may be added during the term of the contract. The Informed Delivery Campaign Tracker to be submitted via e-mail in XLSX or CSV file format. E-mail address(es) provided at time of award.

DISTRIBUTION

Mail f.o.b. contractor’s city using contractor printed “First Class Postage and Fees Paid Permit” imprint. The contractor will be required to provide mailing under the provided DHHS “G-28” permit imprint via pre-sorted “First Class Mail, U.S. Postage Paid”.

The contractor is cautioned that “Postage and Fees Paid” indicia may be used only for the purpose of mailing material produced under the contract. All copies mailed must conform to the appropriate regulations in the U.S. Postal Service manuals for “Domestic Mail” as applicable.

CERTIFICATE OF CONFORMANCE

When using Permit Imprint Mail, the contractor must complete GPO Form 712 – Certificate of Conformance (Rev. 1-85) supplied by GPO and the appropriate mailing statement or statements supplied by USPS.

DELIVERY/SHIPPING STATUS INFORMATION

Contractors are to report information regarding each order for compliance reporting purposes and include date of delivery (or shipment if applicable) for proofs and delivery schedules in accordance with the contract requirements by contacting GPO Northeast Team via e-mail at infonortheast@gpo.gov. A PDF copy of all required USPS postal forms, and matching GPO 712 form(s) must be submitted to Mark Rydberg at mark.rydberg@cms.hhs.gov, John Czumalowski, john.czumalowski@cms.hhs.gov, and to infonortheast@gpo.gov for each file date within two (2) workdays of mailing.

Prior to or in conjunction with presenting the mailing for acceptance, a MERLIN (Mail Evaluation Readability Lookup Instrument) mail diagnostics analysis may be completed by the Postal Service. Within 24 hours of acceptance, a copy of the “MERLIN” Summary Verification Reports listing the results must be e-mailed to Mark Rydberg at mark.rydberg@cms.hhs.gov and John Czumalowski, john.czumalowski@cms.hhs.gov.

SCHEDULE

Adherence to this schedule must be maintained.

Files will be transmitted from CMS/CCIIO data providers using automated data transfer methods. It is anticipated that files will be transmitted at any time on any calendar day.

The print order schedule begins at 6:00 a.m., prevailing Eastern time, Monday through Friday, exclusive of federal holidays.

The flow basis schedule begins at 6:00 a.m., prevailing Eastern time each workday of each print order. The completed file transmissions in the TIBCO mailbox at the beginning of each workday of each print order constitute the work received for that workday.

Contractor must not start production of any job prior to receipt of TIBCO files. Contractor will be notified via e-mail of the availability of files, quantity of files, and page/image count of files. Contractor to verify and confirm the total number of notices, pages, and images by 7:00 a.m. each workday of each work week. See “Reporting” above.

The contractor must have the capability and available capacity to print up to 5,000,000 notices with a total of up to 30,000,000 pages (15,000,000 leaves) each week. Daily averages will vary. It is anticipated that workdays following a weekend or federal holiday will have a higher volume of notices and pages than workdays that follow another workday.

Up to 1,000,000 notices, regardless of page count, are to be mailed within 2 workdays of receipt. Notices received on Monday are to be mailed on or before close of business on Tuesday. One additional workday will be allowed for every additional 1,000,000 notices.

The government will assign priority tiers to each type of notice. These tiers are identified by the XML tag “SpecifyingNoticeType” provided to contractor at time of award. The contractor must mail completed pieces on a flow basis as prioritized by the priority tiers. The government may change the priority tier of any notice and will inform the contractor when this is done.

RECEIPT FOR DELIVERY

Contractor must provide their own receipts for delivery. These receipts must include the GPO jacket, program, and print order numbers, total quantity delivered, number of cartons, and quantity per carton, date delivery made, and signature of the Government agent accepting delivery. The original copy of this receipt must accompany the contractor’s voucher for payment.

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

All expenses incidental to pickup/return of materials/proofs and furnishing sample copies must be borne by the contractor.

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 1 year’s orders under this contract. These units do not constitute, nor are they to be construed as, a guarantee of the volume of work which may be ordered for a like period of time.

The following item designations correspond to those listed in the “Schedule of Prices”.

- I. (a) (1) 123,461
(2) 1,200
(b) 124,659
(c) 115,957

- II. (a) (1) 3
(2) 2
(3) 1
(b) 4

- III. (a) 533,591
(b) (1) 115,735
(2) 222

- IV. (a) 276,299
(b) (1) 115,735
(2) 222

- V. (a) 275,186
(b) 1,113

SECTION 4. – SCHEDULE OF PRICES

Bids offered are f.o.b. contractor’s city by permit imprint.

Prices must be submitted for the entire term of the contract and bids qualified for a lesser period will not be considered.

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 nonresponsive.

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

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

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

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

Fractional parts of 1,000 will be prorated at the 1,000 rate.

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

(a) Data Programming for File Viability and Notice Format Testing:

(1) PDF Workflow per 1,000 notices\$ _____

(2) Data File Workflow per 1,000 notices\$ _____

(b) Data Programming for Mailing Address Programming and Certification (CASS and NCOA).....

per 1,000 addresses\$ _____

(c) Data Programming and Reporting for Secure Destruct per 1,000 addresses\$ _____

II. PROOFS AND PRE-PRODUCTION SAMPLES: Prices must include the cost of all required materials and operations for each item listed in accordance with these specifications.

(a) PDF Proofs:

(1) Data File Workflow Notices..... each proof.....\$ _____

(2) 6-1/8 × 9-1/2” Envelopes each proof.....\$ _____

(3) 9 × 12” Envelopes each proof.....\$ _____

(b) Prior-to-Production Samples:..... each order.....\$ _____

(Initials)

SUBMIT E-MAIL BIDS TO BIDS@GPO.GOV

SCHEDULE OF PRICES

III. PRINTING/IMAGING AND TRIMMING TO SIZE: The prices offered must be all-inclusive in accordance with these specifications and shall include the cost of all required materials and operations for complete production except for Items I. Data Programming, II. Proofs and Pre-Production Samples, IV. Stock/Paper, and V. Additional Operations.

