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|-------------|---|----------|------------------------|-----------------------|---------------------------------|-----------------------|------------------------|-----------------------|--------------|-----------------------|---------------------------|-----------------------|
| Program: | 295-S | | | | | | | | | | | |
| Term: | March 1, 2021 to February 28, 2022 | | | | | | | | | | | |
| Title: | Social Security Benefit Statement (SSA-1099 and SSA-1042s) Self Mailer | | | | | | | | | | | |
| | | | FREEDOM GRAPHIC | | | | SPECIALTY PRINT | | | | | |
| | | | SYSTEMS | | SEGERDAHL CORP dba SG360 | | COMMUNICATIONS | | QUAD | | CURRENT CONTRACTOR | |
| | | BASIS OF | Milton, WI | | Wheeling, IL | | Niles, IL | | Chalfont, PA | | QUAD GRAPHICS | |
| ITEM NO. | DESCRIPTION | AWARD | UNIT RATE | COST | UNIT RATE | COST | UNIT RATE | COST | UNIT RATE | COST | UNIT RATE | COST |
| I. | PREPRODUCTION TESTS: | | | | | | | | | | | |
| (a) | Preproduction Validation Test..... | 1 | \$3,000.00 | \$3,000.00 | \$1,000.00 | \$1,000.00 | \$6,135.00 | \$6,135.00 | \$2,000.00 | \$2,000.00 | \$2,000.00 | \$2,000.00 |
| (b) | Preproduction Press and Mail Run Test..... | 1 | \$24,478.88 | \$24,478.88 | \$30,000.00 | \$30,000.00 | \$19,748.00 | \$19,748.00 | \$30,463.67 | \$30,463.67 | \$15,000.00 | \$15,000.00 |
| (c) | Transmission Test..... | 1 | \$1,500.00 | \$1,500.00 | No Charge | \$0.00 | \$795.00 | \$795.00 | \$1,000.00 | \$1,000.00 | \$1,000.00 | \$1,000.00 |
| II. | PROCESSING/PROGRAMMING FILES: | | | | | | | | | | | |
| (a) | Processing/Programming files.....per file..... | 27 | No Charge | \$0.00 | No Charge | \$0.00 | \$132.50 | \$3,577.50 | No Charge | \$0.00 | No Charge | \$0.00 |
| III. | PRINTING/IMAGING/COVERTING: | | | | | | | | | | | |
| (a) | Makeready/Setup Charge..... | 1 | \$1,119,478.88 | \$1,119,478.88 | \$35,000.00 | \$35,000.00 | \$23,964.00 | \$23,964.00 | \$459,173.69 | \$459,173.69 | \$1,118,700.00 | \$1,118,700.00 |
| (b) | SSA-1099/SSA-1042S Notices: Including printing, imaging, converting.....per 1,000 notices..... | 69,185 | \$25.89 | \$1,791,199.65 | \$13.90 | \$961,671.50 | \$16.22 | \$1,122,180.70 | \$13.48 | \$932,613.80 | \$13.54 | \$936,764.90 |
| IV. | PAPER: | | | | | | | | | | | |
| (a) | White Offset Book (60-lb.).....per 1,000 leaves..... | 69,185 | \$10.50 | \$726,442.50 | \$10.28 | \$711,221.80 | \$7.74 | \$535,491.90 | \$10.09 | \$698,076.65 | \$10.41 | \$720,215.85 |
| V. | MAILING: | | | | | | | | | | | |
| (a) | SSA-1099/SSA-1042S..... per 1,000 notices..... | 69,185 | \$2.19 | \$151,515.15 | \$4.59 | \$317,559.15 | No Charge | \$0.00 | \$2.02 | \$139,753.70 | \$2.02 | \$139,753.70 |
| VI. | CERTIFIED/REGISTERED MAIL: | | | | | | | | | | | |
| (a) | SSA-1099/SSA-1042S.....per 1,000 notices..... | 17 | \$5,475.00 | \$93,075.00 | \$300.00 | \$5,100.00 | \$26.50 | \$450.50 | \$300.00 | \$5,100.00 | \$300.00 | \$5,100.00 |
| | CONTRACTOR TOTALS | | | \$3,910,690.06 | | \$2,061,552.45 | | \$1,712,342.60 | | \$2,268,181.51 | | \$2,938,534.45 |
| | DISCOUNT | | 0.0% | \$0.00 | 2.00% | \$41,231.05 | 5.00% | \$85,617.13 | 0.00% | \$0.00 | 2.00% | \$58,770.69 |
| | DISCOUNTED TOTALS | | | \$3,910,690.06 | | \$2,020,321.40 | | \$1,626,725.47 | | \$2,268,181.51 | | \$2,879,763.76 |
| | | | | | | AWARDED | | | | | | |

U.S. GOVERNMENT PUBLISHING OFFICE

Washington, DC

GENERAL TERMS, CONDITIONS, AND SPECIFICATIONS

For the Procurement of

**Social Security Benefit Statement
(SSA-1099 and SSA-1042S) Self-Mailer**

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

Social Security Administration (SSA)
Single Award

TERM OF CONTRACT: The term of this contract is for the period beginning **March 1, 2021** and ending **February 28, 2022**, plus up to four (4) optional 12-month extension periods that may be added in accordance with the "Option to Extend the Term of the Contract" clause in section 1 of this contract.

Contractor interfacing with SSA's National File Transfer Management System (FTMS) for electronic transmission of files from SSA to the production facility will take place from March 1, 2021 through June 31, 2021. Actual production begins July 1, 2021.

BID OPENING: Bids shall be opened at 11:00 a.m., prevailing Eastern Standard Time (EST), on **December 16, 2020** at the U.S. Government Publishing Office, APSDC. Due to the COVID-19 pandemic, this will NOT be a public bid opening.

BID SUBMISSION: Due to the COVID-19 pandemic, the physical office will NOT be open. Based on this, bidders MUST submit email bids to Bidsapsdc@gpo.gov for this solicitation. No other method of bid submission will be accepted at this time.

The Program 295-S and the bid opening date must be specified in the subject line of the emailed bid submission. Bids received after 11:00 a.m. on the bid opening date specified above will not be considered for award.

BID RESTRICTION: Due to travel restrictions as a result of COVID, bidders must have a pre-approved security-clearance at the bidder's physical location(s) to be used for production of materials for this contract.

BIDDERS, PLEASE NOTE: *This program was formerly Program 826-S.* These specifications have been extensively revised; therefore, all bidders are cautioned to familiarize themselves with all provisions of these specifications before bidding.

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

For information of a technical nature, call **David Love** at (202) 512-0307 or email dlove@gpo.gov

SECTION 1. - GENERAL TERMS AND CONDITIONS

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

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

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

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

The contractor may subcontract the foreign mail sorting.

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

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

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

COMPUTERIZED IMAGING: Computerized imaging means ink jet spray or electrostatic (laser or ion deposition). Computerized imaging must be the same font and print size as the preprinted language. Dollar amounts must be bold and large type.

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

Product Quality Levels:

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

Inspection Levels (from ANSI/ASQCZ1.4):

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

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

- | | |
|-------------------------------------|---|
| P-7. Type Quality and Uniformity | Average type dimension in Publication/OK proof. |
| P-9. Pantone Matching System color. | Pantone Matching System |

OPTION TO EXTEND THE TERM OF THE CONTRACT: The Government has the option to extend the term of this contract for a period of 12 months by written notice to the contractor not later than 30 days before the contract expires. If the Government exercises this option, the extended contract will be considered to include this clause, except, the total duration of the contract may not exceed five (5) years as a result of, and including, any extension(s) added under this clause. Further extension may be negotiated under the “EXTENSION OF CONTRACT TERM” clause. See also “ECONOMIC PRICE ADJUSTMENT” for authorized pricing adjustment(s).

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

LIQUIDATED DAMAGES: If the contractor fails to deliver the supplies or perform the services within the time specified by the contract, or any authorized extension thereof, the actual damage to the Government for the delay will be difficult or impossible to determine. Therefore, pursuant to the “Liquidated Damages” clause (GPO Contract Terms, Publication 310.2), in lieu of actual damages the contractor shall pay to the Government as fixed, agreed, and liquidated damages for each workday of delay, the amount set forth below.

Liquidated damages will be assessed against that part or parts of an order which have not been shipped to the specified destination on the specified date. Liquidated damages will not be assessed against that part or parts of an order which have been shipped on schedule.

The amount of damages will be computed at the rate of five percent (5%) of the contract price of the quantity not shipped in accordance with the specifications for each workday the contractor is in default of the shipping schedule(s); Provided, That the minimum amount of liquidated damages shall not be less than \$5.00 for the entire order and not more than \$50,000.00 per day on the entire order, except the total damages assessed against a contractor shall in no case exceed fifty percent (50%) of the total value of the entire order. Liquidated damages will not be assessed if the contractor has shipped at least ninety percent (90%) of the quantity ordered for shipment to each specified destination on or before the scheduled date.

Liquidated damages will apply to all shipments except: Materials furnished the contractor which are to be returned to the Government; sample copies or materials for file or storage purposes; and shipments marked either “File Copies” or “Depository Copies” sent to the Government Publishing Office; if ordered. However, payment of an order will be withheld until evidence of shipment of such material or copies is furnished.

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

For the purpose of this clause, performance under this contract will be divided into successive periods. The first period will extend from the **March 1, 2021** to **February 28, 2022**, 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.

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

NOTE: Due to PII issues, the Government cannot provide PII production test files to the contractor until all requirements, starting with "SECURITY REQUIREMENTS" through "SECURITY AND SUITABILITY REQUIREMENTS FOR GOVERNMENT PRINTING" requirements, as specified herein, are met. If the contractor fails to meet these requirements within 90 calendar days of award, the contractor will be declared non-responsive.

