

U.S. GOVERNMENT PUBLISHING OFFICE
Washington, DC

GENERAL TERMS, CONDITIONS, AND SPECIFICATIONS

For the Procurement of
Income Related Monthly Adjusted Amount (IRMAA) Notices

as requisitioned from the U.S. Government Publishing Office (GPO) by the
Social Security Administration (SSA)

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

TERM OF CONTRACT: The base term of this contract is for the period beginning from the Date of Award and ending June 30, 2020, plus up to four (4) optional 12-month extension periods that may be added in accordance with the "OPTION TO EXTEND THE TERM OF THE CONTRACT" clause in SECTION 1 of this contract.

NOTE: There will be an approximate 6-month start-up period with transmission of live production files commencing on the Friday prior to Thanksgiving.

BID OPENING: Bids shall be publicly opened at 11:00 a.m., prevailing Washington, DC time, on February 15, 2019.

BID SUBMISSION: Submit bid in pre-addressed envelope furnished with solicitation or send to: U.S. Government Publishing Office, Bid Section, Room C-848, Stop: PPSGB, 732 North Capitol Street, NW, Washington, DC 20401. Facsimile bids in response to this solicitation are permitted. Facsimile bids may be submitted directly to the GPO Bid Section, Fax No. (202) 512-1782. The program number and bid opening date must be specified with the bid. Refer to Facsimile Bids in Solicitation Provisions of GPO Contract Terms, GPO Publication 310.2, as revised January 2018. Hand delivered bids are to be taken to: GPO Bookstore, 710 North Capitol Street, NW, Washington, DC, between the hours of 8:00 a.m. and 4:00 p.m., prevailing Washington, DC, time, Monday through Friday. The contractor is to follow the instructions in the Bid Submission/Opening area. If further instruction or assistance is required, call (202) 512-0526.

BIDDERS, PLEASE NOTE: This Program was formerly Program 542-S. The specifications have been extensively revised. Special attention is directed to the following:

- GPO has issued a new GPO Publication 310.2, GPO Contract Terms - Solicitation Provisions, Supplemental Specifications, and Contract Clauses (Rev 1-18). Prospective bidders should carefully read this publication as the applicable terms within become an integral part of this contract. The document is posted at: <https://www.gpo.gov/how-to-work-with-us/vendors/forms-and-standards> along with a list of major revisions.
- The GPO 910 "BID" Form is no longer required. Bidders are to fill out, sign/initial, as applicable, all pages of "SECTION 4. – SCHEDULE OF PRICES."
- Due to the compressed production time (receiving of transmitted data, and printing and mailing of approximately 4,200,000 notices beginning the Friday before Thanksgiving and ending the Friday after Thanksgiving), all bidders currently producing other SSA workloads and/or other Government contracts must be able to demonstrate that award of this contract will not adversely impact those workloads or conversely, that other workloads will not adversely impact this program.

Abstracts of contract prices are available at: <http://www.gpo.gov/gpo/abstracts/abstract.action?region=Central>
<https://www.gpo.gov/how-to-work-with-us/vendors/contract-pricing>.

For information of a technical nature, contact **Jim Ballou** at jballou@gpo.gov or (202) 512-0310.

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. 1-18)) and GPO Contract Terms, Quality Assurance through Attributes Program for Printing and Binding (GPO Publication 310.1, effective May 1979 (Rev. August 2002)).

GPO Contract Terms (GPO Publication 310.2) – <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.pdf>

SUBCONTRACTING: The predominant production functions are the printing of notices, the laser/ion deposition printing/imaging of data at a minimum of 600 x 600 dpi for the notices from electronically transmitted files, folding, inserting, the presorting and mailing of the completed product, and disposal of waste materials. Any bidder who cannot perform these functions of this contract will be declared non-responsible. The contractor may subcontract the printing and manufacturing of the envelopes.

NOTE: The contractor shall be 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, all parties must comply with the terms and regulations as detailed in the Printing Procurement Regulation (GPO Publication 305.3; Rev. 4-14).

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

Product Quality Levels:

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

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

- (a) Non-destructive Tests - General Inspection Level I.
- (b) Destructive Tests - Special Inspection Level S-2.
- (c) Transparent, low-gloss, poly-type window material covering the envelope window must pass a readability test with a rejection rate of less than 1/4 of 1% when run through a USPS OCR Scanner.

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

<u>Attribute</u>	<u>Specified Standard</u>
P-7. Type Quality and Uniformity	O.K. Press Sheets

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

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

OPTION TO EXTEND THE TERM OF THE CONTRACT: The Government has the option to extend the term of this contract for a period of 12 months by written notice to the contractor no later than 30 days before the contract expires. If the Government exercises this option, the extended contract shall be considered to include this clause, except, the total duration of the contract may not exceed five (5) years as a result of, and including, any extension(s) added under this clause. Further extension may be negotiated under the “EXTENSION OF CONTRACT TERM” clause. See also “ECONOMIC PRICE ADJUSTMENT” for authorized pricing adjustment(s).

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

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

For the purpose of this clause, performance under this contract will be divided into successive periods. The first period will extend from Date of Award to June 30, 2020, and the second and any succeeding period(s) will extend for 12 months from the end of the last preceding period, except that the length of the final period may vary. The first day of the second and any succeeding period(s) will be the effective date of the Economic Price Adjustment for that period.

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

The economic price adjustment will be the percentage difference between Index averages as specified in this paragraph. An index called the variable index will be calculated by averaging the monthly Indexes from the 12-month interval ending three (3) months prior to the beginning of the period being considered for adjustment. This average is then compared to the average of the monthly Indexes for the 12-month interval ending March 31, 2019 called the base index. The percentage change (plus or minus) of the variable index from the base index will be the economic price adjustment for the period being considered for adjustment.

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

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

NOTE: *For the purpose of this contract, the Paper Price Adjustment will be based on the date of actual production. Actual production begins in November 2019.*

1. BLS code 0913-01 for Offset and Text will apply to all paper required under this contract.
2. The applicable index figures for the month of October 2019, will establish the base index.
3. There shall be no price adjustment for the first three (3) production months of the contract.
4. Price adjustments may be monthly thereafter, but only if the index varies by an amount (plus or minus) exceeding 5% by comparing the base index to the index for that month which is two (2) months prior to the month being considered for adjustment.
5. Beginning with order placement in the fourth month, index variances will be calculated in accordance with the following formula:

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

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

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

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

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

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

SECURITY REQUIREMENTS: Protection of Confidential Information:

- (a) The contractor must restrict access to all confidential information obtained from the Social Security Administration in the performance of this contract to those employees and officials who need it to perform the contract. Employees and officials who need access to confidential information for performance of the contract will be determined at the postaward conference between the Contracting Officer and the responsible contractor representative.

- (b) The contractor 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 assure that each contractor employee with access to confidential information knows the prescribed rules of conduct, and that each contractor employee is aware that he/she may be subject to criminal penalties for violations of the Privacy Act and/or the Social Security Act. When the contractor employees are made aware of this information; they will be required to sign the SSA-301, "Contractor Personnel Security Certification" (Exhibit A). A copy of this signed certification must be forwarded to: Social Security Administration, Attn: Jamey Cunningham, 1340 Annex Building, 6401 Security Boulevard, Baltimore, MD 21235-6401. A copy must also be forwarded to: U.S. Government Publishing Office, Agency Publishing Services, DC Team 1, Stop: CSAP, Room C-838, Attn: Contracting Officer, 732 North Capitol Street, NW, Washington, DC 20401.
- (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 shall be handled as confidential and may not be disclosed without the written permission of SSA. For willingly disclosing confidential tax return information in violation of the IRC, the contractor and contractor employees may be subject to the criminal penalties set forth in 26 U.S.C. Section 7213.
- (h) The Government reserves the right to conduct on-site visits to review the contractor's documentation and in-house procedures for protection of confidential information.

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.

See Exhibit B for References for External Service Providers (ESP).

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

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

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

- b) Upon request from the SSA Printing Management Branch, the contractor shall provide access to the hosting facility to the U.S. Government or authorized agents for inspection and facilitate an on-site security risk and vulnerability assessment.
- c) The solution must meet Federal Information Processing Standards (FIPS) and guidance developed by the National Institute of Science and Technology (NIST) under its authority provided by the Federal Information Security Management 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) Solutions classified as Cloud Service Providers (CSP) must adhere to additional FedRAMP security control requirements. 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.

NOTE: A Third Party Assessment Organization (3PAO) is an organization that has been certified to help cloud service providers and Government agencies meet FedRAMP compliance regulations. The website listing accredited 3PAOs will be provided at the postaward conference.

- e) Before SSA provides data to the contractor, the contractor shall submit a System Security Plan (SSP) which documents how the solution implements security controls in accordance with the designated FIPS 199 security categorization and the Minimum Security Requirements for Federal Information and Information Systems which requires the use of NIST SP 800-53, or the contractor shall provide a Security Assessment Package (SAP) completed by either an independent assessor or another Federal agency.

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

- f) SSA will consider a self-assessment of security controls for solutions that do not involve sensitive information or Personally Identifiable Information (PII).

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

References (refer to the most up to date revision):

- Federal Information Security Management Act (FISMA) of 2002.
- Clinger-Cohen Act of 1996 also known as the "Information Technology Management Reform Act of 1996."
- Privacy Act of 1974 (5 U.S.C. § 552a).
- Homeland Security Presidential Directive (HSPD-12), "Policy for a Common Identification Standard for Federal Employees and Contractors", August 27, 2004.
- Office of Management and Budget (OMB) Circular A-130, "Management of Federal Information Resources", and Appendix III, "Security of Federal Automated Information Systems", as amended.
- OMB Memorandum M-04-04, "E-Authentication Guidance for Federal Agencies."
- FIPS PUB 199, "Standards for Security Categorization of Federal Information and Information Systems."
- FIPS PUB 200, "Minimum Security Requirements for Federal Information and Information Systems."
- FIPS PUB 140-2, "Security Requirements for Cryptographic Modules."
- NIST Special Publication 800-18, "Guide for Developing Security Plans for Federal Information Systems."
- NIST Special Publication 800-30, "Risk Management Guide for Information Technology Security Risk Assessment Procedures for Information Technology Systems."

- NIST Special Publication 800-34, “Contingency Planning Guide for Information Technology Systems.”
- NIST SP 800-37 “Guide for the Security Certification and Accreditation of Federal Information Systems.”
- NIST Special Publication 800-47, “Security Guide for Interconnecting Information Technology Systems.”
- NIST Special Publication 800-53, “Recommended Security Controls for Federal Information Systems.”
- NIST Special Publication 800-53A, “Guide for Assessing the Security Controls in Federal Information Systems, “CIO Council’s Federal Identity, Credential, and Access Management (FICAM) Roadmap and Implementation Guidance”
- NIST Special Publication 800-60
- OMB M-07-16, AIMS Chapter 15: Personally Identifiable Information Loss and Remediation

All External Service Providers (ESP) are subject to the following security requirements:

- All ESPs are subjected to SSA’s Security Authorization Process, which will entail security testing and evaluation of the in-place security controls. For more information, see NIST SP 800-37, Revision 1.
- ESPs must follow NIST SP 800-53 Revision 4 *Recommended Security Controls for Federal Information Systems and Organizations* for protecting Low or Moderate impact level information as categorized by FIPS 199 for the information system. NOTE: Systems that contain Personally Identifiable Information (PII) are considered “Moderate.”
- ESPs must document all deployed (applicable) and planned controls for an information system in a System Security Plan that is in NIST-compliant format. Refer to NIST SP 800-18.
- ESPs classified as Cloud Service Providers (CSP) must adhere to additional FedRAMP security control requirements. 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).
- Upon request from SSA, the ESP shall provide the following network security information and documentation for review and audit purposes:
 - All information security control artifacts required to support the Security Assessment and Authorization (SA&A) process.
 - Intrusion Detection Systems (IDS) configuration.
 - Network firewall configuration.
 - Server and network device patching schedules and compliance.
 - Server, network device, and security logs.
 - Detailed hardware inventory including servers, network devices, and storage.

ESPs are required to adhere to NIST 800-53 Rev. 4 security control framework based on their assigned categorization. The following sections outline additional security controls and SSA organizational defined parameters for NIST 800-53, Rev 4. Security requirements below are applicable to low and moderately categorized systems unless otherwise designated. For additional information or supplement guidance for these controls, refer to Appendix F of NIST 800-53, Rev 4.

See “Exhibit B: “SSA External Service Provider 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: External Hosted Information System Plan (ESP) 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.

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

NOTE: These requirements apply to all contractor's facilities (i.e., multiple plants) used for production of the notices.

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:

NOTE: For the purposes of this contract, the "COR-COTR" or "COR" is the SSA representative. 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 workdays prior to the date vendor personnel are to begin work. The suitability process cannot begin until the vendor submits, and SSA receives, accurate and complete documents.

(1) Suitability Document Submission

- a. Immediately upon award, the Company Point of Contact (CPOC) must provide to the Center for Suitability and Personnel Security (CSPS) and a copy to the Contracting Officers 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 (Exhibit F) including the names of all vendor personnel requesting suitability;
 - (ii) Completed Optional Form (OF) 306 (Exhibit G), Declaration for Federal Employment;
 - (iii) Fair Credit Reporting Act (FCRA) Authorization Form (Exhibit H);
 - (iv) Additional Questions for Public Trust Positions Branching (Exhibit I); and
 - (v) 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 (SSA) vendor number, the CPOC's name, the CPOC's contact information, the COR's name, the COR's contact information, and the full name, Social Security Number, date of birth, place of birth (must show city and state if born in the U.S. OR city and country if born outside of the U.S.), and a valid email address for all vendor personnel requesting suitability. All spelling of names, email addresses, places, and numbers must be accurate and legible.