- (a) Printing/Imaging Notices per 1,000 images\$ _____
- (b) Printing/Imaging Envelopes:
 - (1) 6-1/8 × 9-1/2” Envelopes per 1,000 envelopes.....\$ _____
 - (2) 9 × 12” Envelopes per 1,000 envelopes.....\$ _____

IV. STOCK/PAPER: Payment for all stock/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). The cost of any paper required for make-ready or running spoilage must be included in the prices offered.

- (a) Notices: White Offset (50 lbs.) per 1,000 leaves.....\$ _____
- (b) Envelopes: White Writing/Wove (24 lbs.)
 - (1) 6-1/8 × 9-1/2” Envelopes per 1,000 envelopes.....\$ _____
 - (2) 9 × 12” Envelopes per 1,000 envelopes.....\$ _____

V. ADDITIONAL OPERATIONS: Price offered for the following operations must include the cost of all required materials and operations.

- (a) Collating, Folding, and Inserting into 6-1/8 × 9-1/2” envelopes per 1,000 leaves.....\$ _____
- (b) Collating and Inserting into 9 × 12” envelopes..... per 1,000 leaves.....\$ _____

(Initials)

SUBMIT E-MAIL BIDS TO BIDS@GPO.GOV

SCHEDULE OF PRICES

SHIPMENT(S): Shipments will be made from: City _____, State _____

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

DISCOUNTS: Discounts are offered for payment as follows: _____ Percent, _____ calendar days. See Article 12 “Discounts” of 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. Valid electronic signatures will be accepted in accordance with the Uniform Electronic Transactions Act, §2. Electronic signatures must be verifiable of the person authorized by the company to sign bids.

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

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

(Street Address)

(City – State – Zip Code)

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

(Person to be Contacted) (Telephone Number) (Email)

Contracting Officer Review _____ Date _____ Certifier _____ Date _____

SUBMIT E-MAIL BIDS TO BIDS@GPO.GOV

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SECTION 5. – CMS SECURITY SPECIFICATIONS

The requirements under this section will be administered by a CMS security representative (name and contact information will be provided at time of award).

CMS INFORMATION SECURITY (OCT 2020)

All CMS information shall be protected from unauthorized access, use, disclosure, duplication, modification, diversion, or destruction, whether accidental or intentional, in order to maintain the security, confidentiality, integrity, and availability of such information. Therefore, if this contract requires the contractor to provide services (both commercial and non-commercial) for Federal Information/Data, to include any of the following requirements:

- Process any Information/Data; or
- Store any Information/Data (includes “Cloud” computing services); or
- Facilitate the transport of Information/Data; or
- Host/maintain Information/Data (including software and/or infrastructure developer/maintainers); or
- Have access to, or use of, Personally Identifiable Information (PII), including instances of remote access to, or physical removal of, such information beyond agency premises or control,

The contractor shall become familiar and remain compliant with all aspects of the Statement of Work (SOW), Statement of Objectives (SOO), Performance Work Statement (PWS), which includes CMS Information Security requirements.

The contractor shall ensure that the following Federal information security standards are met for all of its CMS contracts:

- **Federal Information Security Management Act (FISMA)** – FISMA information can be found at <https://csrc.nist.gov/projects/risk-management>. FISMA requires each Federal agency to develop, document, and implement an agency-wide program to provide information security for the information and information systems that support the operations and assets of the agency, including those provided or managed by another agency, contractor, or other source; and,
- **Federal Risk and Authorization Management Program (FedRAMP)** – FedRAMP information can be found at <https://www.gsa.gov/technology/government-it-initiatives/fedramp>. The FedRAMP is a government-wide program that provides a standardized approach to security assessment, authorization, and continuous monitoring for cloud products and services.

The Contractor shall include in all awarded subcontracts the FISMA/FedRAMP compliance requirements set forth at the CMS Information Security website at <https://www.cms.gov/Research-Statistics-Data-and-Systems/CMS-Information-Technology/InformationSecurity/Info-Security-Library-Items/CMS-Security-and-Privacy-Language-for-Procurements>.

HIPAA BUSINESS ASSOCIATE CLAUSE (OCT 2014)

All Protected Health Information (PHI), as defined in 45 C.F.R. §160.103, that is relevant to this Contract, shall be administered in accordance with the Health Insurance Portability and Accountability Act of 1996 ("HIPAA," 42 U.S.C. § 1320d), as amended, as well as the corresponding implementing regulations and this HIPAA Business Associate Clause.

a. Definitions:

All terms used herein and not otherwise defined, shall have the same meaning as in HIPAA, as amended, and the corresponding implementing regulations. Non-HIPAA related provisions governing the Contractor's duties and obligations, such as those under the Privacy Act and any applicable data use agreements, are generally covered elsewhere in the Contract.

The following definitions apply to this Contract Clause:

“**Business Associate**” shall mean the Contractor (and/or the Contractor's subcontractors or agents) if/when it uses individually identifiable health information on behalf of CMS, i.e. PHI, to carry out CMS' HIPAA-covered functions.

“**Covered Entity**” shall mean the portions of CMS that are subject to the HIPAA Privacy Rule.

“**Secretary**” shall mean the Secretary of the Department of Health & Human Services or the Secretary's designee.

b. Obligations and Activities of Business Associate:

Except as otherwise provided in this Contract, Business Associate, as defined above, shall only use or disclose PHI on behalf of, or to provide services to, Covered Entity in accordance with this Contract and the HIPAA Privacy and Security Rules.