SECURITY REQUIREMENTS: Protection of Confidential Information:

- (a) The contractor must restrict access to all confidential information obtained from the Social Security Administration (SSA) in the performance of this contract to those employees and officials who need it to perform the contract. Employees and officials who need access to confidential information for performance of the contract will be determined at the post award conference between the Contracting Officer and the responsible contractor representative.
- (b) The contractor must process all confidential information obtained from SSA in the performance of this contract under the immediate supervision and control of authorized personnel, and in a manner that will protect the confidentiality of the records in such a way that unauthorized persons cannot retrieve any such records.
- (c) The contractor must inform all personnel with access to the confidential information obtained from SSA in the performance of this contract of the confidential nature of the information and the safeguards required to protect this information from improper disclosure.
- (d) For knowingly disclosing information in violation of the Privacy Act, the contractor and the contractor employees may be subject to the criminal penalties as set forth in 5 U.S.C. Section 552a (i)(1), which is made applicable to contractors by 5 U.S.C. 552a (m)(1) to the same extent as employees of the SSA. For knowingly disclosing confidential information as described in section 1106 of the Social Security Act (42 U.S.C. 1306), the contractor and contractor's employees may also be subject to the criminal penalties as set forth in that provision.
- (e) The contractor must ensure that each contractor employee with access to confidential information knows the prescribed rules of conduct, and that each contractor employee is aware that he/she may be subject to criminal penalties for violations of the Privacy Act and/or the Social Security Act. When the contractor employees are made aware of this information, they will be required to sign the SSA-301, "Contractor Personnel Security Certification" (See Exhibit A). A copy of this signed certification must be forwarded to: Social Security Administration, 6401 Security Boulevard, 3-B-9-E Annex Building, Baltimore, MD 21235-6401. Attn: Matthew Thomas
- (f) All confidential information obtained from SSA for use in the performance of this contract must, at all times, be stored in an area that is physically safe from unauthorized access.
- (g) Performance of this contract may involve access to tax return information as defined in 26 U.S.C. Section 6103(b) of the Internal Revenue Code (IRC). All such information must be handled as confidential and may not be disclosed without the written permission of SSA. For willingly disclosing confidential tax return information in violation of the IRC, the contractor and contractor employees may be subject to the criminal penalties set forth in 26 U.S.C. Section 7213.
- (h) The Government reserves the right to conduct on-site visits to review the contractor's documentation and in-house procedures for protection of confidential information.
- (i) If a subcontractor is used for the sorting and/or mailing of the notices of this contract, the subcontractor must conform to all security requirements of the contract.

SSA EXTERNAL SERVICE PROVIDER SECURITY REQUIREMENTS

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

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

- a. The solution must be located in the United States¹, its territories or possessions.
- b. Upon request from the SSA Contracting Officer Technical Representative (COTR) the ESP shall provide access to the hosting facility to the US Government or authorized agents for inspection and facilitate an on-site security risk and vulnerability assessment.
- c. The solution must meet Federal Information Processing Standards (FIPS) and guidance developed by the National Institute of Science and Technology (NIST) under its authority provided by the Federal Information Security Modernization Act (FISMA) to develop security standards for federal information processing systems, and Office of Management and Budget's (OMB) Circular A-130 Appendix III.
- d. ESPs classified as Cloud Service Providers (CSP) must be FEDRAMP authorized. Further information may be found at: <http://www.gsa.gov/portal/category/102371>. As part of these requirements, CSPs must have a security control assessment performed by a Third Party Assessment Organization (3PAO).
- e. The ESP shall submit to the SSA COTR documentation describing how the solution implements security controls in accordance with the designated categorization (FIPS 199) and the Minimum Security Requirements for Federal Information and Information Systems (FIPS 200) which requires the use of NIST SP 800-53 Rev4 before SSA provides data.
- f. All ESPs that process or store Personally Identifiable Information (PII)² are considered a Moderate impact categorization. If PII or sensitive data (defined by the COTR) is stored or processed by the ESP, then the ESP shall provide a Security Authorization Package (SAP) created by an independent assessor³. The SAP should include a System Security Plan (SSP), Security Assessment Report (SAR), Risk Assessment Report (RAR), and Plan of Action & Milestone Report (POA&M). The SAP must be reviewed by SSA before the SSA transfers data to the ESP. Refer to NIST SP 800-37 for more information on the Security Authorization Package.
- g. SSA will consider a self-assessment of security controls for solutions that do not involve sensitive information or PII.

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

¹ "United States" means the 50 States, the District of Columbia, Puerto Rico, the Northern Mariana Islands, American Samoa, Guam, the U.S. Virgin Islands, Johnston Island, Wake Island, and Outer Continental Shelf Lands as defined in the Outer Continental Shelf Lands Act (43 U.S.C. 1331, et seq.), but does not include any other place subject to U.S. jurisdiction or any U.S. base or possession within a foreign country (29 CFR 4.112).

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

³ Independent assessor is any individual or group capable of conducting an impartial assessment of security controls employed within or inherited by an information system.

References - Refer to most up to date revision

- Federal Information Security Modernization Act (P.L. 113-283), December 2014.
<https://www.govinfo.gov/app/details/PLAW-113publ283>
- Clinger-Cohen Act of 1996 also known as the “Information Technology Management Reform Act of 1996.”
- Privacy Act (P.L. 93-579), December 1974.
<https://www.govinfo.gov/app/details/STATUTE-88/STATUTE-88-Pg1896>
- Homeland Security Presidential Directive (HSPD-12), “Policy for a Common Identification Standard for Federal Employees and Contractors”, August 27, 2004.
<https://www.dhs.gov/homeland-security-presidential-directive-12>
- Revision of OMB Circular No. A-130, “Managing Information as a Strategic Resource” July 28, 2016
<https://www.govinfo.gov/content/pkg/FR-2016-07-28/pdf/2016-17872.pdf>
- OMB Memorandum M-04-04, “E-Authentication Guidance for Federal Agencies.” December 16, 2003
<https://obamawhitehouse.archives.gov/sites/default/files/omb/assets/omb/memoranda/fy04/m04-04.pdf>

And

ITL bulletin for December 2011 revised guideline for electronic authentication of users helps organizations protect the security of their information systems

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

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

- NIST SP 800-37 Revision 2, Risk Management Framework for Information Systems and Organizations - A System Life Cycle Approach for Security and Privacy, December 2018
<https://csrc.nist.gov/publications/detail/sp/800-37/rev-2/final>
 - NIST SP 800-47, National Institute of Standards and Technology Special Publication 800-47, Security Guide for Interconnecting Information Technology Systems, August 2002.
<https://csrc.nist.gov/publications/detail/sp/800-47/final>
 - NIST SP 800-53 Revision 4, Security and Privacy Controls for Federal Information Systems and Organizations, April 2013
<https://csrc.nist.gov/publications/detail/sp/800-53/rev-4/final>
 - NIST SP 800-53A Revision 4, Assessing Security and Privacy Controls in Federal Information Systems and Organizations: Building Effective Assessment Plans, December 2014
<https://csrc.nist.gov/publications/detail/sp/800-53a/rev-4/final>
 - NIST SP 800-60 Volume 1 Revision 1, Guide for Mapping Types of Information and Information Systems to Security Categories, August 2008.
<https://csrc.nist.gov/publications/detail/sp/800-60/vol-1-rev-1/final>
- And
- NIST SP 800-60 Volume 1 Revision 1, Guide for Mapping Types of Information and Information Systems to Security Categories: Appendices, August 2008.
<https://csrc.nist.gov/publications/detail/sp/800-60/vol-2-rev-1/final>
 - OMB M-07-16, Safeguarding Against and Responding to the Breach of Personally Identifiable Information, May 22, 2007
<https://www.whitehouse.gov/sites/whitehouse.gov/files/omb/memoranda/2007/m07-16.pdf>

NOTE: Please see “Exhibit B: SSA External Service Provider Additional Security Requirements” for complete details regarding this requirement.

Templates for Required Security Documents:

- Exhibit C: Security Assessment Report (SAR) Template
- Exhibit D: Risk Assessment Report (RAR) Template
- Exhibit E: System Security Plan (SSP) Template

PHYSICAL SECURITY: Contractor’s facilities storing SSA assets and information are required to meet the Interagency Security Committee’s standard for Federal facilities. This information can be found in the “Facility Security Plan: An Interagency Security Committee Guide,” dated February 2015, 1st Edition. SSA reserves the right to inspect contractor facilities to ensure compliance with the ISC guidelines. If facilities are found deficient, the contractor must implement corrective actions within 60 calendar days of notification. Requirements can include but not be limited to, the physical security countermeasures, such as access control systems, closed circuit television systems, intrusion detection systems, and barriers.

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

Due to PII issues, the Government cannot provide production test files to the contractor until all Public Trust Security Requirements and Suitability Determination requirements, as specified herein, are met. If the contractor fails to meet these requirements within 90 calendar days of award, the contractor will be declared non-responsive.

SECURITY WARNING: It is the contractor's responsibility to properly safeguard personally identifiable information (PII) from loss, theft, or inadvertent disclosure and to immediately notify the Government of any loss of personally identifiable information.

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

Contractor is cautioned that no Government provided information will be used for non-Government business specifically; no Government information will be used for the benefit of a third party.

All employees working on this contract must:

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

Contractor's managers working on this contract must:

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

Applicability:

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

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

The following list provides examples of situations where personally identifiable information is not properly safeguarded:

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

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

Whenever the contractor's employee has doubts about a specific situation involving their responsibilities for safeguarding personally identifiable information, they should consult the GPO and/or SSA.

SECURITY AND SUITABILITY REQUIREMENTS FOR GOVERNMENT PRINTING (NOV 2018):

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

(a) Suitability Process

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

(1) Suitability Document Submission

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

(2) e-QIP Application

- a. Once SSA receives all completed documents, listed in (a)(1), the Center for Suitability and Personnel Security (CSPS) will initiate the e-QIP process using the e-QIP applicant listing. CSPS will email the e-QIP notification to the CPOC and COR inviting vendor personnel to the e-QIP website to electronically complete the background investigation form (Standard Form (SF) 85P, Questionnaire for Public Trust Positions (See Exhibit G).
- b. Vendor personnel will have up to 10 business days to complete the e-QIP application. The 10-day timeframe begins the day CSPS sends the invitation to the CPOC and COR. Vendor personnel must electronically sign the signature pages before releasing the application in e-QIP. Signature pages include the Certification, Release, and Medical Release pages for the SF 85P.

Find information about the e-QIP process in the e-QIP Quick Reference Guide for e-QIP Applicants at <https://nbib.opm.gov/e-qip-background-investigations/>.

- c. If vendor personnel need assistance with e-QIP logon and navigation, they can call the e-QIP Hotline at 1-844-874-9940.