(2) e-QIP Application:

- a. Once SSA receives all completed documents, listed in (a)(1), the Center for Suitability and Personnel Security (CSPS) will initiate the e-QIP process using the e-QIP applicant listing. CSPS will email the e-QIP notification to the CPOC and COR inviting vendor personnel to the e-QIP website to electronically complete the background investigation form (Standard Form (SF) 85P, Questionnaire for Public Trust Positions (Exhibit J).
- 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 SF85P.

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 eQIP 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 (Exhibit K). The COR can provide the FD 258, if required. Vendor personnel must complete all fields on the FD 258. Incomplete fields may delay suitability processing.
- c. If the vendor needs to mail completed FD 258 fingerprint cards, the vendor can send them, via certified mail along with a completed Vendor Personnel Suitability Cover Sheet to: Social Security Administration, Center for Suitability and Personnel Security, Attn: Suitability Program Officer, 6401 Security Boulevard, 2246 Annex Building, Baltimore, MD 21235.

(4) Status Check:

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

(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 contractor, the CPOC must submit a fully completed, legible Vendor Personnel Rollover Request Form (Exhibit L) to the COR. 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 OF306. 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; vendors 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 (1) 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)
 - b. Select the 256-Bit AES encryption radio button
 - c. Click "OK"
- x. The file has been successfully encrypted and the new Zip file can now be attached to an email.

Providing the Recipient with the Password:

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

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

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

Sending an encrypted Zip File via email:

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

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

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

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

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

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

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

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.

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.

NOTE: For each option year that may be exercised, SSA requires the contractor to review their production plans and re-submit in writing the below 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 of his/her representative within five (5) workdays of notification of the option year being exercised. If there are no changes or revisions, the contractor must submit a statement to the Contracting Officer or his/her representative confirming the current plans are still in effect.

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

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

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

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

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

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

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

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

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

- One (1) sample will be inspected and tested by both the press crew and an independent Quality Assurance Technician who will evaluate compliance of diverted product to contract specifications for the duration of the job.
- One (1) sample will be drawn for the Social Security Administration and will be packed with associated pieces for the annual print order and shipped within five (5) workdays of completion of the print order) to the Social Security Administration (address to be supplied at the postaward meeting).

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

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

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

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

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

The system plan shall demonstrate the contractor’s ability to provide complete hardware and software compatibility with SSA’s existing network (see “FILE TRANSFER MANAGEMENT SYSTEM (FTMS) REQUIREMENTS” and “TRANSMISSION TESTS” for additional information). The contractor must complete a System Plan (Exhibit M).

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

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

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

Personnel Plan – 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 be given to familiarize them with the requirements of this program.

Production Plan – Each October, the contractor is to provide a detailed plan of the following:

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

The contractor must disclose in their production plan their intentions for the use of any subcontractors. 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 30 calendar days prior to production to submit to the Government the new subcontractor’s information.

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

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

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

The plan shall contain at a minimum:

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

Production Area Plan – The contractor must provide a secure area(s) dedicated to the processing and storage of data for all notices, either a separate facility dedicated to this product, or a walled-in limited access area within the contractor's existing facility. Access to the area(s) shall be limited to security-trained employees involved in the production of all notices. Part of the Production Area Plan shall include a floor plan detailing the area(s) to be used, showing existing walls, equipment to be used, and the printing and finishing locations.

Contractor must have, in place, a building security system that is monitored 24 hours a day, seven (7) days a week, and a badging/keypunch system that limits access to Government materials (data processing center/production facility and other areas where Government materials with PII are stored or are accessible) that is only accessible by approved personnel. Contractor must present this information, in detail, in the production area plan.

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

The contractor, at a minimum, must crosscut shred all documents into squares not to exceed one-quarter inch. All documents to be destroyed cannot leave the security of the building, must be destroyed at contractor's printing site, and cannot be subcontracted. The contractor must specify the method planned to dispose of the material.

UNIQUE IDENTIFICATION NUMBER: Unique identification numbers will be used to track each individual notice, thereby providing 100% accountability. This enables the contractor to track each notice through completion of the project. The contractor will be required to create two test samples every 4,000 notices. This samples must have unique numbers and must be produced on each notice. The contractor will generate a list of the unique identifying numbers for each sample. As samples are pulled, the unique numbers will be marked off the list. This enables the contractor to track which samples have been produced and pulled and what records have been produced.

The contractor may create their own sequence number and run date to facilitate their presorting and inserting process but must maintain the original SSA identification number.

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

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

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

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

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

Notice integrity shall be defined as follows:

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

Mailing integrity shall be defined as follows:

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

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

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

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

- (i) Audit report must contain the following information:
- (1) Job name
 - (2) Mailer number, file date, and mail date(s)
 - (3) Machine ID
 - (4) Date of production with start and end date and time for each phase of the run (i.e., machine ID).
 - (5) Start and end sequence numbers in each run
 - (6) Status of all sequence numbers in a run
 - (7) Total volume in run
 - (8) Status report for all incidents for each sequence number and cause (e.g., inserted, diverted, and reason for divert such as missing sequence number, missing leaves, mutilated, duplicate, pulled for inspection).
 - (9) Bottom of audit report must contain total number of records for that run, quantity sent to reprint, number of duplicates, duplicates verified and pulled, and total completed.
 - (10) Audit report must contain the same information for all the reprints married with this report as listed above showing that all pieces for each mailer number and file date are accounted for with corresponding date stamp of completion of each.
- (j) Contractor must generate a **final automated 100% accountability summary report** for each individual file by mailer number and file date. This information must be generated directly from the audit report (manual inputs are not allowed). The summary report must contain the following:
- (1) Job information - Job name, file date, mailer number, piece quantity, sequence start and end number, if multiple batches for a single file include number of batches and batch number (i.e., 1 of 4, due date, etc.).
 - (2) Job Start Time and Job End Time
 - (3) Volume of sequence numbers associated with an individual file by mailer number and file date that were inserted and date completed.
 - (4) Volume of reprints that were inserted for each file date and when completed.
 - (5) Total volume inserted for each file date and final date and time that each batch was completed.

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

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

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

NOTE: The Government reserves the right to conduct an audit at any time during the term of the contract. The audit team will provide the contractor a minimum of a 24-hour notice prior to audit. If the contractor produces multiple SSA contracts, the audit team will provide a list of contracts and print orders they will require full audit reports, summary reports, and postal documentation for during the audit. The contractor must provide the required audit reports within one (1) hour of request; the audit team will grant one (1) hour for each report to be pulled. The audit team may request a full tour and demonstration of the accountability process at the time of the audit. A wrap-up meeting will occur at the conclusion of the audit. The audit team will review their findings with the contractor at this time. The contractor will need to provide in writing responses to all findings, questions, and concerns within one (1) week of the wrap-up meeting. The Government considers grounds for the immediate default of this contract if the contractor, at any time, is unable to perform or found not in compliance with any part of this requirement.

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

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

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

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

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

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

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

POSTAWARD CONFERENCE: 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.

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

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

The contractor must meet with SSA Division of Mail and Postage Policy (DMPP) and USPS representatives to present and discuss their plan for mailing. The preproduction meeting will include a visit to the contractor's mailing facility, where the contractor is to furnish specific mail flow information. The contractor must present documentation of the plant loading agreement and either a copy of the optional procedure, which has been negotiated with the USPS or a draft of the original procedure that the contractor intends to negotiate with the USPS for SSA approval. The contractor also needs to present SSA with a copy or a draft of the manifest (tracking system) to be used to accomplish the above.

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

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

THE GOVERNMENT RESERVES THE RIGHT TO WAIVE THE PREPRODUCTION MEETING.

ASSIGNMENT OF JACKETS, PURCHASE ORDERS, TASK ORDERS, 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 electronic "task order" for the job placed with the contractor (per lot). A print order will be issued and will indicate the total number of notices produced by the contractor under the task order. The print order, when issued, will contain any other information pertinent to the particular order.

ORDERING: Items to be furnished under the contract shall be ordered by the issuance of print orders by the Government. Orders may be issued under the contract from Date of Award through June 30, 2020, plus for such additional period(s) as the contract is extended. All print orders issued hereunder are subject to the terms and conditions of the contract. The contract shall control in the event of conflict with any print order or task order. Task orders will be issued (per lot) and shall detail the volume of notices required. A print order (GPO Form 2511) will be used for billing purposes, will be issued within two (2) workdays of the transmission of files, and will cover all notices produced under the task order. A task order/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 contractor in conformance with the schedule.

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

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

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

Orders issued during the effective period of this contract and not completed within that time must be completed by the contractor within the time specified in the order, and the rights and obligations of the contractor and the Government respecting those orders shall be governed by the terms of this contract to the same extent as if completed during the effective period of this contract.

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

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

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

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

PRIVACY ACT

(a) The contractor agrees:

- (1) to comply with the Privacy Act of 1974 and the rules and regulations issued pursuant to the Act in the design, development, or operation of any system of records on individuals in order to accomplish an agency function when the contract specifically identifies (i) the system or systems of records and (ii) the work to be performed by the contractor in terms of any one or combination of the following: (A) design, (B) development, or (C) operation;
 - (2) to include the solicitation notification contained in this contract in every solicitation and resulting subcontract and in every subcontract awarded without a solicitation when the statement of work in the proposed subcontract requires the design, development, or operation of a system of records on individuals to accomplish an agency function; and
 - (3) to include this clause, including this paragraph (3), in all subcontracts awarded pursuant to this contract which require the design, development, or operation of such a system of records.
- (b) In the event of violations of the Act, a civil action may be brought against the agency involved where the violation concerns the design, development, or operation of a system of records on individuals to accomplish an agency function, and criminal penalties may be imposed upon the officers or employees of the agency where the violation concerns the operation of a system of records on individuals to accomplish an agency function. For purposes of the Act when the contract is for the operation of a system of records on individuals to accomplish an agency function, the contractor and any employee of the contractor is considered to be an employee of the agency.

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

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

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: These specifications cover the production of mailers from the three (3) IRMAA files (that will include English, Spanish/English, and Railroad (RRB)) consisting of a personalized notice and a mail-out window envelope requiring such operations as: the receipt and processing of electronically transmitted data; re-development of Advanced Function Presentation (Mixed Mode or Fully Composed) resources; composition; printing and imaging; binding; construction; inserting; presorting; and distribution.

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

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

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

NOTE: Separate print orders will be issued for the composition and proofs (after award), and for the preproduction press and mail run test (after award). Once all files are transmitted, an electronic task order will be issued the following morning with the verified counts. Within two (2) workdays of transmission of the files, the print order will be issued.

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

The figures indicated below are estimates that are based on historical data. Exact quantities will not be known until completion of transmission to the contractor. **NO SHORTAGES WILL BE ALLOWED.**

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

QUANTITY: The total requirement of this contract is approximately 4,200,000 notices.

Each Lot will contain approximately 2,100,000 notices each. Each lot contains three (3) mailers with eight (8) Program Service Centers (PC) per mailer. Each lot will receive all three mailers.

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

<u>Mailer</u>	<u>Approx. Quantity Per Year</u>	<u>Approx. Quantity Per Lot, Per Year</u>
Mailer 1 (English only notice)	4,169,000	2,084,500
Mailer 2 (Spanish/English notice)	7,000	3,500
Mailer 3 (RRB notice)	24,000	12,000

NOTE: The Government reserves the right to increase or decrease by 25% of the total number of notices ordered annually. The current historical data trend shows an average annual quantity increase of 10 to 12%. The Contractor must have sufficient capacity to handle any volume increases in the required time allowed.

NUMBER OF PAGES:

Personalized Notices: Approximately 2 to 20 printed pages per notice (approximately 1 to 10 leaves per notice).
Mail-out Envelopes: Face and back (after manufacture).

TRIM SIZES:

Personalized Notices: 8-1/2 x 11”.
Mail-out Envelopes: 6-1/8 x 9-1/2”, plus flap, with window.

IRMAA MAIL-OUT ENVELOPES: Quantities listed below represent the approximate breakdown by Program Service Centers for Mailers 1, 2, and 3. SSA is not responsible for envelope inventory in excess of quantities provided.)

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

QUANTITIES PER LOT PER PROGRAM SERVICE CENTER:

<u>PROGRAM SERVICE CENTERS</u>	<u>QUANTITY</u>
Northeastern Program Service Center (PC1)	410,000
Mid-Atlantic Program Service Center (PC2)	302,500
Southeastern Program Service Center (PC3)	282,250
Great Lakes Program Service Center (PC4)	350,000
Western Program Service Center (PC5)	375,000
Mid-America Program Service Center (PC6)	362,500
Office of Central Operations (PC7)	15,000
Office of International Operations (PC8)	<u>2,750</u>
TOTAL	2,100,000

TOTAL QUANTITIES PER PROGRAM SERVICE CENTER:

<u>PROGRAM SERVICE CENTERS</u>	<u>QUANTITY</u>
Northeastern Program Service Center (PC1)	820,000
Mid-Atlantic Program Service Center (PC2)	605,000
Southeastern Program Service Center (PC3)	564,500
Great Lakes Program Service Center (PC4)	700,000
Western Program Service Center (PC5)	750,000
Mid-America Program Service Center (PC6)	725,000
Office of Central Operations (PC7)	30,000
Office of International Operations (PC8)	<u>5,500</u>
TOTAL	4,200,000

MAKE-UP OF FILES:

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

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

DATA SET NAME - VARIABLE INFORMATION:

Vendor – is the vendor identifier. This is assigned when the transmission connectivity is installed.

M – mailer identifier (M1 through M3).

– represents the PC number (1 through 8).

s – segment letter. There are 20 segments per PC (10 per Lot) and coded as A through T so that only 1 character is used.

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

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

NOTE: SSA will transmit approximately 720 files (240 per lot (10 separate files for each PC, per each mailer, per each lot), along with the BANNER and MRD for each file).