Business Associate shall document in writing the policies and procedures that will be used to meet HIPAA requirements. The policies and procedures shall include the following, at a minimum:

1. Business Associate shall not:
 - i. Use or disclose PHI that is created, received, maintained or transmitted by Business Associate from, or on behalf of, Covered Entity other than as permitted or required by this Contract or as required by law;
 - ii. Sell PHI; or,
 - iii. Threaten, intimidate, coerce, harass, discriminate against, or take any other retaliatory action against any individual for:

- A. Filing a complaint under 45 CFR § 160.306;
 - B. Testifying, assisting or participating in an investigation, compliance review, proceeding or hearing under 45 CFR Part 160; or
 - C. Opposing any act or practice that is unlawful under HIPAA, provided there is a good faith belief that the practice is unlawful, the manner of opposition is reasonable, and the opposition does not involve the disclosure of PHI in violation of subpart E of Part 164.
2. Business Associate shall:
- i. Have a security official who will be responsible for development and implementation of its security policies and procedures, including workforce security measures, to ensure proper security awareness and training (including security incident response and reporting), and security incident procedures, in accordance with this Contract, including this HIPAA Business Associate Clause and the Contract's clause entitled "CMS Information Security."
 - ii. Use administrative, physical and technical safeguards to prevent use or disclosure of PHI created, received, maintained or transmitted by Business Associate from, or on behalf of Covered Entity only as provided for by this Contract. In doing so, it shall implement policies and procedures to address the following and, where applicable, ensure that such policies and procedures are also in conformance with this Contract's clause entitled "CMS Information Security:"
 - A. Prevent, detect, contain and correct security violations through the use of:
 - a. Risk analyses (including periodic technical and nontechnical evaluations);
 - b. Appropriate risk management strategies, including system activity review;
 - c. Information access procedures for approving individual's access rights to PHI (including the implementation of workforce security measures to ensure continued appropriate role-based access to PHI), and technical policies and procedures to ensure compliance with grants of access (including unique user identification and tracking of users) and;
 - d. The imposition of sanctions for violations.
 - B. Limit physical access to its electronic information systems and the facility or facilities in which they are housed.

- C. Implement policies, procedures and physical security measures that will limit access to PHI through workstations and other devices, including access through mobile devices.
 - D. Implement media controls covering the movement of devices containing PHI within or outside of the Business Associate's facility as well as the disposal and reuse of media containing PHI.
 - E. Implement appropriate administrative, physical and technical safeguards that reasonably and appropriately protect the confidentiality, integrity and availability (including the use of contingency plans) of any electronic protected health information ("E PHI") it creates, receives, maintains or transmits from, or on behalf of the Covered Entity to prevent impermissible use, disclosure, maintenance or transmission of such E PHI. In the establishment of such safeguards, Business Associate shall consider its size, complexity and capabilities, as well as its technical infrastructure, and its hardware and software security capabilities.
- iii. Assess, and implement, where appropriate, any addressable implementation specifications associated with applicable PHI security standards.
 - iv. Mitigate, to the extent practicable, any harmful effect that is known to Business Associate of a use or disclosure of PHI by Business Associate in violation of the requirements of this Contract.
 - v. Comply with the following Incident Reporting:
 - A. Report to Covered Entity any security incident/breach involving unsecured PHI, of which it becomes aware, including those of its agents and subcontractors. The Business Associate shall report any violation of the terms of this contract involving PHI and any security incidents/breaches involving unsecured PHI to CMS within one (1) hour of discovery in accordance with the CMS Risk Management Handbook (RMH), specifically "RMH Vol II Procedure 7-2 Incident Handling Procedure" and "RMH Vol III Standard 7-1 Incident Handling." These procedures can be found at <http://www.cms.gov/Research-Statistics-Data-and-Systems/CMS-Information-Technology/InformationSecurity/Information-Security-Library.html> In addition, the Business Associate will also notify the CMS Contracting Officer and the Contracting Officer's Representative (COR) by email within one (1) hour of identifying such violation or incident.
 - B. Upon Covered Entity's knowledge of any material security incident/breach by Business Associate, Covered Entity will provide an opportunity for Business Associate to cure the breach or end the violation consistent with the termination clause of this Contract. *See also* paragraph D. Term of Clause below.
 - vi. Ensure that any agent or subcontractor agrees through a written contract, or other legally enforceable arrangement, to the same restrictions and conditions that apply through this HIPAA Contract Clause, when creating, receiving, maintaining or transmitting PHI from, or on behalf of, Covered Entity.

- vii. Upon Covered Entity's request:
 - A. Provide the Covered Entity or its designee with access to the PHI created, received, maintained or transmitted by Business Associate from or on behalf of the Covered Entity in the course of contract performance in order to ensure Covered Entity's ability to meet the requirements under 45 CFR § 164.524.
 - B. Amend PHI as Covered Entity directs or agrees to pursuant to 45 CFR § 164.526.
- viii. Make its facilities and any books, records, accounts, and any sources of PHI, including any policies and procedures, that are pertinent to ascertaining its own compliance with this contract or the Covered Entity's compliance with the applicable HIPAA requirements, available to Covered Entity, or, in the context of an investigation or compliance review, to the Secretary for purposes of the Secretary determining Covered Entity's compliance with the various rules implementing the HIPAA.
- ix. Document disclosures of PHI and information related to such disclosures as would be required for Covered Entity to respond to a request by an Individual for an accounting of disclosures of PHI in accordance with 45 CFR § 164.528.
- x. Provide to Covered Entity, or an individual identified by the Covered Entity, information collected under this Contract, to permit Covered Entity to respond to a request by an Individual for an accounting of disclosures of PHI in accordance with 45 CFR § 164.528.
- xi. Make reasonable efforts to limit the PHI it uses, discloses or requests to the minimum necessary to accomplish the intended purpose of the permitted use, disclosure or request.

c. Obligations of Covered Entity

Covered Entity shall notify Business Associate of any:

1. Limitation(s) in its Notice of Privacy Practices in accordance with 45 CFR § 164.520, to the extent that such limitation may affect Business Associate's use or disclosure of PHI;
2. Changes in, or revocation of, permission by an Individual to use or disclose their PHI, to the extent that such changes may affect Business Associate's use or disclosure of PHI; and,
3. Restriction to the use or disclosure of PHI that Covered Entity has agreed to in accordance with 45 CFR § 164.522, to the extent that such restriction may affect Business Associate's use or disclosure of PHI.

d. Term of Clause

1. The term of this Clause shall be effective as of date of Contract award, and shall terminate when all of the PHI provided to Business Associate by the Covered Entity or a Business Associate of the Covered Entity, or created or received by Business Associate on behalf of Covered Entity, is destroyed or returned to Covered Entity in accordance with “CMS Information Security” procedures. Business Associate shall not retain any PHI.