(3) Fingerprinting

- a. The e-QIP notification email also provides vendor personnel with instructions to obtain electronic fingerprinting services. Vendor personnel must report for fingerprint services immediately upon completion and release of the e-QIP application and within 10 business days from the day CSPS sends the invitation.
- b. If vendor personnel cannot report to the designated fingerprint locations (in the notification email), CSPS will accept completed Field Division (FD) 258 fingerprint cards (See Exhibit H). The COR can provide the FD 258, if required. Vendor personnel must complete all fields on the FD 258. Incomplete fields may delay suitability processing.
- c. If the vendor needs to mail completed FD 258 fingerprint cards, the vendor can send them, via certified mail, along with a completed Vendor Personnel Suitability Cover Sheet to: Social Security Administration, Center for Suitability and Personnel Security, Attn: Suitability Program Officer, 6401 Security Boulevard, 2246 Annex Building, Baltimore, MD 21235

(4) Status Check

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

(b) Suitability Determination

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

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

- (2) SSA will not allow vendor personnel access to a facility, site, information, or system until CSPS issues a favorable suitability determination. A suitability determination letter issued by CSPS is valid only for performance on the Vendor specified in the letter.

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

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

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

(d) Unsuitable Determinations

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

dchr.ope.suitclarify@ssa.gov

OR

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

(e) Vendor Notification to Government

The vendor shall notify the COR and CSPS within one business day if any vendor personnel is arrested or charged with a crime, or if there is any other change in the status of vendor personnel (e.g. leaves the company, no longer works under the vendor, the alien status changes, etc.) that could affect their suitability determination. The vendor must provide in the notification as much detail as possible, including, but not limited to: name(s) of vendor personnel whose status has changed, SSA vendor number, the type of charge(s), if applicable, date of arrest, the court date, jurisdiction, and, if available, the disposition of the charge(s).

****Email Procedures:***

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

To Encrypt a File using WinZip:

- i. Save the file to contractor's hard drive
- ii. Open Windows Explorer and locate the file
- iii. Right click on the file
- iv. Select "WinZip"
- v. Select "Add to Zip File"
- vi. An Add box pops up. Near the bottom of the box is an "Options" area.

- vii. Click the “Encrypt added files” checkbox
- viii. Click the “Add” button
- ix. Check the “Hide Password” checkbox if not already checked
 - a. Enter a string of characters as a password composed of letters, numbers, and special characters (minimum: 8 characters – maximum: 64 characters)
 - b. Select the 256-Bit AES encryption radio button
 - c. Click “OK”
- x. The file has been successfully encrypted, and the new Zip file that can now be attached to an email.

Providing the Recipient with the Password:

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

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

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

Sending an encrypted Zip File via email:

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

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

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

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

The documents will be reviewed to validate that adequate financial resources are available to perform the contract requirements. Documents submitted will be kept confidential and used only for the determination of responsibility by the Government. Failure to provide the requested information in the time specified by the Government may result in the Contracting Officer not having adequate information to reach an affirmative determination of responsibility.

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

If award is predicated on the purchase of systems equipment to meet the file transmission requirements, the contractor must provide purchase order(s) with delivery date(s) at least 90 days prior to the established production date.

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

Preaward Production Plans – As part of the preaward survey, the contractor must present, in writing, to the Contracting Officer within five (5) workdays of being notified to do so by the Contracting Officer or his/her representative, detailed plans for each of the following activities. The workday after notification to submit will be the first day of the schedule.

If the Government requests additional information after review of plans, the contractor must submit updated plans within two (2) workdays of request.

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

If the contractor intends to use multiple facilities, the production plans must indicate which facility will be used and the quantity to be produced in each. This requirement applies to all security requirements, tests, and live production. If the contractor intends to change processes described in the production plans during the term of the contract, they must provide updated plans to SSA/GPO for review and approval prior to implementing any changes.

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

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

THESE PROPOSED PLANS ARE SUBJECT TO REVIEW AND APPROVAL BY THE GOVERNMENT AND AWARD WILL NOT BE MADE PRIOR TO APPROVAL OF SAME. THE GOVERNMENT RESERVES THE RIGHT TO WAIVE SOME OR ALL OF THESE PLANS.

Backup Facility - Failure to deliver these statements in a timely manner would have a major impact on the daily operations of the Social Security Administration (SSA). Therefore, if for any reason (Act of God, Labor disagreements, etc.), the contractor is unable to perform at said location for a period longer than 48 hours, the contractor must have a backup facility with the capability of producing the statements. The backup facility must be operated by the contractor.

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

Part of the plans must also include the transportation of Government materials from one facility to another. The contractor must produce items from a test file at the new facility for verification of software prior to producing mailers at this facility. SSA will install a data connection into the backup facility.

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

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

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

The quality control system must include all aspects of the job including mail flow and materials handling. The plan must also allow for complete audit trail (e.g., it must be possible to locate any piece of mail at any time from the point it leaves the press up to and including the point at which the mail is off-loaded at the USPS facility). SSA will not, as a routine matter, request the contractor to produce pieces in transit within the contractor's plant.

The quality control plan must account for the number of pieces mailed daily.

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

The plan must include the sampling interval the contractor intends to utilize. The contractor will be required to create two (2) quality control sample sets to be drawn from the production stream at the same time.

- One sample set will be drawn, inspected and retained as part of the contractor's quality assurance records.
- The second sample set will be drawn for SSA and will be provided to on-site representative or pack for shipment to the SSA (address to be supplied at the postaward meeting).
- Sample must be bulk shipped back to SSA at the end of the production run. The contractor must ship quality control samples within five (5) workdays of the last mailing date of the print order.

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

The plan must 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. Contractor must submit samples of the automated 100% Accountability Audit and Summary Reports.

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

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

This plan must demonstrate the contractor's ability to provide complete hardware and software compatibility with SSA's existing network (see "FILE TRANSFER MANAGEMENT SYSTEM (FTMS) REQUIREMENTS" and "TRANSMISSION TESTS" for additional information).

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

Mail plan - This plan should include sufficient detail as to how the contractor will comply with all applicable U.S. Postal Service (USPS) mailing requirements as listed in the USPS Domestic and International Mail Manuals in effect at the time of the mailing, and other USPS instructional material such as the Postal Bulletin.

Contractor will be required to provide information on how and demonstrate their ability to achieve USPS automated postal rates prior to award of this contract. The plan must include USPS's anticipated mode of transportation (air/truck/rail) to each Area Distribution Center (ADC).

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

Personnel Plan - In conjunction with the required applicant listing (see "SECURITY AND SUITABILITY REQUIREMENTS FOR GOVERNMENT PRINTING"), this plan should include a listing of all personnel who will be involved with this contract. For any new employees, the plan should include the source of these employees and a description of the training programs the employees will receive to familiarize them with the requirements of this program.

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

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

Materials - The contractor is required to explain how all accountable materials will be handled throughout all phases of production.

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

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

The contractor must provide a secure area(s) dedicated to the printing/imaging and storage of all materials containing PII. A secure barrier, with a minimum height of 6 feet, must encompass the entire printing/imaging and storage area(s). The secure barrier must be secured to the floor of the facility. An example of a secure barrier is a chain link fence. The contractor is not permitted to use ropes, stanchion, chains, or plastic fencing to create the secure barrier.

The perimeter must have limited entry and exit points with controls in place to limit access of persons who have not gained security clearance by SSA. A three (3) foot buffer area is required between the secure barrier and objects outside the barrier (Tables, chairs, shelving units, etc.).

NOTE: The secure barrier requirement may be waived if SSA has granted all persons working in the contractor's facility security clearance.

Contractor must have, in place, a building security system that is monitored 24 hours a day, seven (7) days a week. Access points must also contain a tracking method (Badge/Card, keypad, etc.) to show who has entered and exited the secure area(s). Entry systems must limit access to Government materials (data processing center/production facility and other areas where Government materials with PII are stored or are accessible) that is only accessible by approved personnel. Contractor must present this information, in detail, in the production area plan. The Government retains the right to conduct on-site security reviews at any time during the term of the contract.

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

If the contractor selects shredding as a means of disposal, it is preferred that a cross cut shredder (one-quarter inch screen or finer) be used. If a strip shredder is used, the strips must not exceed one-quarter inch. The contractor must provide the location and method planned to dispose of the material. If a subcontractor is used, the same information is required, as well as how the material will be transported from the contractor's plant to the subcontractor. The plan must include the names of all contract officials responsible for the plan and describe their duties in relationship to the waste material plan.

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

NOTE: The subcontractor must be approved by the Government prior to production starting in that facility. If the subcontractor is not approved by the Government, then the contractor has 25 calendar days prior to production to submit to the Government the new subcontractor's information.

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

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

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

The plan must contain at a minimum:

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

- (4) How contractors classified as Cloud Service Providers (CSP) will adhere to additional FedRAMP security control requirements. CSPs must have a security control assessment performed by a Third Party Assessment Organization (3PAO). Additional information is also available at:

<http://www.gsa.gov/portal/category/102371>.

- (5) The contractor shall submit a System Authorization Package (SAP) as described in the “SSA External Service Provider Security Requirements” section. The SSP, a part of this package, documents how the solution implements security controls in accordance with the designated FIPS 199 security categorization and the Minimum Security Requirements for Federal Information and Information Systems. This SSP requires the use of NIST SP 800-53 v4. The SAP should be completed by either an independent assessor or another Federal agency.

UNIQUE IDENTIFICATION NUMBER: Unique identifying numbers will be used to track each individual mailer, thereby providing 100% accountability. This enables the contractor to track each mailer through completion of the project. The contractor will be required to create two (2) full plate impression test sample sets every 40,000 mailers. The unique sequential number must be imaged inside the form perforations by each of the imager heads used for the computerized printing. One (1) sample set will be drawn, inspected and retained as part of the contractor’s quality assurance records.

The second sample set drawn for the Social Security Administration will be provided to the on-site representative or packed and shipped daily to appropriate Printing Specialist at the Social Security Administration, Division of Printing Management Attn: Matthew Thomas (Title II COLA), 3-B-9-E Annex Building, 6401 Security Boulevard, Baltimore, MD 21235-6401. In addition, a barcode must be imaged in the stub (or suitable) area by each of the imagers used for the computerized printing. Barcode readers must be installed on the press to read these barcodes and shut down the imagers if a sync error occurs. These pieces must be reprinted and 100% accountability must be maintained throughout the run. The contractor must ensure that there are no missing or duplicate pieces.

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

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

100% ACCOUNTABILITY OF PRODUCTION AND MAILING: Contractor must have a closed loop process*. Notices requiring print regeneration must be reprinted from their original data file using a unique job ID and piece ID (assigned by the contractor) remaining unchanged as each mail piece continues through the production life cycle. This process will repeat itself (since subsequent reprint runs may yield damages) until all mail pieces from the original print run are accounted for.