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

PC1 – Northeastern (Jamaica, NY)

PC2 – Mid-Atlantic (Philadelphia, PA)

PC3 – Southeastern (Birmingham, AL)

PC4 – Great Lakes (Chicago, IL)

PC5 – Western (Richmond, CA)

PC6 – Mid-America (Kansas City, MO)

PC7 – Office of Central Operations (Domestic and Foreign) (Baltimore, MD)

PC8 – Office of International Operations (Baltimore, MD)

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

GOVERNMENT TO FURNISH:

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

An electronic file will be furnished for the notices (English and Spanish). Test and Production files for printing of the notices will be furnished in print image. Print image files are formatted for Advanced Function Presentation (AFP) Mixed Mode printing platform. NOTE: The agency may transition to Advanced Function Presentation (AFP) Fully Composed during this contract.

At the Government's option, camera copy or electronic files (PostScript format) for the recycled paper logo and legend (English and Spanish) may be furnished.

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

Mailing Indicia ("Postage and Fees Paid").

National Change of Address (NCOA) Certificate (except for the RRB files).

Coding Accuracy Support System (CASS) Certificate (except for the RRB files).

SSA will provide an Official Government Postage Meter head only, but will not supply the meter mail machine. All meter equipment and supplies must be borne by the contractor.

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

Exhibit A: Form SSA-301, Contractor Personnel Security Certification
Exhibit B: 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: e-QIP Applicant Listing Template
Exhibit G: Declaration for Federal Employment (OF306)
Exhibit H: Fair Credit Reporting Act Authorization Form
Exhibit I: Additional Questions for Public Trust Positions- Branching
Exhibit J: Questionnaire for Public Trust Positions (SF85P)
Exhibit K: Fingerprint Card (FD-258)
Exhibit L: Vendor Personnel Rollover Request Form
Exhibit M: System Plan
Exhibit N: Audit and Summary Report
Exhibit O: MRD File Record Layout
Exhibit P: MVRP Request Letter
Exhibit Q: Detailed Meter Usage Report
Exhibit R: Postage Meter Activity Log
Exhibit S: Daily Production and Postage Tracking Spreadsheet

ELECTRONIC FILES: All files will be electronically transmitted to the contractor and contain a complete record for each notice. Any programming or other format changes necessitated due to the contractor's method of production will be the full responsibility of the contractor and must be completed prior to SSA's validation. All files transmitted by SSA will be physical sequential Advanced Function Presentation mixed mode. The agency may transition to Advanced Function Presentation (AFP) Fully Composed during this contract. Any alteration of the notice content in the file is not permitted. The contractor must not merge file dates and mailers during processing, printing/imaging, and mailing.

The Government will furnish test files for performing the preproduction press and mail run test.

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

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

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

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

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

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

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

Prior to the commencement of production of orders placed under this contract, the Government will furnish preproduction electronic test files shortly after the postaward conference that are to be used in performing the all of the preproduction tests.

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

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

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

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

Preproduction Press and Mail Run Test Files for Transmission: An AFP formatted print files with the corresponding MRD files and BNR files will be provided for each workload in the quantities required.

Revised Resource Library (AFP) (via email) (when applicable): AFP print resources, overlays, page segments, and non-standard fonts provided shortly after the postaward conference may change during the term of the contract, in which case a revised AFP resource file will be emailed to the contractor as a replacement.

PRINTER RESOURCES (AFP): SSA will provide the AFP resources. These resources will be provided on the contractor's choice of media (transmission or email) shortly after the postaward conference. SSA will also provide test files for transmission to enable the start of the validation process. These test files may be used for the preproduction press and mail run test. (For additional information, see "PREPRODUCTION TESTS, *Preproduction Press and Mail Run Test.*")

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

NOTE: SSA prints 2 UP DUPLEX ROLL IN TO ROLL OUT with the file order reversed for insertion. The predominant data file format is AFP Mixed Mode; however any valid AFP format, such as fully composed AFP, is possible and must be printable at the contractor's location. Each piece of mail will be assigned a unique alpha/numeric identifier for tracking, insertion, location and recovery processes.

The contractor will be responsible for maintaining the AFP resources on each system that processes SSA's notices.

SSA will provide updated resources electronically, as necessary. When the contractor receives an update to the printer resources, the contractor shall install them immediately and provide SSA with 100 sample documents representative of the workload involved, from the test file, within one (1) workday for review. Contractor is to continue using existing resources while the samples are reviewed. Once the samples are approved, the contractor will be instructed as to when to start using the new resources. Whenever testing is required, the contractor will be responsible for performing the test on each printer that processes SSA's notices. Submit these samples via established SFTP or to Social Security Administration, Attn: Jamey Cunningham, 1340 Annex Building, 6401 Security Boulevard, Baltimore, MD 21235-6401.

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

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

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

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

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 an encrypted VPN tunnel or the Government will place an order for a dedicated circuit to be installed within 60 to 90 calendar days of award between the contractor's location 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 incur. 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 eight (8) feet of the router.

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

Also, upon contract award, the contractor shall 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 persons at the delivery site.

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**.

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.

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

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

The above will apply regardless of the number of SSA contracts/workloads transmitted to the contractor daily. If the contractor is awarded multiple SSA contracts, 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 Validation Test, Preproduction Press and Mail Run Test, and System Change/New Notice Files Validation Test for IRMAA notices.

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

Each contractor will be required to perform the following tests:

Transmission Test: Within one (1) week of the data connection being installed, the contractor will be required to receive approximately 2,100,000 notices (per lot) ranging from 2 to 20 printed pages in one (1) workday. The contractor will be required to perform a Record Count Verification the same workday as the complete transmission of the test files.

The contractor is required to perform CASS and NCOA on the Mailer 3 files within one (1) workday of complete test file transmission receipt.

The contractor is required to report any CASS or NCOA issues to SSA within one (1) workday.

The contractor will be required to copy the files to their own system and provide Jamey Cunningham at Jamey.cunningham@ssa.gov with the exact counts received (broken down by data set name), before proceeding with any other processing.

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

Preproduction Validation Test: Within five (5) workdays of receipt of furnished test files, the contractor shall conduct a validation test and furnish no less than 10 PDF samples for each PC Address for each mailer for a total of 240 pieces (each lot) from the transmission test files furnished.

Notices must be complete and include all variable data from Government furnished files. The contractor is to upload PDF samples to the established secure SFTP site.

NOTE: In lieu of PDF samples, the Government has the option to request hard copy samples of the notices. Upon hard copy request the contractor shall furnish no less than 10 hard copy samples for each PC Address for each mailer for a total of 240 pieces (each lot). The contractor is to submit the samples to: Social Security Administration, Attn: Jamey Cunningham, 1340 Annex Building, 6401 Security Boulevard, Baltimore, MD 21235-6401.

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

If errors are found, additional samples of notices (as indicated above) will be required until such time as the validation produces no errors.

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

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

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

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

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

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

The contractor must produce a minimum of 262,500 notices (per lot) in a continuous 12-hour period that will prove to the Government representatives that the contractor can satisfactorily complete the requirements of this contract during live production. (NOTE: If awarded both lots, the contractor must produce a minimum of 525,000 notices in a continuous 12-hour period. Additional time will not be granted if awarded both lots.)

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

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

Mailer 1 (English):	260,562 notices
Mailer 2 (Spanish/English):	438 notices
Mailer 3 (RRB):	1,500 notices

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

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

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

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

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

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

The Government will approve, conditionally approve, or disapprove the validation output within seven (7) workdays of receipt thereof. Approval or conditional approval shall not relieve the contractor from complying with the specifications and all other terms and conditions of the contract. A conditional approval shall state any further action required by the contractor. A notice of disapproval shall state the reasons thereof.

Failure to meet the requirements of the 12-hour test is grounds to immediately terminate the contract for default.

Systems Change/Signature Change Validation Test: When required, the Government will furnish test files for transmission that are to be used in performing a Systems Change/Signature Change Validation Test. This test is required whenever SSA initiates a systems/programming change.

The contractor shall furnish no less than 10 PDF samples for each PC Address for each mailer for a total of 240 pieces (each lot) (no envelopes) within five (5) workdays of receipt of test files.

The Government will approve, conditionally approve, or disapprove the samples from the Systems Change/Signature Change Validation Test within five (5) workdays of receipt thereof.

If errors are found, additional samples of notices (as indicated above) will be required until such time as the validation produces no errors.

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

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

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

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

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

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

PROOFS:

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

One (1) “Press Quality” Adobe Acrobat (current version) PDF soft proof for content only using the same Raster Image Processor (RIP) used to produce the final printed product. The PDF proof will be evaluated for text flow, image position, and color breaks only. (Proofs will not be used for color match or construction.) Proofs must show all margins and dimensions, indicate trim marks, show flap, and window size and placement.

Notices – Proofs will be required for notices upon receipt of live production files and anytime throughout the term of the contract that SSA has a copy change.

Contractor must furnish proofs for 10 notices for each PC for each mailer.

One (1) “Press Quality” Adobe Acrobat (current version) PDF soft proof for content only using the same Raster Image Processor (RIP) used to produce the final printed product. The PDF proof will be evaluated for text flow, image position, and color breaks only. (Proofs will not be used for color match.) Proofs must show all margins (including crop marks).

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

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

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

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

Government Paper Specification Standards No. 12 – https://www.gpo.gov/docs/default-source/forms-and-standards-files-for-vendors/vol_12.pdf?sfvrsn=2.

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

NOTE Regarding JCP Code A60 Only: The requirement for postconsumer fiber (as specified in the Government Paper Specification Standards No. 12) for this stock is waived. However, the addition of postconsumer fiber is encouraged provided that the requirements of this Standard are met. All other attributes remain the same.

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

Mail-Out Envelopes – White Writing Envelope, basis weight: 24 lbs. per 500 sheets, 17 x 22”, equal to JCP Code V20; or, at contractor’s option, White Offset Book, basis weight: 60 lbs. per 500 sheets, 25 x 38”, equal to JCP Code A60 with exception: bursting strength 24 lb/in².

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

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

Mail-out Envelopes – Print face and back (after manufacture) in black ink only. Printing shall be in accordance with the requirements for the style envelope ordered. All printing shall comply with all applicable U.S. Postal Service regulations. The envelope shall accept printing without feathering or penetrating to the reverse side.

Envelopes require a security tint printed on the inside (back - before manufacture) in black ink. Contractor may use his own design (subject to Government approval) but must guarantee that the product will ensure complete opacity and prevent show through of any material contained therein.

RECYCLED PAPER LOGO/LEGEND: If recycled paper is used, the recycled paper logo and legend must be printed in black ink on the notices and envelopes.

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

Mail-out Envelopes – The recycled paper logo and legend must be printed in black ink on all the mail-out envelopes (see "Government Paper Specification Standards No. 12") on the back (after manufacture) in the bottom left-hand corner.

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

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

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

NOTE: *The contractor must have available at the start of the press sheet inspection 10 printed samples each of the nine (9) envelopes and 10 printed notice samples for each PC for each mailer.*

BINDING (Notices): Trim four sides.

CONSTRUCTION (Mail-out Envelope): Envelopes are open side, with gummed fold-over flap for sealing and contain high-cut diagonal seams or side seams, at contractor's option. Flap depth is at contractor's option, but must comply with all USPS requirements. Flap must be coated with suitable glue that will securely seal the envelope without adhering to contents, not permit resealing of the envelope, and permit easy opening by the recipient.

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

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

INSERTING: Gather and collate the correct number of leaves for each notice in proper sequence. Notice leaves are to be nested together with all faces forward. Fold from a flat size of 8-1/2 x 11” to 8-1/2 x 5-1/2” with one fold (bi-fold), recipient’s name and address out.

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

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

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

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

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

DISTRIBUTION:

- Deliver f.o.b. destination all required quality control samples to: Social Security Administration, Attn: Jamey Cunningham, 1340 Annex Building, 6401 Security Boulevard, Baltimore, MD 21235-6401.
- Mail f.o.b. contractor’s city each individual mailer. (The contractor is responsible for all costs incurred in transporting the mailers to the U.S. Postal Service facility.)

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.

When volumes warrant, SSA requires the use of Permit Imprint. The contractor must use SSA’s “Postage and Fees Paid First Class Mail” permit imprint mailing indicia printed on each mail piece. Each mail piece sent under this payment method must bear a permit imprint indicia showing that postage is paid. Permit imprint indicia may be printed directly on mail pieces. Permit imprint mailings must contain at least 200 pieces or 50 pounds.

The contractor is cautioned that the mailing permit imprint may be used only for the purpose of mailing material produced under this contract.

Contractors are strongly encouraged to apply for an exception in the Domestic Mail Manual section 604.5.1.2 called the Minimum Volume Reduction Provision (MVRP) through their local BMEU (see Exhibit P MVRP Request Letter for local BMEU). The MVRP provides an exception to the “200 pieces or 50 pounds” rule for Permit Imprint mailings (including certified and foreign mail). With the MVRP exception, contractors will be allowed to mail pieces under the 200 pieces or less than 50 pounds on a permit imprint eliminating metering, this includes certified and foreign mail. Mailers must submit USPS postal paperwork electronically, including piece level barcode information. Contractor will be required to contact USPS, prior to any MVRP expiration date (if specified by USPS) all MVRP agreements must be current.

This contract workload contains various weight pieces. 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. NOTE: A copy of the USPS approval for the MMS must be presented at the Postaward Conference.

If a Government meter is required:

All meter equipment and supplies must be borne by the contractor. SSA will provide an Official Government Postage Meter head only, but will not supply the meter mail machine. SSA will fund the postage for meters through the USPS' Official Mail Accounting System (OMAS).

The contractor is responsible for the security of the Government postage meters, and access is to be restricted to authorized personnel only. The contractor is to advise all staff there is a penalty for the private use of official Government postage meters (39USC3203).

Contractors should always maintain sufficient postage on the government meter. The contractor should contact SSA if they are not sure of how much postage to load or the frequency.