2. Security Incident/Breach:

Upon Covered Entity's knowledge of a material breach by Business Associate, Covered Entity shall take action consistent with the terms of this Contract, and, as appropriate, the following:

- i. Federal Acquisition Regulation (FAR) Contracts – Covered Entity may:
 - A. Terminate this Contract in accordance with FAR Part 49, Termination of Contracts, if the Business Associate does not cure the security incident/breach within the time specified by Covered Entity and/or cure is not possible; or,

 - B. If neither termination nor cure is feasible, Covered Entity shall report the violation to the Secretary.

- ii. Other Agreements –Covered Entity shall either:
 - A. Provide an opportunity for Business Associate to cure the breach or end the violation consistent with the termination terms of this Contract. Covered Entity may terminate this Contract for default if the Business Associate does not cure the breach or end the violation within the time specified by Covered Entity; or,

 - B. Consistent with the terms of this Contract, terminate this Contract for default if Business Associate has breached a material term of this Contract and cure is not possible; or,

 - C. If neither termination nor cure is feasible, Covered Entity shall report the violation to the Secretary.

3. Returning or Destroying PHI:

Business Associate, as defined above, which includes subcontractors or agents of the Contractor, shall:

- i. Upon expiration or termination of this Contract, for any reason, return or destroy all PHI received from Covered Entity or another Business Associate of the Covered Entity, as well as any PHI created, received, maintained or transmitted from or on behalf of Covered Entity, or another Business Associate of the Covered Entity, in accordance with this contract, including the “CMS Information Security” clause.

- ii. In the event that Business Associate determines that returning or destroying the PHI is infeasible, provide to Covered Entity notification of the conditions that make return or destruction infeasible. Upon such notice that return or destruction of PHI is infeasible, Business Associate shall extend the protections of this Contract to such PHI and limit further uses and disclosures of such PHI to those purposes that make the return or destruction infeasible, for so long as Business Associate maintains such PHI.

e. Miscellaneous

1. A reference in this Contract to a section in the Rules issued under HIPAA means the section as in effect or as amended.
2. The respective rights and obligations of Business Associate under paragraph D.3.b of the section entitled "Term of Clause" shall survive the termination of this Contract.

Any ambiguity in this Contract clause shall be resolved to permit Covered Entity to comply with the Rules implemented under HIPAA.

CMS SECURITY CLAUSE (MAY 2018)

a. Applicability

In accordance with OMB Memorandum M-05-24, Implementation of Homeland Security Presidential Directive 12 (HSPD-12): Policy for a Common Identification Standard for Federal Employees and Contractors, dated August 27, 2004, and Federal Information Processing Standard (FIPS) PUB Number 201-2, Personal Identity Verification (PIV) of Federal Employees and Contractors, CMS must achieve appropriate security assurance for multiple applications by efficiently verifying the claimed identity of individuals seeking physical access to Federally controlled government facilities and/or logical access to federally controlled information systems. Contractors that require routine physical access to a CMS facility and/or routine access to a CMS federally controlled information system will be required to obtain a CMS issued PIV, PIV-I or Locally Based Physical Access card. FIPS PUB 201-2 specifies the architecture and technical requirements for a common identification standard for Federal employees and Contractors.

When a PIV or PIV-I card is provided, it shall be used in conjunction with a compliant card reader and middleware for logical system access. The Contractor shall (1) Include FIPS 201-2 compliant, HSPD-12 card readers with the purchase of servers, desktops, and laptops; and (2) comply with FAR 52.204-9, Personal Identity Verification of Contractor Personnel.

b. Definitions

“Agency Access” means access to CMS facilities, sensitive information, information systems or other CMS resources.

“Applicant” is a Contractor employee for whom the Contractor submits an application for a CMS identification card.

“Contractor Employee” means prime Contractor and subcontractor employees who require agency access to perform work under a CMS contract.

“Official station”— As defined by Federal Travel Regulations, An area defined by the agency that includes the location where the employee regularly performs his or her duties or an invitational traveler’s home or regular place of business. The area may be a mileage radius around a particular point, a geographic boundary, or any other definite domain, provided no part of the area is more than 50 miles from where the employee regularly performs his or her duties or from an invitational traveler’s home or regular place of business. If the employee’s work involves recurring travel or varies on a recurring basis, the location where the work activities of the employee’s position of record are based is considered the regular place of work.

“Federal Identification Card” (or “ID card”) means a federal government issued or accepted identification card such as a Personal Identity Verification (PIV) card, Personal Identity Verification-Interoperable (PIV-I) card, or a Local-Based Physical Access Card issued by CMS, or a Local-Based Physical Access Card issued by another Federal agency and approved by CMS. “Issuing Office” means the CMS entity that issues identification cards to Contractor employees.

“Locally Based Physical Access Card” means an access Card that is graphically personalized for visual identification, that does not contain an embedded computer chip, and is only used for physical access.

“Local Security Servicing Organization” means the CMS entity that provides security services to the CMS organization sponsoring the contract, Division of Physical Security and Strategic Information (DPSSI).

“Logical Access” means the ability for the Contractor to interact with CMS information systems, databases, digital infrastructure, or data via access control procedures such as identification, authentication, and authorization.