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

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

NOTE: Contractor must have all hardware, programming and finalized reports in place to meet this requirement. The equipment must arrive in time for the 12-hour preproduction test. Contractor must submit a sample of their proposed Audit and Summary reports with the required Pre-Award production plans for approval. The government considers grounds for the immediate default of this contract if the contractor, at any time, is unable to perform or found not complying with any part of this requirement.

Mail Piece integrity will be defined as follows:

- Each mail piece contains only the information intended for the designated recipient as contained in the data files received from SSA.
- The contractor's printing process must have automated systems which can detect all sync errors, stop printing when detected, and identify, remove and reprint all effected mail pieces.

Mailing integrity will be defined as follows:

- All mail pieces received from SSA for each data file were printed and entered correctly into the United States postal system.

The contractor is responsible for providing the automated mail piece tracking/reporting systems and processes required to validate that 100% of all mail pieces received from SSA were printed and mailed correctly.

The contractor's converting equipment must have automated systems that include mail piece coding and scanning technology capable of:

- (a) Uniquely identifying each mail piece within each individual file.
- (b) Unique identifier to be scanned during production to ensure all mail pieces are present and accounted for.
- (c) Entrance Scanning: A camera system must electronically track and scan all leaves of each mail piece as the inserting equipment pulls them into the machine to ensure each mail piece was produced and inserted. If there is any variance on a mail piece or if a mail piece is not verified that all leaves are present, that piece and the piece prior to and immediately following must be diverted and sent back for reprint. All instances of variance must be logged.
- (d) Touch and Toss: all spoilage, diverted, mutilated or mail piece that is acted upon directly by a human hand prior to sealing must be immediately recorded, discarded, properly destroyed, and automatically regenerated in a new print file for reprint.
- (e) Exit Scanning: A camera system must be mounted just aft of the equipment after the mail piece is completed. This camera system must read a unique code placed on the mail piece, and capable of identifying and reporting all missing pieces that were lost or spoiled during production for each individual file. This system ensures that all mail pieces have been accounted for. The equipment must check the mail pieces and divert any suspect product. All diverted or missing pieces are to be automatically recorded and regenerated in a new print file for reprint.
- (f) Reconciliation: all mail pieces and the amount of correct finished product must be electronically accounted through the use of the audit system. 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. Therefore, all finished mail for that sequence run must be held in an accessible area until this reconciliation is complete.

- (g) Generate a new production file for all missing, diverted or mutilated mail pieces (reprint file).
- (h) Contractor must generate an automated audit report from the information gathered from scanning for each mailer number, file date and for each notice (manual inputs are not allowed). This audit report will contain detailed information for each notice as outlined above for each individual file by mailer number and file date. Contractor must maintain this information for a six month period after mailing.
- (i) Audit report must contain the following information:
1. Job name
 2. Machine ID
 3. Date of production with start and end time for each phase of the run i.e. machine ID.
 4. Start and end sequence numbers in each run
 5. Status of all sequence numbers in a run
 6. Total volume in run
 7. Status report for all incidents for each sequence number and cause, i.e. missing sequence number, diverted and reason for divert such as mutilated, duplicate, pulled for inspection, etc.
 8. Bottom of audit report must contain total number of records for that run, quantity sent to reprint, number of duplicates, duplicates verified and pulled, total completed.
 9. Audit report must contain the same information for all the reprints married with this report as listed above showing that all pieces are accounted for.
- (j) Contractor must generate a final automated 100% accountability summary report for each individual file. This information must be generated directly from the audit report, manual inputs are not allowed. The summary report must contain the following:
1. Job name
 2. Each individual file (must show sequence numbers for each section i.e. first pass and then reprints)
 3. Sequence number range for each individual file
 4. Volume of all sequence numbers associated with an individual file were completed.
 5. Volume of reprints that were completed for each file date.
 6. Volumes for each file and date that each was completed.

A PDF copy of the summary report(s) and matching GPO 712 form(s) and or USPS 3607R from mail.dat file must be submitted to Matthew Thomas at matthew.thomas@ssa.gov for each file date within two (2) workdays of mailing.

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

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

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

The contractor must provide the required audit reports within one (1) hour of request. The audit team will grant one (1) hour for each report to be pulled. The audit team may request a full tour and demonstration of the accountability process at the time of the audit. A wrap-up meeting will occur at the conclusion of the audit. The audit team will review their findings with the contractor at this time.

The contractor will need to provide, in writing, responses to all findings, questions, and concerns within one (1) week of the wrap-up meeting. The Government considers grounds for the immediate default of this contract if the contractor, at any time, is unable to perform or found not in compliance with any part of this requirement.

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

The contractor must maintain quality control samples, inspection reports and records for a period of no less than 180 days subsequent to the date of the check tendered for final payment by the Government Publishing Office.

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

REQUEST FOR NOTICE PULLS FROM PRODUCTION: Due to the sensitivity of some of the notices in this contract, the Government may request that certain notices be removed from the production stream. When this occurs, the Government will supply the contractor with a list of Social Security Numbers (SSNs) that need to be pulled. The contractor must be able to run a sort to find and eliminate the notice from the production run. If the list is provided after the notice has been produced, the contractor must be capable of identifying the notice and pulling it from the production floor. It is anticipated that this will be an infrequent occurrence.

NOTE: If the preaward survey is waived, the above referenced plans must be submitted to the Contracting Officer within five (5) workdays of being notified to do so by the Contracting Officer or his/her representative. The workday after notification to submit will be the first day of the schedule.

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

The contractor will be required to provide one (1) private office of not less than 150 square feet, furnished with one (1) desk, one (1) swivel arm chair, one (1) telephone line and PC with internet access and one (1) facsimile machine (the Government will supply hookups and cover the cost of the telephone/facsimile machine service).

On-site representative(s) may be stationed at the Contractor's facility to: provide project coordination in receipt of transmissions; verify addresses; monitor the printing/imaging, folding, mail processing, quality control, sample selections and inspections; and monitor the packing and staging of the mail. These coordinators will not have contractual authority, and cannot make changes in the specifications or in contract terms, but will bring any and all defects detected, to the attention of the company Quality Control Officer. The coordinators must have full and unrestricted access to all production areas where work on this program is being performed.

NOTE: The government retains the right to conduct on site security reviews at any time during the term of this contract.

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

For each option year that may be exercised, the Government's representatives may request a meeting with the contractor's representatives at SSA (Or via teleconference) to discuss the requirements of that contract year's job. The print order, manuscript, test files and camera copy will be made available at this meeting. If this meeting is waived by the Government, the print order, manuscript, test files and camera copy will be available for pickup at the address under "Schedule".

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

PREPRODUCTION PRINTING AND MAILING MEETING: This meeting will take place after the contract award to review contractor's production plan and to establish coordination of all operations. Attending this meeting will be representatives from GPO, SSA and the USPS. The contractor will present and explain their final plan for both printing and mailing the notices. The contractor will meet with USPS representatives to present and discuss their plan for mailing. The prior to production meeting will include a visit to the contractor's mailing facility, where the contractor is to furnish specific mail flow information.

The contractor should be prepared to present detailed production plans, including such items as quality assurance, projected commencement dates, equipment loading, pallet needs, etc. The contractor will present documentation of the Plant Load agreement and either a copy of the optional procedure which has been negotiated with the USPS, or a draft of the optional procedure the contractor intends to negotiate with USPS for SSA approval. The contractor also needs to present SSA with a copy or a draft of the manifest (tracking system) they plan to use. The contractor will provide the name of the representative (and a back-up) responsible for the mailing operation.

NOTE: Government may conduct unscheduled visits during the term of this contract at the contractor's mailing facility.

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 will be ordered by the issuance of print orders by the Government. Orders may be issued under the contract for Title II COLA from **March 1, 2021** through **February 28, 2022**, 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 will 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 will 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 will not constitute the basis for an equitable price adjustment under this contract.

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

The Government will 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 will 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 will 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 will furnish to the Government all items set forth herein which are called for by print orders issued in accordance with the "Ordering" clause of this contract.

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

PRIVACY ACT

(a) The contractor agrees:

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

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

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

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

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

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

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

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

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

For more information about the billing process, refer to the General Information of the Office of Finance web page located at: <http://www.gpo.gov/finance/index.htm>.

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

SECTION 2. - SPECIFICATIONS

SCOPE: The specifications cover the production and mailing of six (6) versions of English and Spanish self-mailers. This workload requires such operations as receipt and processing of electronically transmitted files, composition, printing (including computerized imaging) folding and distribution.

Future Workloads (During term of the contract): During the term of this contract, the Government anticipates developing a new notice workload with the same requirements as the notice workload described by these specification. All terms and conditions in this specification will apply to these future notice workload. It is estimated that any new notice workload may require two sided imaging and consist of 2 to 4 different notices. The file names, specifications, and schedule for the new workload will be supplied to the contractor as they are developed. The Government reserves the right to increase or decrease by up to 25% the total number of annual notices ordered annually. This 25% includes the additional notices that may be required by a new workload. All production files will be electronically transmitted to the contractor. Any programming or other format changes necessitated due to the contractor’s method of production will be the full responsibility of the contractor and must be completed prior to SSA’s validation.

TITLE: Social Security Benefit Statements (SSA-1099 and SSA-1042S)

FREQUENCY OF ORDERS: One Print Order for testing and one Print Order for live production per year.

QUANTITY: Approximately 69,185,000 (Exact quantities will not be known until final files are produced. No shortages will be allowed.). The mailers for each of the items below consist of one folded form. Each version will print both Domestic and Foreign.

| <u>VERSION</u> | <u>FORM NUMBERS</u> | <u>QUANTITY</u> |
|-------------------------|--------------------------|-----------------|
| <u>SA-1099</u> | | |
| V1.English | SSA-1099-SM (1-2022) | 65,060,000 |
| V2.Spanish | SSA-1099-SM-SP (1-2022) | 2,730,000 |
| V3.Supplemental-English | SSA-1099-SM-U (1-2022) | 1,000,000 |
| <u>SSA-1042</u> | | |
| V4.English | SSA-1042S-SM (1-2022) | 362,000 |
| V5.Spanish | SSA-1042S-SM-SP (1-2022) | 32,000 |
| V6.Supplemental-English | SSA-1042S-SM-U (1-2022) | 1,000 |

Certified and Registered Mail: These quantities represent the estimated quantity of each version above to be mailed either certified or registered mail.

| | | |
|-------------------------|--------------------------|--------|
| <u>SSA-1099</u> | | |
| V1.English | SSA-1099-SM (1-2022) | 15,500 |
| V2.Spanish | SSA-1099-SM-SP (1-2022) | 1,100 |
| V3.Supplemental-English | SSA-1099-SM-U (1-2022) | 100 |
| <u>SSA-1042</u> | | |
| V4.English | SSA-1042S-SM (1-2022) | 30 |
| V5.Spanish | SSA-1042S-SM-SP (1-2022) | 5 |
| V6.Supplemental-English | SSA-1042S-SM-U (1-2022) | <5 |

The above version quantities are approximate. An estimated annual increase of 1.7% year to year is to be expected throughout the term of the contract.