The contractor is required to submit spoiled postage/postage error envelope(s)/meter strip(s) and prepare a Postal Service Form 3533, Application for Refund of Fees, Products and Withdraw of Customer Accounts. Forms are not obtainable from the USPS website since they contain a barcode making each form unique. Contractors will go to local Post Offices, postal retail units, or Bulk Mailing Units to obtain the hard copy version of the revised PS Form 3533. USPS will credit the postage refund to SSA through the Official Mail Accounting System (OMAS). SSA requires the contractor to submit a copy of Form 3533 along with the associated print order in which the spoilage occurred and all other postal documentation to the SSA Program Lead.

The contractor must have approval from SSA's Postage Meter Accountability Team for turn-in of postage meter(s) to the meter manufacturer (e.g., excess meter, defective meter, etc.). If the contractor requires a replacement postage meter, USPS credits any remaining postage to SSA through the USPS' Official Mail Accounting System (OMAS), or the meter manufacturer may transfer the remaining postage from the old meter to the new meter. The contractor should be sure to document the last meter reading (postage remaining amount) before the meter is checked out of service. The contractor may receive a PS Form 3601-C, Postage Meter Activity Report from the meter manufacturer. The contractor is to forward a copy of this report to SSA within three (3) workdays of the transaction.

The Government reserves the right to request the contractor to upload funds at any time. These uploads are in addition to any routine meter replenishments. As a result of the postage uploads, the contractor may receive a Postage Meter Reset Activity Report Statement from the meter manufacturer. If received, the contractor should retain this documentation for 12 months.

Contractor is not to relocate any Government postage meter containing SSA postage funds to any other building. Contractor is required to contact the SSA Program Lead before any movement of a Government postage meter containing SSA postage funds.

The contractor is required to prepare all metered mail in accordance with the rules and regulations in USPS's Domestic Mail Manual and International Mail Manual.

Contractors should not receive invoicing for meter rentals. If received, contractor is to contact the SSA Program Lead immediately.

Contractor Sites Using “Official Government” Postage Meters with Automated Reporting Capability (Detailed): Postage meters with “Detailed Account Reporting” are capable of providing detailed meter usage reports (Exhibit Q). Contractors utilizing meters with the detailed account reporting are required to provide copies of detailed meter usage reports to SSA with each print order. The detailed report must be contract/print order specific.

NOTE: If the contractor produces multiple SSA contracts, they must submit a separate detailed report for each contract and each print order.

When setting up the detail report for SSA, contractors must set up the meter to record usage via contract program number, mailer number and file date. The contractor may have to utilize the account and sub-account feature in order to capture the contract program number, mailer number, and file date. Contractors utilizing detailed reporting will be required to utilize the postage meter account feature for each SSA print program. If a contractor requires assistance with set-up and operating the “accounting” features of the postage meters, they are to contact SSA along with the meter manufacturer.

Contractor Sites Using an SSA Postage Meter Activity Log (Manual Process): Contractors using mailing equipment that cannot support a postage meter with an internal accounting feature and/or capable of providing SSA with the detailed reporting will be required to complete an SSA Postage Meter Activity Log (Exhibit R). Contractor must submit a copy of the Postage Meter Activity Log to SSA with each print order. The Postage Meter Activity log must be contract/print order specific.

NOTE: If the contractor produces multiple SSA contracts, they must submit a separate SSA Postage Meter Activity Log for each contract and each print order.

Every field must contain an entry or an N/A if the field does not apply. SSA will return incomplete or incorrect activity logs to the contractor for correction. NOTE: If a primary meter fails and a back-up or replacement meter is needed to complete the workload, the contractor will need to document the primary meter log in the note field (i.e., meter failed and create a new activity log (documenting the necessary fields)) to use with the back-up or replacement meter.

The contractor is required to obtain the maximum USPS postage discounts possible in accordance with the USPS First-Class Domestic Mail automated and non-automated mail discount structure in effect at the time of mailing: (a) Automation (5-digit); (b) Automation (3-digit); (c) Automation (AADC); (d) Automation (Mixed AADC); (e) Non-automation (Presorted); and, (f) Non-automation (Single Piece).

NOTE: Mail addressed to United States possessions (e.g., American Samoa, Federated States of Micronesia, Guam, Marshall Islands, Northern Mariana Islands, Palau, Puerto Rico and U.S. Virgin Islands, Wake Island) and Military Overseas Addresses (APO/FPO mail) is Domestic Mail, not International Mail, and should be included in the discount sorting above.

To maximize automation discounts, Intelligent Mail Barcode (IMB) barcoding, delivery address placement and envelopes used for the mailing are among the items that must comply with USPS requirements for automation-compatible mail in effect at the time of the mailing.

NOTE: 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 mail pieces of this contract 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.

SSA will provide the contractor with a 6-digit Mailer Identifier (MID) for the mailing. The Mailer Identifier (MID) is a field within the Intelligent Mail barcode that is used to identify the owner of the mail.

USPS has instituted a verification procedure called a “tap” test. This test is used to screen all mailings with barcoded inserts for proper barcode spacing within the envelope window. When the insert showing through the window is moved to any of its limits inside the envelope, the entire barcode must remain within the barcode clear zone. In addition, a clear space must be maintained that is at least 0.125 (1/8) inch between the barcode and the left and right edges of the window-and at least 0.028 inch clearance between the Intelligent Mail Barcode and the top and bottom edges of the window.

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

The 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.

Coding Accuracy Support System (CASS): SSA will provide a certificate for the Mailers 1 and 2 addresses on this contract indicating that, within the last 180 calendar days, the addresses have been matched against USPS certified CASS certified ZIP Code software. New CASS certificates will be provided to the contractor as required by the USPS Domestic Mail Manual.

Mailers 1 and 2 – Addresses for the English and Spanish/English notices will come from SSA’s Master Beneficiary Record. SSA will provide certificates indicating that the addresses have been matched against both USPS-certified CASS software.

Mailer 3 – SSA will not supply a CASS certificate for the RRB notice addresses contained in these files. The contractor will be required to run all RRB files through a CASS Certified ZIP+4 software licensed by the USPS to generate ZIP+4 Codes and Delivery Point Barcodes for all mail qualifying for a postage discount. The contractor is required to furnish USPS with any required CASS certificates.

National Change of Address (NCOA):

Mailers 1 and 2 – Addresses for the English and Spanish/English notices will come from SSA’s Master Beneficiary Record (MBR) database. SSA will provide the latest USPS NCOA certificate to the contractor throughout the duration of the contract as required by the USPS Domestic Mail Manual.

Mailer 3 – SSA will not supply a NCOA certificate for the RRB notice addresses contained in these files. The contractor is required to process the addresses for the SSA-L991 notices through USPS approved NCOA software and furnish USPS with the required NCOA certification to achieve the required postal discounts. The contractor is NOT to perform move updates; addresses that show an update through NCOA are to mail at a pre-sort or full postage rate.

The contractor is required to fill in all applicable items on USPS form(s) and submit in duplicate to the entry post office. The post office will return a verified copy of USPS form(s) to the contractor. The contractor must immediately forward a copy to the ordering agency identifying the Program Number, Print Order Number, and Jacket Number, as appropriate.

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

Certified Mail: During the term of this contract, it is anticipated that SSA will require some of the mailers be sent certified or registered mail.

In the event that any of these notices are Special Notice Option (SNO), the mail pieces included in these mailings will be required to be mailed using USPS Certified Mail. The contractor will prepare these mail pieces according to USPS regulations contained in the Domestic Mail Manual (DMM) under section 503.3.0, Certified Mail. Notices associated with the certified mail file shall be inserted into envelopes and processed as certified mail. The contractor must place the current U.S. Postal Service 20-digit certified number and barcode on the envelope. The contractor must prepare the file as a separate permit imprint mailing of identical weight pieces using the appropriate U.S. Postal Service mailing statement.

International Mail: The mail pieces included in these mailings may be required to be mailed using USPS International Registered 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 inserted into envelopes and 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 envelope.

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

Permit Imprint is to be used for International Mail providing the mailing consists of at least 200 pieces. Permit imprint may not be used if the mailing is less than 200 pieces. Instead, the mail must be metered and any Permit Imprint must be covered/concealed by a meter strip. The contractor will be reimbursed for the metered postage by submitting a properly completed Postal Service form (or equivalent). All meter supplies must be borne by the contractor.

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

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

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

Mailing Documentation: The contractor must provide SSA with complete copies of all documents used by USPS to verify and accept the mail (e.g., computer records of presort ZIP+4, barcode breakdown, press runs) including USPS 3607R and/or GPO's Form 712 (Certificate of Conformance), and/ or Certificate of Bulk mailing, etc. Each document must be noted with file date and mailer number. The contractor must place the number that is on top of the GPO Form 712 (the number that starts with "A") in the space provided on the USPS mailing statements. If no space is provided on the mailing statement, place the number in the upper right margin of the mailing statement. The contractor will use **Federal Agency Cost Code 276-00002** the cost code must be on all postal mailing documents. All copies must be legible and include both obverse and reverse side.

Within 24 hours of completing the mailing, the contractor must provide PDF copies of the mail documentation, USPS 3607R, GPO's Form 712 (Certificate of Conformance), and/ or Certificate of Bulk mailings, etc., along with a copy of corresponding 100% Accountability Summary reports to Jamey Cunningham at: Jamey.cunningham@ssa.gov. All copies must be legible and include both obverse and reverse side.

NOTE: The contractor is required to complete the Daily Production and Postage Tracking spreadsheet (Exhibit S) and email daily to: jamey.cunningham@ssa.gov no later than 9:00 a.m., Eastern Standard Time, during production of IRMAA.

The spreadsheet contains two (2) worksheets: one for reporting Daily Production Totals and one for completing daily postage usage. The spreadsheets have fields for the contractor to complete. These fields will include: Job Title, Jacket Number, Program Number, and Print Order Number, itemized breakdown of the postage volumes and USPS rates at the time of mailing, along with the daily production totals for printing, inserting and mailing.

Upon termination of this contract, the contractor must return all furnished material (as applicable) to: Social Security Administration, Attn: Jamey Cunningham, 1340 Annex Building, 6401 Security Boulevard, Baltimore, MD 21235-6401.

All expenses incidental to picking up and returning materials, submitting proofs, and furnishing sample copies must be borne by the contractor.

SCHEDULE: Adherence to this schedule must be maintained. Contractor must not start production of any job prior to receipt of the individual task order, verification of quantity transmitted, and/or print order (GPO Form 2511).

For each option year exercised, the amount of time in the schedule will remain the same. The transmission of files, printing of notices, and the mailing will always take place beginning the Friday before Thanksgiving and ending the Friday after Thanksgiving. Actual dates will be provided at each contract year's preproduction meeting or with the print order.

The contractor must not deviate from the specified mailing schedule or the quantity to be mailed.

When required, print order and furnished material must be picked up from and delivered to: Social Security Administration, Attn: Jamey Cunningham, 1340 Annex Building, 6401 Security Boulevard, Baltimore, MD 21235-6401.

Unless otherwise specified, PDF soft proofs must be emailed to: jamey.cunningham@ssa.gov.

Proof Schedule:

Envelopes –

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

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

is day one (1) of the hold time.)

Notices –

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

- Contractor must submit PDF soft proofs of 10 notices for each PC for each mailer within 24 hours of start of transmission of the live production files the Friday prior to Thanksgiving.
- Proofs will be withheld no more than 24 hours from their receipt at the ordering agency until corrections/changes/“O.K. to Print” is furnished via email.

Preproduction Tests Schedule:

NOTE: SSA expects to conduct test each year of contract

Transmission Test – This test is to be performed within one (1) week of the data connection being installed.

- The contractor will be required to receive approximately 2,100,000 notices (per lot) within one (1) workday.
- The contractor will be required to perform a Record Count Verification the same day as receipt of complete transmission of the test files and furnish the Government with the exact counts.
- The contractor will be required to perform CASS and NCOA on Mailer 3 files and report an issue to SSA within one (1) workday of receipt of complete transmission of the test files.
- The Government will approve, conditionally approve, or disapprove within one (1) workday of receipt thereof.

Preproduction Validation Test –

- Contractor must submit required samples (PDF or hard copy samples, as specified) from test files within five (5) workdays of receipt of test files.
- The Government will approve, conditionally approve, or disapprove the preproduction validation test samples within five (5) workdays of receipt thereof.
- If required due author’s alterations or contractor’s error, the contractor must submit revised samples within three (3) workdays of notification. The Government will approve, conditionally approve, or disapprove the preproduction validation test samples within two (2) workdays of receipt thereof.

Preproduction Press and Mail Run Test –

- The test is to be performed once final approval of preproduction validation test samples is granted and after the contractor receives the materials necessary to perform the test.
- The contractor must produce a minimum of 262,500 notices (per lot) (or 525,000 notices, if awarded both lots) in a continuous 12-hour period.
- The Government will approve, conditionally approve, or disapprove the samples within seven (7) workdays of receipt thereof.

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

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

Systems Change/Signature Change Validation Test –

- When required, contractor must submit required notice samples within five (5) workdays of receipt of test files.
- The Government will approve, conditionally approve, or disapprove the samples within five (5) workdays of receipt thereof.
- If required due to author's alterations or contractor's error, the contractor must submit additional samples within three (3) workdays of notification. The additional samples will be withheld no more than two (2) workdays from their receipt at SSA until they are made available for pickup.

Production Schedule:

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

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

MAILING DOCUMENTATION AND 100% ACCOUNTABILITY SUMMARY REPORT SCHEDULE:

Within 24 hours of completing the mailing, the contractor must provide PDF copies of the mail documentation, USPS 3607R, GPO's Form 712 (Certificate of Conformance) and/or Certificate of Bulk mailings, etc. along with a copy of corresponding 100% Accountability Summary reports to Jamey Cunningham at: Jamey.cunningham@ssa.gov. All copies must be legible and include both obverse and reverse side

INVOICES SCHEDULE: One copy of the invoice must be emailed within five (5) workdays of the mailing date to: Jamey.cunningham@ssa.gov. The invoice must be in accordance with the items in the "SCHEDULE OF PRICES." For more information on the invoicing process, refer to information under "PAYMENT."