“Personal Identity Verification (PIV) card,” as defined in FIPS PUB 201-2, is a physical artifact (e.g., identity card, “smart” card) issued to an individual that contains a PIV Card Application which stores identity credentials (e.g., photograph, cryptographic keys, digitized fingerprint representation) so that the claimed identity of the cardholder can be verified against the stored credentials by another person (human readable and verifiable) or an automated process (computer readable and verifiable).

“Personal Identity Verification-Interoperable (PIV-I) card” similar to a PIV card, is a physical artifact (e.g., identity card, “smart” card) issued to an individual that contains a PIV Card Application which stores identity credentials (e.g., photograph, cryptographic keys, digitized fingerprint representation) so that the claimed identity of the cardholder can be verified against the stored credentials by another person (human readable and verifiable) or an automated process (computer readable and verifiable). PIV-I cards are issued by a non-federal government entity to non-federal government staff. PIV-I cards are issued in a manner that allows federal relying parties to trust the cards. The PIV-I cards uses the same standards of vetting and issuance developed by the U.S. government for its employees

c. Screening of Contractor Employees

i. Contractor Screening of Applicants

1. **Contractor Responsibility:** The Contractor shall pre-screen individuals designated for employment under any CMS contract by verifying minimum suitability requirements to ensure that only qualified candidates are considered for contract employment. At the discretion of the government, the government reserves the right to request and/or review Contractor employee vetting processes. The federal minimum suitability requirements can be found below in section (c)(2)—Suitability Requirements, and are also contained in 5 CFR 731.202. The Contractor shall exercise due diligence in pre-screening all employees prior to submission to CMS for agency access.
2. **Alien Status:** The Contractor shall monitor an alien’s (foreign nationals) continued authorization for employment in the United States. If requested by the Agency, the Contractor shall provide documentation to the Contracting Officer (CO) or the Contracting Officer’s Representative (COR) that validates that the Employment Eligibility Verification (e-Verify) requirement has been met for each Contractor or sub-Contractor employee working on the contract in accordance with Federal Acquisition Regulation (FAR) 52.222-54 - Employment Eligibility Verification.

3. **Residency Requirement:** All CMS Contractor applicants shall have lived in the United States at least three (3) out of the last five (5) years prior to submitting an application for a Federal ID Card. CMS will process background investigations for foreign nationals in accordance with Office of Personnel Management (OPM) guidance. Contractor employees who worked for the U. S. Government as an employee overseas in a Federal or military capacity; and/or been a dependent of a U.S. Federal or military employee serving overseas, must be able to provide state-side reference coverage. State-side coverage information is required to make a suitability or security determination. Examples of state-side coverage information include: the state-side address of the company headquarters where the applicant's personnel file is located, the state-side address of the Professor in charge of the applicant's "Study Abroad" program, the religious organization, charity, educational, or other non-profit organization records for the applicant's overseas missions, and/or the state-side addresses of anyone who worked or studied with the applicant while overseas.

4. **Selective Service Registration:** All males born after December 31, 1959, must meet the Federal Selective Service System requirements as established on www.sss.gov.

ii. **Identification Card Application Process**

ID Card Sponsor: The CMS Contracting Officer's Representative (COR) will be the CMS ID card Sponsor and point of contact for the Contractor's application for a CMS ID card. The COR will review and approve/deny the HHS ID Badge Request before the form is submitted to the CMS, Office of Support Services and Operations, (OSSO), Division of Personnel Security Services (DPS), for processing. If approved, an applicant may be issued either a Personal Identity Verification (PIV) or PIV- I card that meets the standards of HSPD-12 or a Local-Based Physical Access Card.

Contractor Application Required Submissions: All applicants shall submit an HHS ID Badge Request form for issuance of a Federal ID Card. Unless otherwise directed by the ID Card Sponsor or DPS, applicants are required to electronically submit the request form via CMS' Enterprise User Administration (EUA) Electronic Front-end Interface (EFI) system, which is located at <https://eua.cms.gov/efi>. To assist users with the application process, a user's guide is located at: <https://www.cms.gov/about-cms/contracting/contracting-policy-resources>.

The EUA users guide link should be used to obtain the most current instructional guidance.

PIV Training: Contractors who need PIV or PIV-I card shall complete HHS PIV Applicant Training, which is found at <https://www.cms.gov/About-CMS/Contracting-With-CMS/ContractingGeneralInformation/Contracting-Policy-and-Resources.html>. A copy of the completion certificate shall be included with the EFI application.

CMS Applicant Evaluations: CMS will evaluate an applicant's required access level. Once the review is complete and accepted for further processing, the applicant will be contacted by DPS to submit the below information, as applicable.

1. **e-QIP:** Contractor employees will be required to submit information into e-QIP, a web-based automated system that is designed to facilitate the processing of standard investigative forms used when conducting background investigations for Federal security, suitability, fitness and credentialing purposes.

2. **Fingerprints:** Instructions for obtaining fingerprints will be provided by CMS, OSSO, DPS.
3. **OF 306:** Contractor employees may be required to complete the Optional Form (OF) 306, Declaration for Federal Employment which can be found at https://www.opm.gov/forms/pdf_fill/of0306.PDF.
4. **Access to Restricted Area(s):** The CMS COR will initiate all Federal ID card holders' physical access requests via Physical Access Control System (PACS) Central at <https://pam.cms.gov/identify.php>.

Suitability Requirements: CMS may decline to grant agency access to a Contractor employee including, but not limited to, any of the criteria cited below:

1. Misconduct or negligence in employment;
2. Criminal or dishonest conduct;
3. Material, intentional false statement, or deception or fraud in examination or appointment;
4. Refusal to furnish testimony as required by § 5.4 of 5 CFR 731.202;
5. Alcohol abuse, without evidence of substantial rehabilitation, of a nature and duration that suggests that the applicant or appointee would be prevented from performing the duties of the position in question, or would constitute a direct threat to the property or safety of the applicant or appointee or others;
6. Illegal use of narcotics, drugs, or other controlled substances without evidence of substantial rehabilitation;
7. Knowing and willful engagement in acts or activities designed to overthrow the U.S. Government by force; and
8. Any statutory or regulatory bar which prevents the lawful employment of the person involved in the position in question.