Personalized Social Security Benefit Statements (SSA-1099/SSA-1042S) mailers are English and Spanish represented by the following data set names:

DATA SET NAMES *

PRINTED VERSION:

SSA-1099

| | |
|---------------------------------------|--|
| OLBG.BTI.VENDOR.PU1099.Z00.RYYMMDD | V1 – Domestic Mailing |
| OLBG.BTI.VENDOR.PU1099.Z01.RYYMMDD | V1 – Domestic Mailing |
| OLBG.BTI.VENDOR.PU1099.Z02.RYYMMDD | V1 – Domestic Mailing |
| OLBG.BTI.VENDOR.PU1099.Z03.RYYMMDD | V1 – Domestic Mailing |
| OLBG.BTI.VENDOR.PU1099.Z04.RYYMMDD | V1 – Domestic Mailing |
| OLBG.BTI.VENDOR.PU1099.Z05.RYYMMDD | V1 – Domestic Mailing |
| OLBG.BTI.VENDOR.PU1099.Z06.RYYMMDD | V1 – Domestic Mailing |
| OLBG.BTI.VENDOR.PU1099.Z07.RYYMMDD | V1 – Domestic Mailing |
| OLBG.BTI.VENDOR.PU1099.Z08.RYYMMDD | V1 – Domestic Mailing |
| OLBG.BTI.VENDOR.PU1099.Z09.RYYMMDD | V1 – Domestic Mailing |
| OLBG.BTI.VENDOR.PU1099.S.RYYMMDD | V2 – Domestic and Foreign Mailing |
| OLBG.BTI.VENDOR.PU1099.F.RYYMMDD | V1 – Domestic and Foreign Mailing |
| OLBG.BTI.VENDOR.PU1099S.D.RYYMMDD | V3 – Domestic Mailing |
| OLBG.BTI.VENDOR.PU1099S.F.RYYMMDD | V3 – Domestic and Foreign Mailing |
| OLBG.BTI.VENDOR.PU1099S.CERTD.RYYMMDD | V3 – Cert/Reg Domestic and Foreign Mailing |
| OLBG.BTI.VENDOR.PU1099.CERTD.RYYMMDD | V1 – Cert/Reg Domestic Mailing |
| OLBG.BTI.VENDOR.PU1099.CERTF.RYYMMDD | V1 – Cert/Reg Domestic and Foreign Mailing |
| OLBG.BTI.VENDOR.PU1099.CERTS.RYYMMDD | V2 – Cert/Reg Domestic and Foreign Mailing |

SSA-1042

| | |
|---------------------------------------|--|
| OLBG.BTI.VENDOR.PU1042.D.RYYMMDD | V4 – Domestic Mailing |
| OLBG.BTI.VENDOR.PU1042.F.RYYMMDD | V4 – Domestic and Foreign Mailing |
| OLBG.BTI.VENDOR.PU1042.S.RYYMMDD | V5 – Domestic and Foreign Mailing |
| OLBG.BTI.VENDOR.PU1042.CERTSD.RYYMMDD | V4 – Cert/Reg Domestic Mailing |
| OLBG.BTI.VENDOR.PU1042.CERTSF.RYYMMDD | V4 – Cert/Reg Domestic and Foreign Mailing |
| OLBG.BTI.VENDOR.PU1042.CERTSS.RYYMMDD | V5 – Cert/Reg Domestic and Foreign Mailing |
| OLBG.BTI.VENDOR.PU1042S.D.RYYMMDD | V6 – Domestic Mailing |
| OLBG.BTI.VENDOR.PU1042S.F.RYYMMDD | V6 – Domestic and Foreign Mailing |
| OLBG.BTI.VENDOR.PU1042S.S.RYYMMDD | V6 – Domestic and Foreign Mailing |

NOTE: Certified Files of each version will be transmitted separately.

The data set names listed throughout these specifications are not the final data set names that will be transmitted to the contractor. The actual data set names will be provided to the contractor at the postaward conference.

TRIM SIZE: 8-3/8 to 9* x 17-1/4” flat; folds to 8-3/8 to 9* x 4-1/2”, includes ½ or ¾” tear-off left and right stubs. (See construction samples.)

NOTE: The minimum width of the body of the self-mailer must be at least 7-3/8”.

These self-mailers must meet USPS height to length ratio requirements for “First-Class” mail.

SAMPLES: Electronic PDF file sample(s) comparable to those to be produced on this contract may be obtained by contacting the Contract Administrator at 202-512-0307. These samples are representative of the printing, binding, folding, and other requirements required for the major part of the work to be ordered on this contract.

GOVERNMENT TO FURNISH:

Manuscript copy supplied electronically for three (3) versions of SSA-1099 and three (3) versions of SSA-1042S.

Electronic Copy: IRS Notice 703 (Used on the 1099 only) and recycled logos to be reproduced same size.

Permit Mailing Indicia - "Postage and Fees Paid"

Coding Accuracy Support System (CASS) Certificate

National Change of Address (NCOA) Certificate

PS Form 3615 (Mailing Permit Application and Customer Profile)

GPO Form 712 (Certificate of Conformance)

A data connection between the exact location specified by the contractor and SSA's National Computer Center

Exhibit A - Contractor Personnel Security Certification

Exhibit B - SSA External Service Provider Security Requirements

Exhibit C - Security Assessment Report (SAR) Template

Exhibit D - Risk Assessment Report (RAR) Template

Exhibit E - External Hosted Information System Plan (ESP) Template

Exhibit F - Optional Form (OF) 306, Declaration for Federal Employment

Exhibit G - Standard Form (SF) 85P, Questionnaire for Public Trust Positions

Exhibit H - Sample fingerprint cards

Exhibit I - Contractor Personnel Rollover Request Form

Exhibit J - System Plan

A data connection between the contractor's specified location and SSA's National Computer Center in Baltimore, MD will be established after award. The Government will determine the connectivity method between SSA and the contractor. Internet Protocol (IP) will be the connection protocol for the transmissions.

Prior to the commencement of production of orders placed under this contract, the Government will furnish electronic test files (after data connection is available between the contractor's location and SSA, for transmission) that are to be used in performing the pre-production press run test, transmission test, and systems validation test.

Record layout specification will be furnished before delivery of the test file. Record layout with display rules and list of return addresses is available for inspection by prospective bidders prior to bid opening at GPO, Washington, DC.

The contractor must not compress files in processing data for this contract. The contractor must print the address record exactly as it is in the Master Beneficiary Record (MBR) file furnished to the contractor (file contains foreign addresses which may include a consular code). The contractor must not standardize the addresses or change the ZIP+4 information.

Final dataset names will be provided at the postaward conference.

NOTE: Prior to the issuance of the electronic files, any delays in the prepress operations will not be cause for extending the production schedule.

Pre-Production Press Test Run: The Government will furnish prior to production test files to be used in performing a 12-hour prior to production test press and mail run.

NOTE: Pre-Production test files will be formatted for the prior year's live production run. This may require additional programming by the contractor.)

Two tests will be required to be completed after receipt of the files by the contractor. In addition to providing records with all data in the correct positions, a second test will be required by having the contractor run the test file through their Coding Accuracy Support System (CASS) certification system to ensure that there are no problems with the reading (ONLY) of the SSA provided address data.

Systems Validation Test: The Government furnished test files will contain up to 12,000 records (all 6 versions) to be used in performing a systems validation test.

Contractor must perform a sort to obtain maximum USPS postage discounts possible for SSA without standardizing (See "DISTRIBUTION").

Identification markings such as register marks, ring folios, rubber stamped jacket numbers, commercial identification marks of any kind, etc., except GPO imprint, form number, and revision date, carried on copy film, or in electronic files must not print on finished 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.

The contractor must provide SSA and GPO access to a secure website which will be used for proofing. The site will also be used for validating test and production materials. Each team member at SSA and GPO will be given account login credentials specific to the individual. Security must be maintained due to the sensitive PII materials that will be posted to this site. (See: "**Systems Validation Test**")

TRANSMISSIONS: Upon award of this contract, the Government will determine the connectivity method between SSA and the contractor. Internet Protocol (IP) will be the connection protocol for the transmissions. The connectivity method will be through the Internet using and encrypted VPN tunnel or the Government will place an order for a dedicated circuit data connection under GSA's Network contract to be installed within 60 to 90 calendar days between the contractor's location(s) and SSA's network interface location. Either connectivity method will be encrypted with the AES256 encryption algorithm. For the internet option to be used the contractor must have an Internet ready VPN IPsec capable hardware device.

The Government will not be responsible for any cost associated with the VPN Internet connection that the contractor may occur. The connection method is at the sole discretion of the Government. The cost of the dedicated circuit connection will be borne by the Government. The Government shall not be responsible for installation delays of data connections due to any external influences such as employee strikes, weather, supplies, etc., which conditions are beyond the control of the Government.

If a dedicated circuit is deemed necessary, SSA will provide the dedicated data connection, including a router and firewall at the contractor's specified locations. The contractor shall provide adequate rack space for securing the router and firewall; the contractor shall provide a dedicated analog dial-up line within 8 feet of the router.

The dedicated analog dial-up line will be used for router management and access for troubleshooting. The line must be in place and active prior to the installation of the circuit/router.

Also, upon contract award, the contractor shall immediately provide a complete delivery address with nearest cross-street, contact name and phone number for installation of data transmission services and equipment. The contractor's contact person shall be available for delivery of services at the specified location. The Government shall not be responsible for incorrect or lack of address information, nor for non-availability of contact person at the delivery site.

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

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

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

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

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

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

The above will apply regardless of the number of workloads transmitted to the contractor daily. If the contractor is awarded multiple SSA notice workloads, there must be sufficient capacity at the contractor's production facility to accept transmission of all files according to their schedules. In the event that the transmission network is unavailable for a time period deemed critical by the Government, the files may, at the Government's option, be processed at the SSA print/mail facility.