QUALITY CONTROL SAMPLE SCHEDULE: Quality control samples must be shipped within five (5) workdays of the mailing date to: Social Security Administration, Attn: Jamey Cunningham, 1340 Annex Building, 6401 Security Boulevard, Baltimore, MD 21235-6401

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

The contractor must have available at the start of the press sheet inspection 10 printed samples each of the nine (9) envelopes and 10 printed notice samples for each PC for each mailer.

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

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

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

For compliance reporting purposes, the contractor must notify the U.S. Government Publishing Office of the date of shipment or delivery, as applicable. Upon completion of each order, contractor must contact the Shared Support Services Compliance Section via email at compliance@gpo.gov; via telephone at (202) 512-0520; or via facsimile at (202) 512-1364. Personnel receiving email, call, or facsimile will be unable to respond to questions of a technical nature or to transfer any inquiries.

SECTION 3. - DETERMINATION OF AWARD

Procurement under this solicitation will be divided into two (2) lots.

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

- If two single awards are made (one for each individual lot), award will be made to the two (2) lowest responsive, responsible bidders. The Government will determine the two lowest bids by applying the prices offered in the “SCHEDULE OF PRICES” to the following units of production which are the estimated requirements to produce one (1) year’s production requirements under this contract. These units do not constitute, nor are they to be construed as, a guarantee of the volume of work which may be ordered for a like period of time.
- If a single award is made to one contractor for both lots, the Government will determine the lowest bid by applying the prices offered in the “SCHEDULE OF PRICES” to the following units of production which are the estimated requirements to produce one (1) year’s production under this contract. These units do not constitute, nor are they to be construed as, a guarantee of the volume of work which may be ordered for a like period of time.

The following item designations correspond to those listed in the “SCHEDULE OF PRICES,” as applicable for One Lot or Two Lots.

<u>ONE LOT</u>			<u>TWO LOTS</u>	
I.	9		I.	9
II.	3		II.	3
III. (a)	1		III. (a)	1
(b)	1		(b)	1
IV. (a)	3		IV. (a)	3
(b)	16,800		(b)	33,600
(c)	2,100		(c)	4,200
V. (a)	8,400		V. (a)	16,800
(b)	2,100		(b)	4,200
VI.	2,100		VI.	4,200

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SECTION 4. - SCHEDULE OF PRICES

ONE LOT

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

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

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

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

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

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

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

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

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

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

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

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

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

(Initials)

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

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

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

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

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

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

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

Notices – Each page-size leaf.

Envelopes – Each envelope.

Per 1,000 Leaves

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

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

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

Mailers per 1,000 mailers\$ _____

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

Post Office located at Street Address _____,

City _____, State _____, Zip Code _____

(Initials)

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

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

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

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

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

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

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

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

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

(Street Address)

(City – State – Zip Code)

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

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

THIS SECTION FOR GPO USE ONLY

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

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SECTION 4. - SCHEDULE OF PRICES

TWO LOTS

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

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

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

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

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

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

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

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

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

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

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

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

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(Initials)

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

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

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

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

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

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

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

Notices – Each page-size leaf.

Envelopes – Each envelope.

Per 1,000 Leaves

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

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

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

Mailers per 1,000 mailers\$ _____

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

Post Office located at Street Address _____,

City _____, State _____, Zip Code _____

(Initials)

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

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

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

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

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

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

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

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

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

(Street Address)

(City – State – Zip Code)

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

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

THIS SECTION FOR GPO USE ONLY

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

EXHIBIT A
Form SSA-301 Contractor Personnel Security Certification

EXHIBIT A – Page 1

CONTRACTOR PERSONNEL SECURITY CERTIFICATION

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

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

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

Contractor	Date
Contractor Employee	Date
Contractor Employee	Date
Contractor Employee	Date
Contractor Employee	Date
Contractor Employee	Date

EXHIBIT A
Form SSA-301 Contractor Personnel Security Certification

EXHIBIT A – Page 2

Contractor Employee	Date
Contractor Employee	Date
Contractor Employee	Date
Contractor Employee	Date
Contractor Employee	Date
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Contractor Employee	Date

EXHIBIT A
Form SSA-301 Contractor Personnel Security Certification

EXHIBIT A – Page 3

Contractor Employee	Date
Contractor Employee	Date
Contractor Employee	Date
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Contractor Employee	Date
Contractor Employee	Date
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Contractor Employee	Date
Contractor Employee	Date

SSA External Service Provider Security Requirements

All External Service Providers (ESP) are subject to the following security requirements:

- All ESPs are subjected to SSA's Security Authorization Process, which will entail security testing and evaluation of the in-place security controls. For more information see NIST SP 800-37, Revision 1.
- ESPs must follow NIST SP 800-53 Revision 4 *Recommended Security Controls for Federal Information Systems and Organizations* for protecting Low or Moderate impact level information as categorized by FIPS 199 for the information system. Note: Systems that contain Personally Identifiable Information (PII) are considered "Moderate".
- ESPs must document all deployed (applicable) and planned controls for an information system in a System Security Plan that is in NIST-compliant format. Refer to NIST SP 800-18.
- ESPs classified as Cloud Service Providers (CSP) must adhere to additional FedRAMP security control requirements. 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).
- Upon request from SSA, the ESP shall provide the following network security information and documentation for review and audit purposes:
 - All information security control artifacts required to support the Security Assessment and Authorization (SA&A) process.
 - Intrusion Detection Systems (IDS) configuration.
 - Network firewall configuration.
 - Server and network device patching schedules and compliance.
 - Server, network device, and security logs.
 - Detailed hardware inventory including servers, network devices, and storage.

ESPs are required to adhere to NIST 800-53 Rev.4 security control framework based on their assigned categorization. The following sections outline additional security controls and SSA organizational defined parameters for NIST 800-53, Rev 4. Security requirements below are applicable to low and moderately categorized systems unless otherwise designated. For additional information or supplement guidance for these controls, refer Appendix F of NIST 800-53, Rev 4.

Account Management Requirements

The purpose of the following is to address requirements for **account and session management** for External Service Providers (ESPs).

SSA Additional Requirements for ESPs:

- **AC-2** ESPs must employ individual account types on external service provider systems. The use of group, anonymous or temporary accounts is strictly prohibited.
- **AC-2** ESPs must demonstrate the implementation of an approval process that describes how system accounts are created, deleted, disabled, or modified. The process should account for roles in the system and the appropriate authorizations to grant access. Public-facing systems may use a registration process in place of the approval process.
- **AC-2(3)** A deactivation process is required to manage inactive accounts. The process must describe how the system identifies and deactivates inactive accounts that have not been in use for 90 days or more. ESPs must *automatically* disable inactive accounts after 90 days and then remove these disabled accounts after 1 year.
- **AC-2(4)** ESPs must provide the capability to produce a record of all account management activities that occur on the system and develop an automated method to submit these records in the form of a report to SSA.
- **AC-6** ESP administrator accounts and privileged user accounts must be customized to only allow access to specific roles and functions on the system. ESP must provide a list of these functions to the Contract Officer Technical Representative (COTR). **(Moderate and High categorized systems only).**
- **AC-7** ESPs must enforce a limit of 3 consecutive invalid login attempts by a user during a 20 minute time frame and automatically lock the account/node for 30 minutes when the maximum number of unsuccessful attempts is exceeded. The account shall remain locked for 30 minutes. **(Moderate and High categorized systems only).**
- **AC-8** ESPs providing services to SSA internal users must display the internally used and approved warning banner.
 - The SSA internal banner is as follows:
 - Only authorized users can access the system.
 - The system is a U.S. Government computer system subject to Federal law.
 - Unauthorized attempts to access or modify any part of SSA's systems are prohibited and subject to disciplinary, civil action or criminal prosecution.

If the system is serving the general public as its user base, the system must display a warning banner containing language that is appropriate to the application. The SSA COTR must approve the public warning banner language prior to implementation.

- **AC-11** ESPs must enforce termination of user sessions after 30 minutes of inactivity. Users must authenticate again after sessions are terminated in order to continue using the application. **(Moderate and High categorized systems only).**
- **AC-17(4)** ESPs must restrict remote access to approved administrative functions and accounts.

Auditing Requirements

The purpose of the following is to address requirements for **auditing** for External Service Providers (ESPs).

SSA Additional Requirements for ESPs:

- **(AU-2)** ESPs must maintain an audit log of transactions create, modify, or delete SSA information.
- **(AU-2)** ESPs must maintain an audit log of the following events: Logon/logoff events, account management, privilege or role changes, and administrator activity.
- **(AU-5)** ESPs must report any failure of audit processing that occurs to the SSA COTR within 24 hours.
- **(AU-6)** ESPs must review and analyze information system audit record for indications of inappropriate or unusual activity and report those findings to SSA COTR within 24 hours. ESPs must support monitoring and review of the system for unusual or inappropriate activity daily. This activity must be provided to the COTR immediately for review.
- **(AU-6)** ESPs must provide user and transaction log reports to SSA when requested.
- **(AU-7(1))** ESPs must allow for scoping of audit criteria for efficient reporting capability.
- **(AU-11)** ESPs must retain online audit logs for 90 days.
- **(AU-11)** ESPs must retain audit records for seven (7) years.

Awareness and Training Requirements

The purpose of the following is to address requirements for **awareness and training** for External Service Providers (ESPs).

SSA Additional Requirements for ESPs:

- **(AT-2)** ESP contractors and their employees or sub-contractors must complete SSA provided security awareness training at least annually.
- **(AT-3)** ESPs must provide role based training to all employees who fulfill special roles or duties in regards to SSA data or systems.
- **(AT-4)** ESPs must retain and produce records of role based training completions for 3 years.

Configuration Management Requirements

The purpose of the following is to address requirements for **configuration management** for External Service Providers.

SSA Additional Requirements for ESPs:

- **(CM-2(3))** ESPs must define and deploy an approved device configuration on each device used to provide services to SSA at least annually.
- **CM-6** ESPs must periodically scan the device configuration of each device used to provide services to SSA and identify deviations from the approved device configuration. Deviations shall be logged and corrected within 24 hours. The ESP shall submit device scan reports to SSA upon request.
- **CM-8** ESPs must maintain an inventory all IT assets that store, process, or transmit SSA data and provide to SSA upon request.
- **CM-9** The contractor shall maintain a configuration management plan that addresses the roles, responsibilities, processes, and procedures to manage inventory throughout the lifecycle.

Contingency Planning Requirements

The purpose of the following is to address requirements for **contingency planning** for External Service Providers.

SSA Additional Requirements for ESPs:

- **(CP-2)** ESP must submit a contingency plan that will support and meet the SSA supplied recovery objectives and must be maintained, reviewed and, if necessary updated at least annually.

- **(CP-9)** ESPs must encrypt all Media used for backup and archiving purposes using Federal Information Processing Standard (FIPS) 140-2 compliant solutions. **(Moderate and High categorized systems only)**.

Identification and Authentication Requirements

The purpose of the following is to address requirements for **identification and authentication** for External Service Providers (ESPs).

SSA Additional Requirements for ESPs:

- **(IA-2(12))** Identity, Authorization and Access Management (IdAAM) - The External Service Providers must seamlessly integrate with the SSA's Federation Service. This service is based on oAuth and SAML (Security Assertion Markup Language) 2.0 standards and enables SSA to meet its two factor authentication requirements as specified in Homeland Security Presidential Directive (HSPD)-12, dated August 12, 2004. This service enables SSA to leverage an internal Microsoft's Active Directory to create a single SSA-Wide directory of all users. Currently, SSA users are required to authenticate using their SSA HSPD-12 PIV Smart Card at the workstation. In certain acceptable instances, users can revert to user name and password, while the Department is transitioning to HSPD-12 PIV Smart Card Authentication. The External Service Providers must support both authentications methods.
- **(IA-6)** ESPs must mask all fields on a system that has a logon screen that requires credentials, to prevent unauthorized exposure.
- **(IA-7)** The ESP must encrypt credentials used for e-authentication. The encryption solution must be compliant with FIPS 140-2. **(Moderate and High categorized systems only)**.

Incident Response Requirements

The purpose of the following is to address requirements for **incident response** for External Service Providers.

SSA Additional Requirements for ESPs:

- **(IR-6)** ESPs will receive the incident response capability timeframe and reporting requirements from the SSA COTR.
- **(IR-6)** ESPs Incident Response plan must require all security incidents of US CERT categories 1,2,3,4 and 6 must be reported to SSA COTR.
- **(IR-7)** ESPs are responsible for notifying the appropriate SSA COTR when there is a security incident that has been categorized 1,2,3,4 or 6 per US CERT

regulations. The COTR is authorized to issue orders to take down external systems or components to perform IR, forensics, further loss of data, etc.

Maintenance Requirements

The purpose of the following is to address requirements for **maintenance** for External Service Providers.

SSA Additional Requirements for ESPs:

- **(MA-2)** ESP must retain records of maintenance activities performed on IT devices used to provide services to SSA. Maintenance activity logs must be made available upon request.
- **(MA-2)** IT equipment and media used to provide services to SSA must be sanitized prior to removal from the ESP's facility for maintenance or disposal purposes. The ESP must maintain a log as evidence that the IT equipment or media was sanitized prior to removal. Logs must be made available upon request. Refer to NIST SP 800-88 for more information on media sanitization.

Media Protection Requirements

The purpose of the following is to address requirements for **media protection** for External Service Providers.