Badge Issuance: Upon approval of the badging application process and prior to starting work on the contract, applicants whose official station is located within 50 miles from CMS' central office or one of its regional offices will be contacted to appear in person, at least two times (estimated at one hour for each visit), and shall provide two (2) original forms of identity source documents in order to generate the badge/ID. The identity source documents shall come from the list of acceptable documents included in FIPS 201-2, located at <http://nvlpubs.nist.gov/nistpubs/FIPS/NIST.FIPS.201-2.pdf>. At least one (1) document shall be a valid State or Federal government-issued picture ID. PIV-I mobile enrollment stations will be made available for applicants that have an official station more than 50 miles from CMS or any of its regional offices, and the employee will not need to travel to a CMS Office. The Contractor will be contacted by CMS for further instructions on the badging process in this scenario.

d. CMS Position Designation Assessment

CMS will assign a risk and sensitivity level designation analysis to the overall contract and/or to Contractor employee positions by category, group or individual. The risk and sensitivity level designations will be the basis for determining the level and type of personnel security investigations required for Contractor employees. At a minimum, the FBI National Criminal History Check (fingerprint check) must be favorably adjudicated. Additionally, the OPM e-QIP and other required forms must be accepted by DPS before a CMS identification card will be issued.

e. Post Badging Training Requirements:

Contractor employees that receive an HHS ID Badge are expected to complete the following online trainings each year, according to the timeframes indicated below, and annually thereafter. The below list is not all inclusive and the COR may indicate training that must be taken in addition to the below:

- i. **Security and Insider Threat Awareness and Training (30 days after receiving badge):** This course outlines the role of Contractors with regard to protecting information and ensuring the secure operation of CMS federally controlled information systems. Estimated time to complete is one hour.
- ii. **Computer Based Training (CBT) (within 3 days of approved EUA account):** This training offers several modules to familiarize contractor employees with features of CMS' webinar service. Estimated time to complete is one hour.

f. Background Investigation and Adjudication

Upon contract award and receipt of an HHS ID Badge Request, CMS will initiate the Agency Access procedures, to include a background investigation.

CMS may accept favorable background investigation adjudications from other Federal agencies when there has been no break in service. A favorable adjudication does not preclude CMS from initiating a new investigation when deemed necessary. Each CMS sponsored Contractor shall use the OPM e-QIP system to complete any required investigative forms.

The Contractor remains fully responsible for ensuring contract performance pending completion of background investigations of Contractor personnel. Employees that do not require access to CMS federally controlled information systems, facilities, or sensitive information in order to perform their duties may begin work on a contract immediately and need not submit an HHS ID Badge Request.

- i. Failure to cooperate with OPM or Agency representatives during the background investigation process is considered grounds for removal from the contract.
- ii. DPS may provide written notification to the Contractor employee, with a copy to the COR, of all suitability/non-suitability decisions. A CMS adjudicative decision (based on criminal history results or completed investigation results) is final, and is not subject to appeal.
- iii. Contractor personnel for whom DPS determines to be ineligible for ID issuance will be required to cease working on the contract immediately.
- iv. The Contractor shall immediately submit an adverse information report, in writing to the CO with a copy to the COR, of any adverse information regarding any of its employees that may impact their ability to perform under this contract. Reports should be based on reliable and substantiated information, not on rumor or innuendo. The report shall include, at a minimum, the Contractor employee's name and associated contract number along with the adverse information. The COR will forward the adverse information report to the DPS for review and/or action.
- v. At the Agency's discretion, Contractor personnel may be provided an opportunity to explain or refute unfavorable information before an adjudicative decision is rendered on whether or not to withdraw the Federal ID from the individual in question. Under the provision of the Privacy Act of 1974, Contractor personnel may request a copy of their own investigation by submitting a written request to the OPM Federal Investigative Services (FIS) Freedom of Information (FOI) office. The following OPM-FOI link is being provided to afford one the instructions for obtaining a copy of one's file: <https://www.opm.gov/investigations/freedom-of-information-and-privacy-act-requests/>.

g. Background Investigation Cost

The government will bear the cost of background investigations that are performed at the direction of CMS' personnel security representatives by the Federal government's approved and designated background investigation service provider, the OPM.

At the Agency's discretion, if an investigated Contractor employee leaves the employment of the Contractor, or otherwise is no longer associated with the contract within one (1) year from the date the background investigation was completed, the Contractor may be required to reimburse CMS for the full cost of the investigation. Depending upon the type of background investigation conducted and the cost incurred by CMS, the Contractor cost will be determined based upon the current OPM fiscal year billing rates, which can be found at <https://nbib.opm.gov/hr-security-personnel/investigations-billing-rates-resources/>. The amount to be paid by the Contractor shall be due and payable when the CO submits a written letter notifying the Contractor as to the cost of the investigation. The Contractor shall pay the amount due within thirty (30) days of the date of the CO's letter by check, made payable to the "United States Treasury." The Contractor shall provide a copy of the CO's letter as an attachment to the check and submit both to the Office of Financial Management at the following address:

Centers for Medicare & Medicaid Services
PO Box 7520
Baltimore, Maryland 21207

h. Identification Card Custody and Control

The Contractor is responsible for the custody and control of all forms of Federal identification issued by CMS to Contractor employees. The Contractor shall immediately notify the COR when a Contractor employee no longer requires agency access due to transfer, completion of a project, retirement, removal from work on the contract, or termination of employment. Return all CMS Federal ID cards to:

The Centers for Medicare and Medicaid Services
Attn: DPS, Mailstop: SL-17-06
7500 Security Boulevard
Baltimore, Maryland 21244

The Contractor shall also ensure that Contractor employees comply with CMS requirements concerning the renewal, loss, theft, or damage of an ID card.