It is the contractor's responsibility to notify SSA when systems or data line problems arise and transmission(s) cannot take place. SSA's first point of contact for systems or data line problems shall be the HELP DESK at 877-697-4978.

All data provided by the Government or duplicates made by the contractor or his representatives and any resultant printouts must be accounted for and kept under strict security to prevent their release to any unauthorized persons. Data may not be duplicated in whole or in part for any other purpose than to create material to be used in the performance of this contract. Any duplicate data and any resultant printouts must be destroyed by the contractor. Data provided to the contractor must be retained for 21 workdays after mailing.

PREPRODUCTION TESTS: Prior to the commencement of production of orders placed under this contract, the contractor will be required to demonstrate their ability to perform to the contract requirements. The Government will furnish electronic test files at the postaward conference, or shortly thereafter, to be used in performing a transmission test, preproduction press and mail run test and systems validation test.

Failure of the contractor to perform any of the tests (transmission test, preproduction press and mail run test or systems validation test) satisfactorily may be cause for default. The Government reserves the right to waive the requirements of any of these tests. The contractor will be notified at the postaward conference if any test(s) is to be waived.

The contractor will be required to have all material necessary to perform these tests. Government representatives will witness all phases of the preproduction press and mail run test.

TRANSMISSION TEST: After the appropriate data connection has been installed, the contractor will be required to receive within one (1) workday, data for up to 63,820,000 mailers. The contractor will be required to perform a record count verification broken down by dataset name within one (1) workday after the complete transmission of the test files. The contractor must also run the test file through their Coding Accuracy Support System (CASS) certification system to ensure that there are no problems with the reading (ONLY) of the SSA provided address data.

When the count verification has been successfully completed, the contractor will be required to provide SSA within five (5) workdays, 360 sample documents (20 notices from each of the nine (9) self-mailers including each self-mailer's Certified/Registered counterpart (separate file).) The samples will be produced using the data from each of the files that were transmitted during the transmission test. Samples may be imaged on white paper and contain only variable information. At the option of the government, samples may be posted to the secure site. Submit these test samples to SSA, Attn: Matthew Thomas, Printing Management Team, 3-B-9-E Annex Building, 6401 Security Boulevard, Baltimore, MD 21235-6401.

PREPRODUCTION PRESS AND MAIL RUN TEST: Prior to the commencement of production, the contractor will be required to demonstrate their ability to perform this contract by performing a 12-hour preproduction press test run on their equipment and using their personnel (test must be performed on one piece of printing equipment). The 12-hour test run will simulate an actual production press run. The press run will incorporate all aspects from formatting files (electronic), printing (including imaging of variable information), constructing, sorting, and preparing finished pieces for delivery to the USPS. The product is to be produced in accordance with all specifications and all USPS regulations including the loading of the mail onto a trailer to simulate actual production conditions. Government representatives will witness all phases of the test run.

NOTE: A 12-hour test will be required for both workloads. The contractor will be required to have composition and proofing completed on the SSA-1099-SM and the SSA-1042S-SM versions for use in this test.

Test files will be provided for use in both test runs. The contractor must produce 450,000 SSA-1099-SM forms and 50,000 SSA-1042S-SM forms in a 12-hour period that will prove to the Government representative that the Contractor can satisfactorily complete the requirements of this workload during live production. Failure of the contractor to pass the 12 hour test requirements may result in denial of the charges for the test.

The Government reserves the right to waive the Preproduction Press and Mail Run Test.

For each option year that may be exercised, the Government's representatives may require a Preproduction Press and Mail Run Test. The requirements for this test press run (as stated above) will remain the same for each year exercised. The contractor will be notified at each year's meeting which option the Government will exercise or if the test will be waived.

SYSTEMS VALIDATION TEST: The contractor will be required to run the supplied files through their system and furnish a numerical count of records processed to the Government. In addition, the contractor is required to furnish access to a secure proofing site where validation samples will be posted for Government review. SSA will provide a list of individuals to be granted access to the secure site.

The site must be password protected with account settings specific to each user. The electronic samples must be formatted (computerized) to verify position and alignment of variable data (incorporating both variable data and appropriate static text) on the correct static forms. A small portion of printed hard copy samples will also be required at the same time as electronic postings.

After validation is complete, if any of the contractor's errors are serious enough in the opinion of GPO to require revised validation samples, the revised validation samples are to be provided at no expense to the Government. No extra time can be allowed for this repeat validation operation; such operations must be accomplished within the original production schedule allotted in the specifications.

All validation material must be approved by SSA no later than 10 work days prior to production start-up.

COMPOSITION: Contractor must typeset all forms in one of the following typefaces, listed in order of preference: Century Schoolbook, Palatino, or Times Roman, with bold.

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

Each bidder shall list in the bid the name of the generic equivalent typeface(s) and composing machine to be used.

The entirety of each category of composition (text, tabular, and display) must be identical throughout the product(s) ordered under these specifications. The contractor must use the largest type size possible for the given space.

Approximately 400 type lines in various measurements ranging from 7-1/2 to 42 picas; 20 horizontal and 10 vertical rules; and up to four flat tone areas (20% of a 150 line screen) in the up to 25 sq. in. group each. Makeup required (subject to approval of SSA personnel) to fit construction option to be used.

Form work will be defined as matter set in all sizes, and will include vertical, horizontal, and diagonal rules, boxheads, numbered lines, checkboxes, arrows, type matter, etc., positioned in the proper location to provide spaces for information to be filled in individually.

PROOFS:

PDF Soft Proofs

Contractor is to submit "Press Quality" PDF "soft" proof for content only using the same Raster Image Processor (RIP) used to produce the final printed product. SSA will review and approve/disapprove the PDF proof for text flow, image position, and color breaks only (Proof will not be used for color match or construction).

Contractor is to forward the PDF proof to the SSA individual requesting the proof. Contractor is required to follow-up with a phone call or email to confirm receipt.

SSA reserves the right to make changes to the first set of proofs (all versions). If SSA makes changes, additional sets of proofs will be required. At the option of the government, all additional proof may only be required in PDF format. If revised proofs are required, the contractor may provide revised proofs to SSA in PDF format.

NOTE: Changes can be made as late as 15 work days prior to production start-up.

Digital Content Proofs

Three (3) sets of digital color content proofs of the entire product. Direct to plate must be used to produce the final product with a minimum of 2400 x 2400 dpi. Proofs must be created using the same Raster Image Processor (RIP) that will be used to produce the product. Proofs shall be collated with all elements in proper position (not pasted up), imaged face and back, trimmed and folded to the finished size of the product.

Contractor is to submit one "Press Quality" PDF "soft" proof for content only using the same Raster Image Processor (RIP) used to produce the final printed product. SSA will review and approve/disapprove the PDF proof for text flow, image position, and color breaks only (proof will not be used for color match or construction).

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.

After the contractor and SSA agree on all changes and/or corrections, the contractor must provide SSA with three (3) sets of digital color or similar proofs (folded and trimmed to final mailing size). In addition, contractor must provide PDFs for each final versions.

The contractor must not print prior to receipt of an “OK to print.”

STOCK/PAPER: The specifications of all paper furnished must be in accordance with those listed herein or listed for the corresponding JCP Code numbers in the “Government Paper Specification Standards No. 13” dated September 2019. Government Paper Specification Standards No. 13 –

https://www.gpo.gov/docs/default-source/forms-and-standards-files-for-vendors/vol_13.pdf.

All paper used throughout the term of the contract must be of a uniform shade.

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

PRINTING: Print face and back in black and Pantone 032 red. Flat tones may print on face and back.

NOTE: If recycled paper is used, the recycled logo and legend “Printed on recycled paper” (Spanish translation: “Impreso en papel reciclado”) must print on all forms.

All static printing must be done by the same printing process throughout the entire run.

COMPUTERIZED IMAGING: Computerized imaging of variable data in black ink is required on one side.

The contractor may determine type size, density and style of variable data (subject to approval of SSA personnel).

A Spanish font with accent marks will be required in addition to standard English characters. Imaging required consists of up to 29 line from top of box 1 (SSA-1099) and 27 lines from top of box 1 (SSA-1042S) of variable data plus up to 15 lines (each item) consisting of variable return addresses, mail discount structure line, names, and up to six lines for the mailing address plus the potent barcode. A line is defined as extending from the tear-off stub perforation at left side to the tear-off stub perforation at right side.

Future workloads: Future workloads may require two sided imaging in black in only.

A barcode must be imaged in the stub (or suitable) area by each of the imagers used for the computerized printing. Barcode readers must be installed on the press to read these barcodes and shut down the imagers if a sync error occurs. These pieces must be reprinted and 100% accountability must be maintained throughout the run. The contractor must ensure that there are no missing or duplicate pieces.

PRESS SHEET AND CONVERSION INSPECTION: Each year the press sheets will be inspected at the contractor’s plant for quality conformance.

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

At the time or prior to the conversion inspections, the contractor will post 10 digital samples from each production file to a proofing site for SSA officials to review. SSA, will confirm the accuracy of the variable data prior to the approval of the press sheets.

PRESS SHEET INSPECTION: Final makeready press sheets may be inspected and approved at the contractor's plant for the purpose of establishing specified standards for use during the actual press run. Upon approval of the sheets, contractor is charged with maintaining those standards throughout the press run (within QATAP tolerances when applicable) and with discarding all makeready sheets that preceded approval. When a press sheet inspection is required, it will be specified on the individual print order. See GPO Publication 315.3 (Guidelines for Contractors Holding Press Sheet Inspections) issued January 2015.

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

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

MARGINS: Adequate gripper margins throughout.

CONSTRUCTION:

1099/1042S - Option 1

Perforate along entire 17-1/4" dimension, 1/2" or 3/4" from left and right edges to create tear-off stubs. Fold with four wraparound folds to form an 8-3/8 to 9" x 4-1/2" mailing piece. Top fold must form a 1" sealing flap. Completely seal along entire depth in left and right tear-off stubs with firm glue. Secure 1" sealing flap along entire 7-3/8 or 7-1/2" dimension with temporary glue. Temporary glue must hold securely during mailing and handling, permit easy opening without damage to body of mailer, but not permit resealing of this package.

1099/1042S - Option 2

Perforate along entire 17-1/4" dimension, 1/2" or 3/4" from left and right edges to create tear-off stubs. Fold with three wraparound folds to form an 8-3/8 to 9" x 4-1/2" mailing piece. The first fold is 7", second fold is 4-3/8" and third fold (top fold) must form a 1-3/8" sealing flap. Completely seal along entire depth in left and right tear-off stubs with firm glue. Secure 1-3/8" sealing flap along entire 7-3/8 or 7-1/2" dimension with a temporary glue. Temporary glue must hold securely during mailing and handling, permit easy opening without damage to body of mailer, but not permit resealing of the package.