SSA Additional Requirements for ESPs:

- **(MP-2)** Removable media used to store SSA data must be encrypted using a FIPS 140-2 compliant encryption solution.
- **(MP-3)** ESP must label or mark (human readable) all media containing PII or other sensitive SSA data as "SSA Confidential Unclassified Information". **(Moderate and High categorized systems only).**
- **(MP-4)** ESP must have a documented process describing how IT equipment and media are controlled to ensure the security and confidentiality of SSA data.
- **(MP-5)** ESP must maintain chain of custody for IT equipment and media during transport outside of controlled-access facilities. Transport of media outside of controlled areas must be performed by authorized personnel.

Planning Requirements

The purpose of the following is to address requirements for the **planning** for External Service Providers (ESPs).

SSA Additional Requirements for ESPs:

- **(PL-2)** ESP must develop a System Security Plan (SSP) compliant with SP SP 800-18. The SSP shall be submitted to the SSA COTR.
- **(PL-2)** ESP must conduct an annual security review of the solution used to provide services to SSA. The System Security Plan (SSP) must be updated to reflect changes affecting the security of SSA data.
- **(PL-4)** The SSA COTR will provide the SSA Rules of Behavior (within the SSA Information System Security Handbook) for ESP systems that support internal users providing services to SSA. The rules of behavior ensure users are familiar with information security, privacy, and confidentiality practices.

Risk Assessment Requirements

The purpose of the following is to address requirements for **risk assessment** for External Service Providers (ESPs).

SSA Additional Requirements for ESPs:

- **(RA-3)** ESPs shall conduct a risk assessment to assess the risk and magnitude of harm that could result from the unauthorized access, use, disclosure, disruption, modification, or destruction of sensitive SSA information. The risk assessment should be reviewed annually and updated every three years or when a significant change occurs.
- **(RA-5)** ESP must scan IT equipment used to provide services to SSA for security vulnerabilities at least monthly. The contractor must use a commercially available scanning tool. The scanning must include vulnerabilities identified in DHS national vulnerability database. Vulnerability scan reports must be retained for 12 months and submitted to the SSA COTR upon request.

Security Assessments and Authorization Requirements

The purpose of the following is to address requirements for **security assessments and authorization** for External Service Providers (ESPs).

SSA Additional Requirements for ESPs:

- **(CA-2)** ESPs must develop an assessment plan that includes:
 - Annual assessment of a subset of controls
 - Triennial comprehensive assessment (full scope)
 - Assessments as needed when a significant change occurs on the system.
- **(CA-2)** ESP and COTR must define what a significant change is and require a new assessment whenever a significant change occurs. *Significant change is defined in NIST Special Publication 800-37 Revision 1, Appendix F.*
- **(CA-3)** The contractor shall document in the SSA security plan, all connections to contractor resources made to external information systems, and applications. Examples of connections would include: connections to subcontractor sites, connections used for remote administration, connections made to contractor's company/corporate networks, etc. These connections shall be reviewed and monitored on an ongoing basis, at least annually to determine the need for ongoing use by the contractor management. **(Moderately categorized systems only).**
- **(CA-5)** For any security reports issued to the contractor, including internal independent reviews, the contractor is responsible for developing a POA&M that identifies corrective actions and/or mitigating controls for any identified vulnerabilities. Contractors shall report to COTR POA&M progress at least monthly. In addition, the contractor must provide artifacts to update POA&M items at least 7 days prior to milestone completion date to ensure SSA has sufficient time to review.
- **(CA-7)** ESP must monitoring the effectiveness of its security controls on a continual basis and take appropriate corrective actions as necessary to ensure SSA data is protected from unauthorized access, modification or disclosure.

System and Communication Requirements

The purpose of the following is to address requirements for **system and communications** for External Service Providers (ESPs).

SSA Additional Requirements for ESPs:

- **(SC-4)** ESP must logically or physically segregate SSA data from that of other customer if a multi-tenant environment is used to provide services to SSA. **(Moderate and High categorized systems only).**
- **(SC-7(1))** ESPs shall physically allocate publicly accessible information system components to separate subnetworks with separate physical network interfaces.
- **(SC-7(4))** ESPs must provide traffic flow policy for each managed interface to SSA COTR for review and approval prior to implementation.

- **(SC-8)** ESP must encrypt PII and other sensitive SSA data when stored on persistent storage devices, or when transmitted over approved system interconnections, using a FIPS 140-2 compliant encryption solution **(Moderate and High categorized systems only)**.
- **(SC-10)** ESPs must terminate user sessions automatically after 15 minutes of inactivity. **(Moderate and High categorized systems only)**.
- **(SC-15)** ESPs use of collaborative computing devices (e.g., networked whiteboards, cameras, and microphones) on systems hosting /processing/ shall have their remote activation capability removed/disabled.
- **(SC-17)** For all ESPs, who manage information systems, the information system shall utilize automated mechanisms with supporting procedures in place for digital certificate generation, installation, and distribution. Subscriber key pairs are generated and stored using FIPS 140-2 Security Level 2 or higher cryptographic modules. The same public/private key pair is not to be used for both encryption and digital signature. Private keys are protected using, at a minimum, a strong password. A certificate is revoked if the associated private key is compromised; management requests revocation; or the certificate is no longer needed. **(Moderate and High categorized systems only)**.
- **(SC-18)** Mobile code is software that is executed from a host machine to run scripts on a client machine, including animation scripts, movies, etc. Mobile code is a powerful computing tool that can introduce risks to the user's information system. Whenever an ESP is developing or deploying the mobile code technology, this shall be identified in the ESP's security plan to SSA. Contractors, who use mobile code, shall be subject to a source code review by SSA personnel to ensure that there is no potential risk in introducing malicious code into the contractor/user's environment. **(Moderate and High categorized systems only)**.

Personnel Security Requirements

The purpose of the following is to address requirements for **personnel security** for External Service Providers.

SSA Additional Requirements for ESPs:

- **(PS-4)** ESP must terminate employee and sub-contractor access to the solution used to provide services to SSA immediately upon reassignment or separation.
- **(PS-6)** ESP personnel who are granted access to IT equipment, media or data used to provide services to SSA must agree and sign a non-disclosure agreement prohibiting unauthorized disclosure of SSA data encountered in the performance of their duties.

- **(PS-7)** ESP sub-contractors are bound to the same security requirements as employees.
- **(PS-8)** ESP must inform the SSA project officer of any violation of security requirements within 24 hours.

System and Information Integrity Requirements

The purpose of the following is to address requirements for **system and information integrity** for External Service Providers.

SSA Additional Requirements for ESPs:

- **(SI-2)** ESPs will remediate discovered flaws in the information system according to a process that is approved by the COTR.
- **(SI-3)** ESP must submit alerts on malicious code detection and actions performed on malicious code to the SSA COTR for review.
- **(SI-4)** The ESP shall employ tools and techniques to monitor events on the information system to detect attacks, vulnerabilities, and detect, deter, and report on unauthorized use of the information system. Whenever there is an elevated security level, the monitoring efforts shall be increased as necessary to enable deterrence, detection, and reporting to take place so that corrective actions shall be made to the networked environment.
- **(SI-5)** ESPs must receive advisories (from US CERT) on a regular basis and take appropriate actions as necessary.
- **(SI-11)** The information system shall identify security relevant error conditions and handle error conditions in an expeditious manner. **(Moderately and High categorized systems only).**

Government Access Requirements (FedRAMP)

To the extent required to carry out a program of inspection to safeguard against threats and hazards to the security, confidentiality, integrity, availability, and reliability of any non-public government data collected and stored by the Offeror, the Offeror shall afford the government access to the Offeror's facilities, installations, technical capabilities, operations, documentation, records and databases. The Provider shall also identify how the following compliance, oversight and law enforcement objectives can be effectively and efficiently conducted by SSA in the event such activity is deemed by SSA to be appropriate and necessary relative to the facilities, installations, operations,

documentation, databases, IT systems, devices, and personnel used in performance of the contract, regardless of the location:

- Audits;
- Inspections;
- Evaluations;
- Investigations;
- Continuous monitoring of the security posture and continued effectiveness of management, operational and technical controls (including IT asset and device discovery, inventory and security configurations);
- Penetration testing; and
- Vulnerability testing

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Security Categorization: <Enter Categorization>



Risk Assessment Report (RAR)

FOR

<System Name> (<Acronym>)

<DRAFT/FINAL> Version <x.x>

<Month DD, YYYY>

Prepared by



Office of Information Security

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<INSTRUCTIONS: Orange, bracketed text indicates instructions on how a section should be completed or sample text, which should be replaced with project specific information or removed. Ensure sample text is turned from orange to black where necessary (e.g., headings shall be changed to the standard heading color), and all instructions are removed (including this paragraph). All black text shall remain unchanged.>

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Document Revision History

Revision History	Date	Summary of Changes	Author
1.0	<Month DD, YYYY>	Initial release	<name>
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1 Risk Assessment Report (RAR) Background

The Office of Management and Budget (OMB) directive requires the Social Security Administration (SSA) to assess and re-authorize its major information technology (IT) systems at least once every three years and in the event of a major change, when that change occurs. This information must be reported in the annual Federal Information Security Modernization Act (FISMA) report to OMB and Congress during the fourth quarter (Q4) of each year. OMB has directed Chief Information Officers (CIO) of Federal agencies to follow the guidance found in the National Institute of Standards and Technology (NIST) Special Publication (SP) 800-37 Revision 1, *Guide for Applying the Risk Management Framework to Federal Information Systems*, to assess and re-authorize their information systems. This security authorization process contains subordinate efforts including performing risk-based reviews of the systems, developing/updating system security plans (SSP), and assessing and testing the security controls implemented for SSA's information systems.

2 RAR Executive Summary for <System Name>

The Office of Information Security (OIS) contracted with Coalfire Federal Services, a third party assessment organization (3PAO), to conduct a system specific risk assessment on <system name> (<ACRONYM>). The acting Director of the Division of Compliance and Assessments, and the Security Authorization Manager (SAM) of <SYSTEM ACRONYM> approved the controls selected for this risk assessment. Thirty-two (32) controls were tested over eleven (11) different NIST 800-53 Rev 4 control families. These controls were selected out of the <system categorization> baseline due to <SYSTEM ACRONYM> being categorized as a <system categorization> system as per the FIPS 199. During the assessment, there were <55 manual tests conducted, 62 interviews, and 84 document examinations>. Each of these is a requirement of a specific control. At the conclusion of the assessment, two controls were identified as "not implemented". It should be noted that these controls have since been identified as common and should be added to the common control list. The controls that were not implemented, identified as PS4 (personnel termination), and PS 5 (personnel transfer), requires the SSA Information Security Policy (ISP) to document specific exit interview security debrief policies and procedures and the defined time period in which these must be carried out. Please refer to Table 5 for specific details. The likelihood of these vulnerabilities being exploited combined with the potential system impact is considered an overall **LOW** risk to the system. It is recommended that the <system name> assigned representative from the Security Assessment and Authorization Branch (SAAB) work with the System Authorization Manager (SAM) to mitigate these risks. Due to the overall identified risk being LOW, it is recommended that this be considered an acceptable risk and the system be given an authority to operate (ATO) for the next three years.

3 <system name> System Purpose

The <system name> (<ACRONYM>) system, has a <system categorization> Security Categorization. The boundaries are designed to aid SSA in the accomplishment of its mission to provide cost-effective and reliable services to other Federal agencies, and the public at large.

<Insert detailed information>

Coalfire Federal Services' objective is to provide IT Independent Verification and Validation (IV&V) Support Services for <SYSTEM ACRONYM>.

3.1 System Name/Title/Unique Identifier

System/Application Name: <system name> (<SYSTEM ACRONYM>)

Unique Identifier : <016-00-SSA/DCS-M-001>

3.2 Responsible Organization

Table 1: <SYSTEM ACRONYM> Points of Contact



Title II Batch
POCs.xlsx



Title II Internet
Applications POCs.xls

<Embed the applicable system's POCs, EXAMPLE attached.>

3.3 Security Categorization

This authorization boundary has been categorized as **<system categorization>** risk according to FIPS 199. Refer to Table 5 below for supporting documentation regarding the determination of the application's security categorization.

Table 2: <System Name> Security Categorization

Information Type	Confidentiality	Integrity	Availability
Accounting <i>Mission Area:</i> Financial Management <i>Explanation:</i> Selected risk values derived from NIST SP-800-60, and FIPS 199, considering SSA business case.	L	M	L
Payments <i>Mission Area:</i> Financial Management <i>Explanation:</i> Selected risk values derived from NIST SP-800-60, and FIPS 199, considering SSA business case.	L	M	L
Reporting & Information <i>Mission Area:</i> Financial Management <i>Explanation:</i> Based on the protection requirements for confidentiality, integrity and availability, the overall system sensitivity is <SYSTEM CATEGORIZATION> . The loss, misuse or unauthorized access to Agency data can be expected to have a serious adverse effect on SSA operations and assets.	L	M	L
Entitlement Event Information <i>Mission Area:</i> General Government <i>Explanation:</i> Selected risk values derived from NIST SP-800-60, and FIPS 199, considering SSA business case.	M	M	M
Personal Identity and Authentication <i>Mission Area:</i> General Government	M	M	M
Information Sharing <i>Mission Area:</i> Information and Technology Management <i>Explanation:</i> Selected risk values derived from NIST SP-800-60, and FIPS 199, considering SSA business case.	N/A	N/A	N/A
Overall	M	M	M

4 Risk Assessment Approach

4.1 Risk Assessment Purpose

The purpose of this Risk Assessment Report (RAR) is to summarize the residual risk identified during the security assessment of **<SYSTEM ACRONYM>**. Risk is a factor derived from a vulnerability that can be exploited and the likelihood that it will be exploited. Please see Appendix A for the NIST 800-60 Volume II publication for the definition of risk.