Failure to comply with the requirements for custody and control of CMS issued ID cards may result in a delay in withholding final payment or contract termination, based on the potential for serious harm caused by inappropriate access to CMS facilities, sensitive information, information systems or other CMS resources.

- i. **Renewal:** A Contractor employee's CMS issued ID card is valid for a maximum of five (5) years and 9 months or until the contract expiration date (including option periods), whichever occurs first. The renewal process should begin six weeks before the ID card expiration date by contacting the COR. If an ID card is not renewed before it expires, the Contractor employee will be required to sign-in daily for facility access and may have limited access to information systems and other resources. Contractor ID card certificate(s) require yearly updates from the issuance date. The yearly updates should be coordinated between the contractor and the COR.
- ii. **Lost/Stolen:** Immediately upon detection that an ID card is lost or stolen, the Contractor or Contractor employee shall report a lost or stolen ID card to the COR and the local security servicing organization at SECURITY@cms.hhs.gov. The Contractor shall also submit an Incident Report within 48 hours, to the COR, DPS at Badging@cms.hhs.gov, and the local security servicing organization. The Incident Report shall describe the circumstances of the loss or theft. If the loss or theft is reported by the Contractor to the local police, a copy of the police report shall be provided to the COR. The Contractor employee shall sign in daily for facility access and may have limited access to information systems and other resources until the replacement card is issued.
- iii. **Replacement:** An ID card will be replaced if it is damaged, contains incorrect data, or is lost or stolen for more than three (3) days, provided there is a continuing need for agency access to perform work under the contract.

In the event that the PIV card or certificate(s) are not renewed in a timely fashion, or the ID card requires replacement due to being lost, stolen, or damaged, the contractor employee will go through the “Badge Issuance” process again as described in above in section (c)(2). In any of these events, contact your COR to coordinate the appropriate next steps.

i. Surrender ID Cards/Access Cards, Government Equipment

CMS reserves the right to suspend or withdraw ID card access at any time for any reason. Access will be restored upon the resolution of the issue(s).

Upon notification that routine access to CMS facilities, sensitive information, federally controlled information systems or other CMS resources is no longer required, the Contractor shall surrender the CMS issued ID card, access card, keys, computer equipment, and other government property to the CMS COR or directly to CMS at the address referenced above in section (f). DPS Contractor personnel who do not return their government issued property within 48 hours of the last day of authorized access to CMS, may be permanently barred from CMS systems and facilities and may be subject to fines and penalties, as authorized by applicable Federal or State laws.

OPEN GOVERNMENT PROACTIVE PRE-DISCLOSURE NOTIFICATION (AUG 2023)

In order to reduce the administrative burden of responding to Freedom of Information Act (FOIA) requests for high visibility/high public interest contracts throughout contract administration, the Contractor shall submit its review of the awarded contract (and contract modifications, if requested) for FOIA disclosure exemptions within thirty (30) calendar days of contract award. The review will substantiate “trade secrets and commercial or financial information obtained from a person and privileged or confidential,” in accordance with 5 U.S.C. § 552 FOIA Exemption (b)(4).

Submissions: The Contractor shall submit all 5 U.S.C. § 552 FOIA Exemption (b)(4), “Trade Secrets, Commercial or Financial Information that is Privileged or Confidential” (Confidential Business Information or CBI) and information otherwise known as public release/non-Confidential Business Information (non-CBI), with the information identified as follows:

- a. **CBI Highlighted Copy of Contract:** The Contractor shall provide one copy of the contract with all CBI highlighted for CMS FOIA review.
- b. **Contractor Proposed Redacted Public Release Copy of Contract:** The Contractor shall provide an additional copy of the contract for public release with all the identified CBI redacted. Redactions shall be made using “black” boxes, which cannot be removed or uncovered by a reader.
- c. **Pre-Disclosure Concerns - Comments/Rationale for Non-Disclosure of Trade Secrets, Commercial or Financial Information that is Privileged or Confidential:** The Contractor shall provide, in a separate document, rationale for withholding the information under 5 U.S.C. § 552 FOIA Exemption (b)(4) and explain why the information is a trade secret or commercial or financial information that is privileged and confidential. Rationale shall be provided for each individual recommended redaction. Generalized conclusions are not a sufficient basis for the CMS FOIA office to invoke the exemption and thereby protect the Contractor’s interest.

Contractor submissions shall be sent via email to the CMS FOIA office at FOIA12600@cms.hhs.gov, with a copy to the Contracting Officer and Contracting Officer’s Representative (COR), within thirty (30) calendar days of contract award and within thirty (30) calendar days of a CMS request, i.e., for existing or modified contracts. All files must be submitted in Portable Document Format (.pdf) format.

File Naming Conventions: The Contractor shall name the files with the Contract Number and utilize the following file naming conventions:

Contract Number – Highlighted

Contract Number – Redacted

Contract Number – Pre-Disclosure Concerns

The CMS FOIA Office makes the final determination as to what information is released to the public, after considering feedback from the Contracting Officer and/or the Contractor.

MANDATORY CONTRACTOR TRAINING (JULY 2021)

All contractor employees who have access to (1) HHS Federal Information or a Federal information system or (2) personally identifiable information shall complete the CMS provided Records management training required by the Department of Health and Human Services (HHS) before performing any work under their contract. Thereafter, the employees must complete annual Records Management training throughout the life of the contract. The Contractor shall also ensure subcontractor compliance with this training requirement.

Link to the training can be found here: <https://www.cms.gov/About-CMS/Contracting-With-CMS/ContractingGeneralInformation/Contracting-Policy-and-Resources>

Contractor employees are expected to complete any new training requirements enacted by HHS, whereby access to the course material has been provided. These courses are at no additional cost to the contract and the contractor is not required to provide documentation on such training unless specifically requested. The Government does not anticipate a contractor will develop a system specifically designed to track and monitor such trainings, but will address the requirements under overall contract management and adherence to regulations as noted in the Contractor Performance Assessment Reporting System (CPARS).