NOTE: Total weight of completed mailing package must not exceed 1 oz. to minimize postage costs.

SHREDDING: The contractor must cross shred 1/4 inch screen or finer all waste created during production of this contract. All shredding must take place on the contractor's premises. (See: "Production Plan"; "Disposal of Waste Materials").

DISTRIBUTION: Mail f.o.b. contractor's city. All mailing shall be made at the First-Class rate.

Transportation of mail to USPS facilities for deposit into the mail stream shall be at the contractor's expense.

Immediately after the contract has been awarded, the contractor must begin negotiating with USPS to obtain operational procedure and Plant Load agreements. It is the contractor's responsibility to secure these agreements. In addition, the contractor must send SSA a current copy of a valid Plant Load agreement for the facilities where the mail will be dispatched to USPS.

The optional procedure that will be in effect for the time of the mailing and the Plant Load agreement must both be in place by the time of the prior to production print and mail meeting. In addition, the contractor must have the mail piece tracking system and quality control procedures in place and ready to go by the same date.

If any deviation from First-Class Mail processing occurs, SSA shall be notified immediately in writing. Any questions regarding USPS processing of any of the forms **SSA-1099/SSA-1042S** should be cleared through SSA by contacting Mail and Postage Policy (DMPP), Francine Moore, on (410) 965-5505. Upon request, SSA's DMPP representatives shall be allowed access to the contractor's mailing operation and any related facilities (e.g., staging areas).

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

Contractor will be required to presort all mail in this contract and achieve USPS automated postal rates. Contractor will be required to provide information on how and demonstrate their ability to achieve USPS automated postal rates prior to award of this contract.

SSA requires the use of Permit Imprint. The contractor must use SSA's "FIRST-CLASS MAIL POSTAGE & Fees paid" permit imprint mailing indicia printed on each mail piece. Each mail piece sent under this payment method must bear a permit imprint indicia showing that postage is paid.

Permit imprint indicia may be printed directly on mail pieces. Permit imprint mailings must contain at least 200 identical pieces or 50 pounds. The contractor is cautioned that "Postage and Fees Paid" indicia may be used only for the purpose of mailing material produced under this contract.

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

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

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

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

Addresses on this mailing will come from SSA's Master Beneficiary Record (MBR). SSA will provide the latest Coding Accuracy Support System (CASS) certification and USPS National Change of Address (NCOA) move update service for addresses from the MBR.

Production files for will be sorted by the terminal digit of the ZIP Code (domestic) and country (foreign). When we refer to "the terminal digit of the ZIP Code", we mean the fifth digit from the left. For example in ZIP Code, 21220-4808, the terminal digit would be "0". Therefore, the contractor will dispatch the domestic portion of the mailing, starting with terminal "0" and dispatch subsequent terminal digits in numeric order through terminal digit 9.

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

The contractor is required to be capable of achieving the postage discounts available with the Full-Service option of the IMB program. The Full-Service Option requires the contractor to use Postal One.

The contractor is responsible for producing and providing all reporting data required for acceptance and processing of Full-service mail required by USPS for Intelligent Mail.

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

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

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

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

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

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

SSA will provide the latest Coding Accuracy Support System (CASS) certification and USPS National Change of Address (NCOA) move update service for addresses from the MBR.

To enable the contractor to achieve Automation Discounts, SSA will furnish a certificate indicating that the addresses were matched against USPS-Certified CASS ZIP+4 software.

The contractor shall use CASS-certified software to enter missing ZIP Code information as appropriate. The contractor shall not change any SSA provided ZIP Code information.

The contractor must generate an Intelligent Mail barcode from the ZIP+4 data on SSA's files. On all pre-barcoded mail pieces, the barcode must contain all ZIP data including the delivery point barcode (5 digit ZIP, ZIP+4+2+ a single digit control character). The barcode must be printed in the wide area address space of the self-mailer or in the lower right portion of the self-mailer, as prescribed by USPS regulations.

The barcode data can be found in the vendor record. For the SSA-1099, the barcode will consist of ZIP Code data found in Position 1 through 5, Position 11 through 14, and Position 407 through 409. For the form SSA-1042S, the barcode will consist of ZIP Code data found in Position 1 through 5, Position 11 through 14, and Position 392 through 394.

SSA will be giving the contractor three (3) files that contain SOME addresses without ZIP Code information: the "DBZ", SSA-1099-SM-UD", and "SSA-1042S-SM-U" files. The contractor shall use CASS-certified software to enter missing ZIP Code information in those files as appropriate. The contractor shall not change any SSA provided ZIP Code information.

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

INTERNATIONAL MAIL: All international mail must conform to the appropriate regulations in the USPS International Mail Manual (IMM), Postal Bulletins, and other USPS rules and regulations in effect at the time of mailing. Permit imprint may be used for International Mail providing each mailing consists of not less than 200 pieces.

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

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

Pieces not qualifying for the IPA Rate Group Levels of discount shall be prepared at the Worldwide Non-presorted rate level and any remaining pieces that do not meet IPA qualifications will be sorted by individual country rules according to the USPS IMM in effect at the time of the mailing. The contractor is required to sort the mail to achieve the maximum postage discounts available with the IPA program. Due to heightened security, many foreign postal administrations require complete sender and addressee information in roman letters and Arabic numerals on postal items.

International Mail return addresses must show as the last line of the address UNITED STATES OF AMERICA or USA in all capital letters. All International Mail must be endorsed Air Mail/Par Avion as described in the USPS IMM. The contractor may use a rubber stamp to meet this requirement.

Airmail/PAR AVION and UNITED STATES OF AMERICA must be preprinted or imaged on all forms that will be used for International mail. These two items will not be part of the vendor display rules. International Mail cannot contain a presort endorsement.

NOTE: Contractor is cautioned that files may contain mail addressed to United States possessions and territories (American Samoa, Federated States of Micronesia, Guam, Marshall Islands, Northern Mariana Islands, Palau, Puerto Rico, U.S. Virgin Islands, and Wake Island) and Military Overseas Addresses (APO/FPO mail). These destinations are domestic, not international, mail.

SPECIAL MAILING REQUIREMENTS:

USPS CERTIFIED MAIL

The domestic Special Notice Option (SNO) mail pieces included in these mailings will be required to be mailed using USPS Certified Mail. A receipt showing that the mail was accepted by the Post Office is a requirement for SNO mail. The contractor will prepare these mail pieces according to USPS regulations contained in the Domestic Mail Manual (DMM) under Section 503.3.0, Certified Mail. The contractor must place the current Postal Service Form 3800 (20 digit certified number and barcode) on the self-mailer.

NOTE: Permit imprint may not be used if the mailing is less than 200 pieces or pieces that are not identical. Instead, the mail must be metered.

USPS INTERNATIONAL REGISTERED MAIL:

The foreign Special Notice Option (SNO) mail-pieces included in these mailings will be required to be mailed using USPS International Registered Mail since Certified Mail cannot be used for foreign addresses. A receipt showing that the mail was accepted by the Post Office is a requirement for SNO mail. The contractor will prepare these mail-pieces according to USPS regulations contained in the International Mail Manual (IMM) under Section 330, Registered Mail. Notices associated with the registered mail file shall be processed as international registered mail. The contractor must place the current Postal Service Form 3806 (Receipt for Registered Mail) and PS Label 200 (13 digit registered number and barcode) on the address side of the self-mailer.

Permit imprint may not be used if the mailing is less than 200 pieces or pieces that are not identical. Instead, the mail must be metered.

Certified/Registered Mail – The contractor may add printing to the front of the self-mailer, with Government approval, to meet USPS and production requirements but must not remove/change the Government printing required.

NOTE: The contractor will be reimbursed for the postage costs of certified or registered mail by submitting a properly completed Postal Service form (or equivalent).

MAILING DOCUMENTATION: The contractor shall provide SSA with complete copies of all documents, including PS Form 3600R and GPO's Form 712 (Certificate of Conformance), to be used by USPS verification and acceptance of mailing (e.g., computer records of presort ZIP+4, barcode breakdown, press runs, etc.). PS Form 3600R must include terminal digit for SSA-1099-SM. Copies should be provided to SSA's Division of Printing Management (DPM) within 24 hours of being provided to USPS.

As documentation of day's mailing is completed, the contractor shall provide SSA's DPM representative with copies of postmarked postal forms (statement of mailing with permit imprint) and other records as agreed to during the mail and production meeting. All copies must be legible and both obverse and reverse sides are required. Copies of the documentation for each day's mailing shall be available by 10:00 a.m. the next workday, for any day representatives are not on-site or otherwise unable to pick up the documentation, contractor shall mail the documentation via overnight carrier (at the contractor's expense). Send to SSA, Attn: Matthew Thomas, Division of Printing Management, 3-B-9-E Annex Building, 6401 Security Boulevard, Baltimore, MD 21235-6401.

Contractor must place the number that is on the top of GPO Form 712 (the number that starts with the letter "A") in space provided on the USPS mailing statements. If there is no space provided on the mailing statement, place the number in the upper right margin of the mailing statement.

On each mailing statement, the Federal Agency Cost Code 276-00033 must be used.

NOTE: The contractor is required to complete and email to SSA daily an MS excel database/spreadsheet for each day of mailing. The database/spreadsheet will have fields for the contractor to fill in. These fields will include: Job Title, Jacket Number, Program and Print Order Numbers, as well as the Itemized breakdown of the postage computation found on the postal Form PS 3600 R. The contractor will be required to email the completed database/spreadsheet to matthew.thomas@ssa.gov within 24 hours of each mail drop.

All furnished copies must be sent to SSA, Attn: Matthew Thomas, Division of Printing Management, 3-B-9-E Annex Building, 6401 Security Boulevard, Baltimore, MD 21235-6401.

All expenses incidental to returning materials, submitting proofs, and furnishing samples must be borne by the contractor.

SCHEDULE: Adherence to this schedule must be maintained. Contractor must not start production of any job prior to receipt of the individual print order (GPO Form 2511).

NOTE: Dates will change according to calendar year and will be provided at each year's planning meeting or with the print order for option years.

Postaward conference will take place within ten (10) workdays of notification of award.