4.2 Risk Assessment Objective

The objective of the risk assessment is to identify any controls that are not fully implemented as required by FISMA. Controls that are not implemented pose a measureable risk to SSA and that risk must be mitigated in a timely manner based on the level or risk the non-implemented control creates. For example, a low risk may only require an update to a policy or a POA&M that the system's SAM must execute. Another example is a High risk that must have immediate action taken by the SAM and other stakeholders in order to prevent a threat actor(s) from exploiting the discovered risk.

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4.3 Risk Assessment Scope

The previous system specific risk assessment was conducted on <SYSTEM ACRONYM> in <date>. The residual risk was identified and submitted to the SSA's CIO. This submission was in accordance with OMB and FISMA guidelines to present the risk level of <SYSTEM ACRONYM> and ask for the ATO <SYSTEM ACRONYM> for the next three years. The CIO granted the ATO on <Month DD, YYYY> and allowed <SYSTEM ACRONYM> to operate from <Month DD, YYYY> to <Month DD, YYYY>.

A new risk assessment is required by OMB and FISMA in order to identify the current residual risk and any risks associated with controls that are not fully implemented. The assessed controls were selected based on the <SYSTEM ACRONYM> Security Assessment Plan (SAP) approved by the OIS Director and the <SYSTEM ACRONYM> SAM.

In addition to the controls selected, SSA uses the Nessus scanner along with the McAfee ePolicy Orchestrator (EPO) deployed by the SOC to look for signature based vulnerabilities in accordance with the SSA ISP. Associated Windows Database servers that have the EPO agent deployed within the <SYSTEM ACRONYM> boundary were scanned. The other <SYSTEM ACRONYM> servers did not have any vulnerability scanning tools available that could scan mainframe or storage hardware, and therefore were not scanned.

The risk assessment was performed in accordance with all applicable laws, regulations, rules and orders of all governmental agencies and authorities. A complete list of referenced publications and regulations can be found in [Appendix A](#). All risks associated with <SYSTEM ACRONYM> that were identified during the assessment and the potential impact of those risks are documented in this RAR.

The RAR complies with the following SSA guidance:

- SSA [ISP](#)

4.4 Limitations

The <SYSTEM ACRONYM> subsystems, which reside within the National Support Center (NSC), rely on the Office of Systems Operations and Hardware Engineering (OSOHE) for hardware, software, and maintenance support. Additionally, user access and user profile provisioning for <SYSTEM ACRONYM> subsystems residing on the mainframe, are provided by CA Top Secret, and managed by the Office of Systems Operations and Hardware Engineering (OSOHE), not by <SYSTEM ACRONYM>. Therefore, some access controls specific to <SYSTEM ACRONYM> are tested during an enterprise level common control assessment, and not during the <SYSTEM ACRONYM> system specific assessment reported within this RAR.

This assessment was limited to the 32 system specific controls as listed in the approved SAP.

4.5 Risk Assessors

The participants in this risk assessment included the following Coalfire Federal Services personnel:

Table 3: Assessment Team Points of Contact

Name	Role	Contact Information
<TJ Crews>	Program Manager	< Tj.crews@ssa.gov >
<Kenneth Free>	Lead Assessor (Senior Analyst)	< kenneth.free@ssa.gov >
<Gregory Bonham>	Junior Assessor	< gregory.bonham@ssa.gov >
<Thomas G. Volpe, Sr.>	Lead Assessor (Surge Support)	< Thomas.G.Volpe@ssa.gov >

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The following techniques and NIST/FIPS publications were used to gather information relevant to the <SYSTEM ACRONYM>:

- **NIST SP 800-60 Volume II Revision 1/ and FIPS 199.** The Risk Assessment (RA) Team utilized the <SYSTEM ACRONYM> Security Categorization, dated February 16, 2017 to determine associated system security categorization for the <SYSTEM ACRONYM>. System security categorization determines which recommended set of minimum (baseline) security controls from NIST SP 800-53 Revision 4 must be implemented.
- **NIST SP 800-53 Revision 4.** The RA Team utilized NIST SP 800-53 Revision 4 to determine the recommended set of minimum-security controls. The security controls (management, operational, and technical safeguards or countermeasures) were reviewed to ensure they adequately protect the confidentiality, integrity, and availability of the <SYSTEM ACRONYM>, and that the selected security controls have been implemented, or there is a plan for future implementation.
- **Interviews.** Interviews were conducted on-site with the SAM, System Administrator, and Database Administrator by the RA Team to collect useful information about the <SYSTEM ACRONYM>. Follow-up communications were conducted via email and by telephone to collect additional information about the <SYSTEM ACRONYM>.
- **Examination/Document Reviews.** The RA Team reviewed documentation from the SSA for <SYSTEM ACRONYM>, such as policy and implementation guidance. POA&M, and the prior Security Assessment and Authorization (SA&A) Package, including the previous SSP, Risk Assessment, and the Security Control Assessment (SCA) Plan were reviewed.
- **Testing of Systems.** Testing and Evaluation of security controls for <SYSTEM ACRONYM> was based on System Specific and Hybrid security controls defined by the OIS Rev4 SSA Control Inheritance Structure Worksheet with a <SYSTEM CATEGORIZATION> Baseline. Using the NIST Guidance from NIST SP 800-53A Revision 4, the RA Team tested and evaluated these controls for specified conditions that compare actual with expected behavior, the results of which are used to support the determination of security control existence, functionality, correctness, completeness, and potential for improvement over time.

4.6 Results

The overall risk level of the <SYSTEM ACRONYM> was determined to be **Low**, which is the combination of the likelihood of identified threats being able to exploit known system vulnerabilities and the potential the impact to <SYSTEM ACRONYM>.

Low risk indicates that corrective actions are needed and a plan must be developed to incorporate these actions within a reasonable period of time. The preliminary review of security measures for the protection of the <SYSTEM ACRONYM> identified two low threat-vulnerability pairs (risks) in the overall risk assessment as summarized below in Table 2.

Table 4: Overall Risk Level

Risk Rating	Control Category			
	Management	Operational	Technical	Total
Very High	0	0	0	0
High	0	0	0	0
Moderate	0	0	0	0
Low	2	0	0	2
Very Low	0	0	0	0
Total	2	0	0	2

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4.7 Recommendation

It is the recommendation from the Office of Information Security that an issuance of an Authority to Operate (ATO) for <system name> (<ACRONYM>) be given. This recommendation comes from the assessment findings from the 3PAO that conducted a system specific security assessment. The overall security categorization of <SYSTEM ACRONYM> is <system categorization> and the findings have an overall risk of **LOW**.

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5 Summary of Findings

Table 5: <SYSTEM ACRONYM> Results Summary

Item No.	Finding (In Order by Control Family)	Threat Source	Likelihood Level	Impact Level	Risk Level	Recommended Corrective Action(s)
V-1	<p>PS-4.c.1 PS-4.c.2</p> <p>Personnel Termination SSA ISP does not define the security debrief topics or policy to discuss with separating employees. In addition, the SSA ISP has no policy, guidelines for including the security debrief actions, or SSA specific information security topics during the exit interview as defined in PS-4.c.1 and PS-4.c.2.</p>	<p>Insider Threat with Intent (e.g., Poorly Trained, Disgruntled, Malicious, Negligent, Dishonest, or Terminated Employees)</p> <p>Insider Threat without Intent or Knowledge</p> <p>Computer Crime/Hackers</p> <p>Espionage (e.g., Companies, Foreign Governments, or Other Government Interests)</p>	Low	Low	Low	<p>This is an agency requirement that must be reflected in the SSA ISP and is the responsibility of Division of Security Customer Service (DSCS). The Security Authorization Manager (SAM) is not responsible for updating policy. The SSA ISP should be updated to include a requirement that employees sign a Non-Disclosure Agreement (NDA), and have a security debrief to discuss the importance of not disclosing knowledge of specifics pertaining to the SSA information system environment. The ISP section 2.1.1.3 should be updated to reflect this. In addition, section 2.1.1.3 should be updated to reflect that a security debrief must be included as part of the exit interview. Exit interview guidance is currently located here: http://personnel.ba.ssa.gov/OPE/cpps/exitprocedures.html</p>

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Item No.	Finding (In Order by Control Family)	Threat Source	Likelihood Level	Impact Level	Risk Level	Recommended Corrective Action(s)
V-2	PS-5.b.1 PS-5.b.2 Personnel Transfer SSA ISP does not define what security actions are to be taken when an employee is transferred or reassigned. The SSA ISP also does not specify the time period in which security actions that are defined in must occur.	Insider Threat with Intent (e.g., Poorly Trained, Disgruntled, Malicious, Negligent, Dishonest, or Terminated Employees) Insider Threat without Intent or Knowledge	Low	Low	Low	This is an agency requirement that must be reflected in the SSA ISP and is the responsibility of DSCS. The ISP section 2.4 should be updated to define what security actions need to occur, in what period of time and what personnel or role is to be identified to be notified when an employee is transferred or reassigned.

Authority To Operate (ATO) Recommendation

Acceptance and Signature	
<p>As the Security Authorization Manager (SAM) for <system name>, I hereby certify that this Risk Assessment Report provides an accurate representation of the system and its subsystems that were assessed. I also certify that it is my recommendation based on the findings that the SSA Chief Information Officer (CIO) grant an Authority to Operate (ATO) for <system name> for the next three (3) years.</p>	
Security Authorization Manager: <name>	
<p>As the Acting Director of the Division of Compliance and Authorization (DCA) in the Office of Information Security (OIS), I hereby certify that this Risk Assessment Report provides an accurate representation of the system and its subsystems that were assessed. I also certify that it is my recommendation based on the findings that the SSA Chief Information Officer (CIO) grant an Authority to Operate (ATO) for <system name> for the next three (3) years.</p>	
Division of Compliance and Assessments Director Steven Harkness (Acting)	

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Table 6: Acronym List

Acronym	Definition
AO	Authorizing Official
BSM	Boundary Scope Memorandum
CET	Customer Engagement Tool
CICS	Customer Information Control System
CIO	Chief Information Officer
CSO	Component Security Officer
DCA	Division of Compliance and Authorization
DCS	Deputy Commissioner for Systems
EPO	McAfee ePolicy Orchestrator
FIPS	Federal Information Processing Standard
FISMA	Federal Information Security Modernization Act
FOUO	For Official Use Only
ISA	Interconnection Security Agreement
ISP	Information Security Policy
IT	Information Technology
IV&V	Independent Verification and Validation
L2TP	Layer 2 Tunneling Protocol
LAN	Local Area Network
LIS	Low Income Subsidy
MKS	Mortise Kern Systems
MOA	Memorandum of Agreement
MOU	Memorandum of Understanding
NDA	Non-disclosure Agreement
NSC	National Support Center
NIST	National Institute of Standards and Technology
OIS	Office of Information Security
OMB	Office of Management and Budget
OSOHE	Office of Systems Operations and Hardware Engineering
OTSO	Office of Telecommunications and System Operations
PII	Personally Identifiable Information
POA&M	Plan of Action and Milestones
PSC	Program Service Centers
RA	Risk Assessment or Risk Assessor

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Acronym	Definition
RAR	Risk Assessment Report
RSDI	Retirement, Survivor, or Disability Insurance
SA&A	Security Assessment and Authorization
SAM	Security Authorization Manager
SAP	System Assessment Plan
SBU	Sensitive But Unclassified
SCA	Security Control Assessment
SO	System Owner
SP	Special Publication
SSA	Social Security Administration
SSP	System Security Plan
VPN	Virtual Private Network
3PAO	Third Party assessment Organization

APPENDIX A. REFERENCE DOCUMENTS

The following documents were reviewed during the risk assessment process of the SSA's security controls:

- Federal Information Processing Standard (FIPS) 199
- NIST Special Publication 800-30 Rev. 1, "Guide for Conducting Risk Assessments"
- Office of Management and Budget (OMB) Circular A-130.
- NIST Special Publication 800-39
- NIST Special Publication 800-60 Revision 1, Volumes 1&2
- NIST Special Publication 800-53 Revision 4
- SSA Information Security Policy (ISP)

EXHIBIT H
Fair Credit Reporting Act Authorization Form

EXHIBIT H

Federal Investigations Notice

Fair Credit Reporting Act of 1970, as amended

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

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

I hereby authorize the _____ to obtain such report(s) from any
(Name of Requesting Agency)

consumer/credit reporting agency for employment purposes.

(Print Name)

(SSN)

(Signature)

(Date)

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

EXHIBIT H
Fair Credit Reporting Act Authorization Form

FAIR CREDIT AUTHORIZATION FORM

A Summary of Your Rights Under the Fair Credit Reporting Act

The federal Fair Credit Reporting Act (FCRA) promotes the accuracy, fairness, and privacy of information in the files of consumer reporting agencies. There are many types of consumer reporting agencies, including credit bureaus and specialty agencies (such as agencies that sell information about check writing histories, medical records, and rental history records). Here is a summary of your major rights under the FCRA. **For more information, including information about additional rights, go to www.consumerfinance.gov/learnmore or write to: Consumer Financial Protection Bureau, 1700 G Street N.W., Washington, DC 20552.**

- **You must be told if information in your file has been used against you.** Anyone who uses a credit report or another type of consumer report to deny your application for credit, insurance, or employment – or to take another adverse action against you – must tell you, and must give you the name, address, and phone number of the agency that provided the information.

- **You have the right to know what is in your file.** You may request and obtain all the information about you in the files of a consumer reporting agency (your “file disclosure”). You will be required to provide proper identification, which may include your Social Security number. In many cases, the disclosure will be free. You are entitled to a free file disclosure if:
 - a person has taken adverse action against you because of information in your credit report;
 - you are the victim of identity theft and place a fraud alert in your file;
 - your file contains inaccurate information as a result of fraud;
 - you are on public assistance;
 - you are unemployed but expect to apply for employment within 60 days.

In addition, all consumers are entitled to one free disclosure every 12 months upon request from each nationwide credit bureau and from nationwide specialty consumer reporting agencies. See www.consumerfinance.gov/learnmore for additional information.