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EXHIBITS

The following Exhibits are general descriptions of the data fields that need to be reported to the Government. Final report layouts will be established at the Post-Award Conference. Other reports of similar structure may be required.

EXHIBIT 1: MASTER REPORT

Data Field	Description
GPO PO#	GPO Form 2511 Print Order Number. Example 10001.
Date File Received	Date the file was received. Example: 06/11/2024 6:00 a.m.
File Source	Data Provider information to be provided post-award. Example: ABC Data Company
Notice Code	XML Tag: "SpecifyingNoticeType". Example: "1".
Notice Name	Notice Name. Example: Eligibility Determination Notice
Tier Level	Tier Level: Tier 1, Tier 2, or Tier 3.
Notice Lang	Notice language: English or Spanish.
Images	Number of images. 1 to 30, odd or even number, limit to 1 blank per notice.
Pages	Number of total pages (printed or blank). 2 to 30, must be an even number.
Viable File	File viability. Example: Yes or No.
Nonviability Reason	Reason for nonviability. Examples: Corrupt, Empty, Recalled, Notice Format
CASS/NCOA	Address Valid or Invalid
Invalid Address Reason	Reason address was not accepted.
Prod Date	Date files are sent to production. Example 06/11/2024
CCHO UID	Unique ID assigned by CCHO and included in XML data. 21 alpha-numeric identifier.
CCHO App ID	Application ID from XML file (return records report)
PMC UID	Unique ID assigned by Print and Mail Contractor (PMC) for tracking through system.
PMC Job ID	Production File Number assigned by PMC for tracking through system.
Notice Print	Date to print on Notice. Format and source to be determined at Post-Award Conference)
Mail Env Type	Envelope type used. Either 6-1/8 × 9-1/2" or 9 × 12"
USPS ID Campaign	File to participate in USPS Informed Delivery Campaign
Mail Date	Date entered into mail stream. Example 06/11/2024
Total Workdays	Workdays from receipt of file to entry into postal system. Example: 2 (06/10/2024 and 06/11/2024)

EXHIBIT 2: DAILY COUNT VERIFICATION REPORT

Confirmation Data Point	Description
GPO PO#	GPO Form 2511 Print Order Number. Example 10001.
PMC Job ID	Production File Number assigned by PMC for tracking through system.
Date File Received	Date the file was received. Example: 06/11/2024 6:00 a.m.
File Source	Total number of files received by Data Provider
Images	Total number of images received by Data Provider.
Pages	Total Number pages received (printed or blank, must be an even number) by Data Provider.

EXHIBIT 3: DAILY RECORDS RECEIVED REPORT

Column Header	Description
GPO PO#	GPO Form 2511 Print Order Number. Example 10001.
PMC Job ID	Production File Number assigned by PMC for tracking through system.
Date File Received	Date the file was received. Example: 06/11/2024 6:00 a.m.
File Source	Total number of files received by Data Provider.
Nonviability Reason	Total number of files grouped by reason for nonviability. Examples: Corrupt, Empty, Recalled, Notice Format
Viable File	Total number of files determined viable.
Invalid Address Reason	Total number of files determined to have invalid addresses by invalid reason
CASS/NCOA	Total number of files with valid addresses
Images	Total number of images sent to production, grouped by Data Provider
Pages	Total number pages sent to production, grouped by Data Provider, must be an even number.
Prod Date	Date files are sent to production. Example 06/11/2024

EXHIBIT 4: DAILY APP ID REMOVAL REPORT

Column Header	Description
GPO PO#	GPO Form 2511 Print Order Number. Example 10001.
PMC Job ID	Production File Number assigned by PMC for tracking through system.
Date File Received	Date the file was received. Example: 06/11/2024 6:00 a.m.
File Source	App ID's received by Data Provider with total of count.
Nonviability Reason	App ID's grouped by reason for nonviability with total of count. Examples: Corrupt, Empty, Recall, Format
Invalid Address Reason	App ID's determined to have invalid addresses grouped by invalid reason with total of count.

EXHIBIT 5: WEEKLY DETAILED PRODUCTION REPORT

Column Header	Description
GPO PO#	GPO Form 2511 Print Order Number. Example 10001.
PMC Job ID	Production File Number assigned by PMC for tracking through system.
Date File Received	Date the file was received. Example: 06/11/2024 6:00 a.m.
Prod Date	Date files are sent to production. Example 06/11/2024
File Source	Total records printed and mailed, grouped by Data Provider.
Notice Code	Total records printed and mailed, grouped by notice code.
Notice Name	Total records printed and mailed, grouped by notice name.
Tier Level	Total records printed and mailed, grouped by tier level.
Notice Lang	Total records printed and mailed, grouped by notice language.
Images per Record (4, 5, 6, 7...)	Total records printed and mailed, grouped by number of images per record
Pages per Record (4, 6, 8, 10...)	Total records printed and mailed, grouped by number of pages per record, (i.e. 4 pages, 6 pages...)
Mail Env Type	Total envelopes used, grouped by type of envelope, either 6-1/8 × 9-1/2” or 9 × 12”
USPS ID Campaign	Total records printed and mailed, grouped by participation in USPS Informed Delivery Campaign
Mail Date	Total records printed and mailed, grouped by mail date.
Total Workdays	Total records printed and mailed, grouped by workdays from receipt of file to entry into postal system

EXHIBIT 6: INFORMED DELIVERY CAMPAIGN TRACKER

Column Header	Description
Campaign Name	USPS Campaign Name
Start Date	Campaign Start Date
End Date	Campaign End Date
GPO PO #	List of print orders attached to a Campaign.
PMC Job ID	List of PMC Job ID’s attached to a Campaign
Outreach Total	Total number of records mailed under a Campaign, grouped by GPO PO#.
Click Through Count	Total number of ID click-throughs under a campaign, grouped by GPO PO#
Informed Delivery Savings	Total postage amount saved, grouped by GPO PO#