Production Kick-Off Meeting – A production kick-off meeting will be held annually to discuss the planning for each workload. SSA will host the production kick-off meetings via conference call. During this meeting SSA stake holders, GPO, and the contractor will review the upcoming production timeline and all action items leading up to live production. This will be a time to review and changes made to the workloads and to ask any necessary questions before the timeline begins.

Proof Schedule:

Submit proofs for each version to SSA within 10 workdays after receipt of the manuscripts. These manuscripts will typically be available at postaward conference, or around the time of the production kick-off meeting.

The Government will hold proofs for 10 workdays from receipt at SSA.

Submit revised proofs, if necessary, within five (5) workdays after receipt.

The Government will hold revised proofs for five (5) workdays from receipt at SSA.

PDF copy of the IRS Notice 703 will be made available by October 31st of each production year.

Changes can be made as late as 15 work days prior to production start-up.

Submit proofs together with copy DIRECTLY to: SSA, Attn: Matthew Thomas, Division of Printing Management , 3-B-9-E Annex Building, 6401 Security Boulevard, Baltimore, MD 21235-6401. Furnished proof label must be filled in by the contractor and used on all proof packages.

Preproduction Test Schedule: Prior to receiving transmission of live production data files, the contractor will be required to perform the following tests:

Transmission Test:

Within one (1) week after the data connection has been installed, and all Security requirements are met the contractor will be required to perform the transmission test. The transmission test requires the receipt of data for up to 63,820,000 mailers.

NOTE: The transmission test will begin after the Government is notified of the availability of the system.

12-Hour Preproduction Press and Mail Run Test

After the transmission test has been successfully completed and output approved by SSA, the contractor will be required to perform the 12-hour preproduction press and mail run test. Contractor must perform the preproduction press and mail run test in a continuous 12-hour period that will prove to the Government representatives that the contractor can satisfactorily complete the requirements of this contract during live production.

Systems Validation Test:

The contractor shall submit validation samples to SSA electronically via the contractor provided secure site. Validation samples must be produced from the validation test file within eight (8) workdays after receipt of files. Electronic samples must be complete and include all variable data from Government furnished files. The contractor must also submit a small portion of printed samples to demonstrate accurate position of text and layout. Systems validation test files will be available 6-8 weeks prior to live production. The date of validation test files will be established during the kick-off meeting.

The vendor must notify all members with access to the secure site via e-mail once samples have been posted. Printed samples are to be shipped to: SSA, Attn: Matthew Thomas, Division of Printing Management, 3-B-9-E Annex Building, 6401 Security Boulevard, Baltimore, MD 21235-6401.

The Government will approve, conditionally approve, or disapprove, the validation samples within 10 workdays after receipt of output. Approval or conditional approval shall not relieve the contractor from complying with the specifications and all other terms and conditions of the contract.

A conditional approval shall state any further action required by the contractor. A notice of disapproval shall state the reasons thereof. If necessary, the contractor must submit revised validation samples within five (5) workdays after notice. The Government will hold revised samples for five (5) workdays from receipt at SSA.

NOTE: Validation must be completed and approved 10 workdays prior to production of each workload.

Failure of the contractor to perform any of the prior to production tests satisfactorily may be cause for default.

Production Schedule:

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

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

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

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

The first print order for actual production will be issued in December, 2021.

Contractor should not proceed with processing a transmission until counts are verified against the task order. If a discrepancy is found, the contractor must contact SSA immediately.

Production files for all versions, except the Supplemental, will be available on or before December 17, 2021.

Within two (2) workdays of receipt of production files and before proceeding with any other processing, the contractor shall copy files to their own media and provide the Print Management Team (PMT) with record counts by file for terminal digit “0”.

The contractor shall also be required to verify all other record counts for the terminal digits and other files on a flow basis before any processing, on or before December 21, 2021. PMT will verify and reconcile counts and where applicable, furnish revised files.

Mailing of the Domestic version is to begin on December 30, 2021, (at the rate of approximately 3,400,000 mailers per day (Monday through Saturday, including Federal holidays, six days a week). Mailing is to be released on the terminal digit sort and based on the last digit of the 5 digit ZIP Codes. SSA will prepare a mailing schedule (to be available in late December) that the contractor is required to maintain.

Contractor is not to accelerate the mail schedule. The SSA-1099-SM mailing totals must be broken down by terminal digit. All other mailing totals should be broken down according to form used.

Mailing of all foreign versions are to be mailed in equal amounts every other mailing day starting January 3, 2022 and ending January 18, 2022 (as required by the SSA mailing schedule).

NOTE: If January 18, 20XX falls on a Sunday then it is anticipated that the contractor will complete mailing of the foreign versions on the 1st workday immediately after January 18, 20XX. Mailing on Saturdays is permitted.

Production files for the Supplemental version will be available on or before January 18, 2022.

All mailing, including the supplemental domestic and foreign versions must be completed by January 25, 2022 (midnight).

NOTE: If January 25, 20XX falls on a Sunday then it is anticipated that the contractor will complete all mailing the 1st workday immediately after January 25, 20XX. Mailing on Saturdays is permitted.

Dates will change according to calendar year and will be provided at each year’s planning meeting or with the print order for option years.

Contractor is required to provide daily production and mailing totals in Microsoft Excel format, including holidays and weekends, beginning the next day after first mailing date. All mailing totals should be broken down according to the form used. The Microsoft Excel file will be sent via email to Matthew Thomas (Matthew.Thomas@ssa.gov) and Justin Smith (Justin.Smith@ssa.gov) each day until production and mailing of each workload is completed.

Press Sheet or Press Sheet Conversion Inspection:

The contractor must notify the U.S. GPO of the date and time pre-production test press run, press sheet inspection of base forms, and conversion inspection can be performed. In order for proper arrangements to be made, notification must be given at least three (3) workdays prior to all inspections. Notify the U.S. Government Publishing Office, Quality Control for Published Products, Washington, DC 20401 at (202) 512-0542. Telephone calls will only be accepted between the hours of 8:00 a.m. and 2:00 p.m., prevailing Eastern Time, Monday through Friday. See contract clauses, paragraph 14(e)(1), Inspections and Tests of GPO Contract Terms (GPO Publication 310.2, effective December 1, 1987 (Rev. 01-18)).

NOTE: When supplies are not ready at the time specified by the contractor for inspection, the Contracting Officer may charge to the contractor the additional cost of the inspection.

At the time of each separate press inspection please provide 100 non-imaged pieces and 100 imaged pieces of each of the six (6) versions to by an overnight courier to: SSA, Attn: Matthew Thomas, Division of Printing Management, 3-B-9-E Annex Building, 6401 Security Boulevard, Baltimore, MD 21235-6401.

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

For compliance reporting purposes, the contractor is to notify the U.S. Government Publishing Office of the date of shipment or delivery. Upon completion of each order, contractor must contact the Shared Support Services Compliance Section via email at compliance@gpo.gov. Personnel receiving email will be unable to respond to questions of a technical nature or to transfer any inquiries.

SECTION 3.- DETERMINATION OF AWARD

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

Although the base year will only allow for approximately eight (8) months of live production, the determination below was estimated on a full years' production

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

- | | | |
|-----|-----|--------|
| I. | (a) | 1 |
| | (b) | 1 |
| | (c) | 1 |
| II | (a) | 27 |
| III | (a) | 1 |
| | (b) | 69,185 |
| IV | (a) | 69,185 |
| V | (a) | 69,185 |
| VI | (a) | 17 |

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SECTION 4. - SCHEDULE OF PRICES

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

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

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

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

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

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

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

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

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

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

I. PREPRODUCTION TESTS: Prices offered must include all costs incurred in performing the (pre-production validation test, preproduction press and mail run test, and transmission test) as specified in these specifications. These costs will cover but are not limited to: machine time, personnel, file transmission, paper, printing, imaging, and any other operations necessary to produce the required quantities of the product in the time specified in the contract.

- (a) Preproduction Validation Test.....\$ _____
- (b) Preproduction Press and Mail Run Test\$ _____
- (c) Transmission Test.....\$ _____

II. PROCESSING/PROGRAMMING FILES: The contractor will be allowed only one (1) charge per file type for the term of the contract to process and/or format the files supplied necessary to print and mail the notices. *(Total of 18 files)*

- (a) Processing/Programming Files..... per file.....\$ _____

III. PRINTING/IMAGING/CONVERTING Prices offered must include the cost of all materials and operations (including proofs, press samples and stock) necessary for the complete Printing, imaging, and converting of the product listed in accordance with these specifications.

- (a) Makeready/Setup Charge\$ _____

(Initials)

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

(b) SSA-1099/SSA-1042S Notices:

Includes printing, imaging, converting per 1,000 notices\$ _____

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

Computation of the net number of leaves will be based on each unfinished mailer-size leaf.

(a) White Offset Book (60-lb.)..... per 1,000 leaves.....\$ _____

V. MAILING: Prices offered must include the cost of all required materials and operations necessary for the mailing of the SSA-1099/SSA-1042S.

(a) SSA-1099/SSA-1042S per 1,000 notices.....\$ _____

VI. CERTIFIED/REGISTERED MAIL: Prices offered must include the cost of any and all additional materials and operations necessary to complete the Certified/Registered mail and provide to USPS.

(a) SSA-1099/SSA-1042S per 1,000 notices.....\$ _____

TYPEFACES: If manufacturer's generic equivalent typefaces are proposed, the bidder must list on the line of the same number as the preferred typeface, the name of the equivalent typeface and composing machine to be used.

Preferred Typefaces:

1. Century Schoolbook
2. Palatino
3. Times Roman

Manufacturer's Generic
Equivalent Typefaces

Name of Composing Machine

1. _____

2. _____

3. _____

(Initials)

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

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

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

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

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

BIDDER'S NAME AND SIGNATURE: Unless specific written exception is taken, the bidder, by signing and submitting a bid, agrees with and accepts responsibility for all certifications and representations as required by the solicitation and GPO Contract Terms – Publication 310.2. When responding by email, fill out and return one copy of all pages in "SECTION 4. – SCHEDULE OF PRICES," including initialing/signing where indicated. Valid electronic signatures will be accepted in accordance with the Uniform Electronic Transactions Act, §2. Electronic signatures must be verifiable of the person authorized by the company to sign bids. *Failure to sign the signature block below may result in the bid being declared non-responsive.*

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

(Street Address)

(City – State – Zip Code)

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

(Person to be Contacted) (Telephone Number)

(Email) (Fax Number)

THIS SECTION FOR GPO USE ONLY

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