- **You have the right to ask for a credit score.** Credit scores are numerical summaries of your credit-worthiness based on information from credit bureaus. You may request a credit score from consumer reporting agencies that create scores or distribute scores used in residential real property loans, but you will have to pay for it. In some mortgage transactions, you will receive credit score information for free from the mortgage lender.

- **You have the right to dispute incomplete or inaccurate information.** If you identify information in your file that is incomplete or inaccurate, and report it to the consumer reporting agency, the agency must investigate unless your dispute is frivolous. See www.consumerfinance.gov/learnmore for an explanation of dispute procedures.

- **Consumer reporting agencies must correct or delete inaccurate, incomplete, or unverifiable information.** Inaccurate, incomplete, or unverifiable information must be removed or corrected, usually within 30 days. However, a consumer reporting agency may continue to report information it has verified as accurate.

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Fair Credit Reporting Act Authorization Form

- **Consumer reporting agencies may not report outdated negative information.** In most cases, a consumer reporting agency may not report negative information that is more than seven years old, or bankruptcies that are more than 10 years old.
- **Access to your file is limited.** A consumer reporting agency may provide information about you only to people with a valid need -- usually to consider an application with a creditor, insurer, employer, landlord, or other business. The FCRA specifies those with a valid need for access.
- **You must give your consent for reports to be provided to employers.** A consumer reporting agency may not give out information about you to your employer, or a potential employer, without your written consent given to the employer. Written consent generally is not required in the trucking industry. For more information, go to www.consumerfinance.gov/learnmore.
- **You may limit “prescreened” offers of credit and insurance you get based on information in your credit report.** Unsolicited “prescreened” offers for credit and insurance must include a toll-free phone number you can call if you choose to remove your name and address from the lists these offers are based on. You may opt out with the nationwide credit bureaus at 1-888-5-OPTOUT (1-888-567-8688).
- **You may seek damages from violators.** If a consumer reporting agency, or, in some cases, a user of consumer reports or a furnisher of information to a consumer reporting agency violates the FCRA, you may be able to sue in state or federal court.
- **Identity theft victims and active duty military personnel have additional rights.** For more information, visit www.consumerfinance.gov/learnmore.

States may enforce the FCRA, and many states have their own consumer reporting laws. In some cases, you may have more rights under state law. For more information, contact your state or local consumer protection agency or your state Attorney General. For information about your federal rights, contact:

TYPE OF BUSINESS:	CONTACT:
1.a. Banks, savings associations, and credit unions with total assets of over \$10 billion and their affiliates b. Such affiliates that are not banks, savings associations, or credit unions also should list, in addition to the CFPB:	a. Consumer Financial Protection Bureau 1700 G Street, N.W. Washington, DC 20552 b. Federal Trade Commission: Consumer Response Center – FCRA Washington, DC 20580 (877) 382-4357
2. To the extent not included in item 1 above: a. National banks, federal savings associations, and federal branches and federal agencies of foreign banks b. State member banks, branches and agencies of foreign banks (other than federal branches, federal agencies, and Insured State Branches of	a. Office of the Comptroller of the Currency Customer Assistance Group 1301 McKinney Street, Suite 3450 Houston, TX 77010-9050 b. Federal Reserve Consumer Help Center P.O. Box. 1200 Minneapolis, MN 55480

EXHIBIT H
Fair Credit Reporting Act Authorization Form

<p>Foreign Banks), commercial lending companies owned or controlled by foreign banks, and organizations operating under section 25 or 25A of the Federal Reserve Act</p> <p>c. Nonmember Insured Banks, Insured State Branches of Foreign Banks, and insured state savings associations</p> <p>d. Federal Credit Unions</p>	<p>c. FDIC Consumer Response Center 1100 Walnut Street, Box #11 Kansas City, MO 64106</p> <p>d. National Credit Union Administration Office of Consumer Protection (OCP) Division of Consumer Compliance and Outreach (DCCO) 1775 Duke Street Alexandria, VA 22314</p>
<p>3. Air carriers</p>	<p>Asst. General Counsel for Aviation Enforcement & Proceedings Aviation Consumer Protection Division Department of Transportation 1200 New Jersey Avenue, S.E. Washington, DC 20590</p>
<p>4. Creditors Subject to the Surface Transportation Board</p>	<p>Office of Proceedings, Surface Transportation Board, Department of Transportation 395 E Street, S.W. Washington, DC 20423</p>
<p>5. Creditors Subject to the Packers and Stockyards Act, 1921</p>	<p>Nearest Packers and Stockyards Administration Area Supervisor</p>
<p>6. Small Business Investment Companies</p>	<p>Associate Deputy Administrator for Capital Access, United States Small Business Administration 409 Third Street, S.W., 8th Floor Washington, DC 20416</p>
<p>7. Brokers and Dealers</p>	<p>Securities and Exchange Commission 100 F Street, N.E. Washington, DC 20549</p>
<p>8. Federal Land Banks, Federal Land Bank Associations, Federal Intermediate Credit Banks, and Production Credit Associations</p>	<p>Farm Credit Administration 1501 Farm Credit Drive McLean, VA 22102-5090</p>
<p>9. Retailers, Finance Companies, and All Other Creditors Not Listed Above</p>	<p>FTC Regional Office for region in which the creditor operates or Federal Trade Commission: Consumer Response Center – FCRA Washington, DC 20580 (877) 382-4357</p>

Para información en español, visite www.consumerfinance.gov/learnmore o escribe a la Consumer Financial Protection Bureau, 1700 G Street N.W., Washington, DC 20552.

EXHIBIT J
Questionnaire for Public Trust Positions (SF85P)

Page 1 of 11

EXHIBIT J

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

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

Questionnaire for Public Trust Positions

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

Purpose of this Form

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

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

Authority to Request this Information

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

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

The Investigative Process

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

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

Your Personal Interview

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

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

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

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

Instructions for Completing this Form

1. Follow the instructions given to you by the person who gave you the form and any other clarifying instructions furnished by that person to assist you in completion of the form. Find out how many copies of the form you are to turn in. You must sign and date, in black ink, the original and each copy you submit.

2. Type or legibly print your answers in black ink (if your form is not legible, it will not be accepted). You may also be asked to submit your form in an approved electronic format.

3. All questions on this form must be answered. If no response is necessary or applicable, indicate this on the form (for example, enter "None" or "N/A"). If you find that you cannot report an exact date, approximate or estimate the date to the best of your ability and indicate this by marking "APPROX." or "EST."

4. Any changes that you make to this form after you sign it must be initialed and dated by you. Under certain limited circumstances, agencies may modify the form consistent with your intent.

5. You must use the State codes (abbreviations) listed on the back of this page when you fill out this form. Do not abbreviate the names of cities or foreign countries.

6. The 5-digit postal ZIP codes are needed to speed the processing of your investigation. The office that provided the form will assist you in completing the ZIP codes.

7. All telephone numbers must include area codes.

8. All dates provided on this form must be in Month/Day/Year or Month/Year format. Use numbers (1-12) to indicate months. For example, June 10, 1978, should be shown as 6/10/78.

9. Whenever "City (Country)" is shown in an address block, also provide in that block the name of the country when the address is outside the United States.

10. If you need additional space to list your residences or employments/self-employments/unemployments or education, you should use a continuation sheet, SF 86A. If additional space is needed to answer other items, use a blank piece of paper. Each blank piece of paper you use must contain your name and Social Security Number at the top of the page.

EXHIBIT J

Questionnaire for Public Trust Positions (SF85P)

Final Determination on Your Eligibility

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

Penalties for Inaccurate or False Statements

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

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

Disclosure of Information

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

PRIVACY ACT ROUTINE USES

1. To the Department of Justice when: (a) the agency or any component thereof; or (b) any employee of the agency in his or her official capacity; or (c) any employee of the agency in his or her individual capacity where the Department of Justice has agreed to represent the employee; or (d) the United States Government, is a party to litigation or has interest in such litigation, and by careful review, the agency determines that the records are both relevant and necessary to the litigation and the use of such records by the Department of Justice is therefore deemed by the agency to be for a purpose that is compatible with the purpose for which the agency collected the records.
2. To a court or adjudicative body in a proceeding when: (a) the agency or any component thereof; or (b) any employee of the agency in his or her official capacity; or (c) any employee of the agency in his or her individual capacity where the Department of Justice has agreed to represent the employee; or (d) the United States Government is a party to litigation or has interest in such litigation, and by careful review, the agency determines that the records are both relevant and necessary to the litigation and the use of such records is therefore deemed by the agency to be for a purpose that is compatible with the purpose for which the agency collected the records.
3. Except as noted in Question 21, when a record on its face, or in conjunction with other records, indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute, particular program statute, regulation, rule, or order issued pursuant thereto, the relevant records may be disclosed to the appropriate Federal, foreign, State, local, tribal, or other public authority responsible for enforcing, investigating or prosecuting such violation or charged with enforcing or implementing the statute, rule, regulation, or order.
4. To any source or potential source from which information is requested in the course of an investigation concerning the hiring or retention of an employee or other personnel action, or the issuing or retention of a security clearance, contract, grant, license, or other benefit, to the extent necessary to identify the individual, inform the source of the nature and purpose of the investigation, and to identify the type of information requested.
5. To a Federal, State, local, foreign, tribal, or other public authority the fact that this system of records contains information relevant to the retention of an employee, or the retention of a security clearance, contract, license, grant, or other benefit. The other agency or licensing organization may then make a request supported by written consent of the individual for the entire record if it so chooses. No disclosure will be made unless the information has been determined to be sufficiently reliable to support a referral to another office within the agency or to another Federal agency for criminal, civil, administrative, personnel, or regulatory action.
6. To contractors, grantees, experts, consultants, or volunteers when necessary to perform a function or service related to this record for which they have been engaged. Such recipients shall be required to comply with the Privacy Act of 1974, as amended.
7. To the news media or the general public, factual information the disclosure of which would be in the public interest and which would not constitute an unwarranted invasion of personal privacy.
8. To a Federal, State, or local agency, or other appropriate entities or individuals, or through established liaison channels to selected foreign governments, in order to enable an intelligence agency to carry out its responsibilities under the National Security Act of 1947 as amended, the CIA Act of 1949 as amended, Executive Order 12333 or any successor order, applicable national security directives, or classified implementing procedures approved by the Attorney General and promulgated pursuant to such statutes, orders or directives.
9. To a Member of Congress or to a Congressional staff member in response to an inquiry of the Congressional office made at the written request of the constituent about whom the record is maintained.
10. To the National Archives and Records Administration for records management inspections conducted under 44 USC 2904 and 2908.
11. To the Office of Management and Budget when necessary to the review of private relief legislation.

STATE CODES (ABBREVIATIONS)

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

PUBLIC BURDEN INFORMATION

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

EXHIBIT J

Questionnaire for Public Trust Positions (SF85P)

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

QUESTIONNAIRE FOR PUBLIC TRUST POSITIONS

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

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

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

Persons completing this form should begin with the questions below.

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

3 PLACE OF BIRTH - Use the two letter code for the State. City	County	State	Country (if not in the United States)	4 SOCIAL SECURITY NUMBER
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5 OTHER NAMES USED

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

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

7 TELEPHONE NUMBERS	Work (include Area Code and extension) Day () Night ()	Home (include Area Code) Day () Night ()
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8 CITIZENSHIP a Mark the box at the right that reflects your current citizenship status, and follow its instructions. I am a U.S. citizen or national by birth in the U.S. or U.S. territory/possession. <i>Answer items b and d.</i> I am a U.S. citizen, but I was NOT born in the U.S. <i>Answer items b, c and d.</i> I am not a U.S. citizen. <i>Answer items b and e.</i>	b Your Mother's Maiden Name
--	------------------------------------

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

Naturalization Certificate (Where were you naturalized?)

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

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

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

This may be either a current or previous U.S. Passport	Passport Number	Month/Day/Year Issued
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d DUAL CITIZENSHIP If you are (or were) a dual citizen of the United States and another country, provide the name of that country in the space to the right.

Country

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

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

Questionnaire for Public Trust Positions (SF85P)

9 WHERE YOU HAVE LIVED

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

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

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

10 WHERE YOU WENT TO SCHOOL

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

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

1 - High School

2 - College/University/Military College

3 - Vocational/Technical/Trade School

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

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

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

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

EXHIBIT J

Questionnaire for Public Trust Positions (SF85P)

11 YOUR EMPLOYMENT ACTIVITIES

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

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

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

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

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

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

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

EXHIBIT J
Questionnaire for Public Trust Positions (SF85P)

YOUR EMPLOYMENT ACTIVITIES (CONTINUED)

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

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

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

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

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

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

EXHIBIT J

Questionnaire for Public Trust Positions (SF85P)

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

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

- Code.** Use one of the codes listed below to identify your branch of service:
 1 - Air Force 2 - Army 3 - Navy 4 - Marine Corps 5 - Coast Guard 6 - Merchant Marine 7 - National Guard
- O/E.** Mark "O" block for Officer or "E" block for Enlisted.

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

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

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

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

Registration Number _____ Legal Exemption Explanation _____

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

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

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

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

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

19 FOREIGN COUNTRIES YOU HAVE VISITED	Yes	No
--	-----	----

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

- Use one of these codes to indicate the purpose of your visit: 1 - Business 2 - Pleasure 3 - Education 4 - Other
- Include short trips to Canada or Mexico. If you have lived near a border and have made short (one day or less) trips to the neighboring country, you do not need to list each trip. Instead, provide the time period, the code, the country, and a note ("Many Short Trips").
- Do not repeat travel covered in items 9, 10, or 11.

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

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

EXHIBIT J
Questionnaire for Public Trust Positions (SF85P)

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

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

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

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

Certification That My Answers Are True

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

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

Enter your Social Security Number before going to the next page

EXHIBIT J
Questionnaire for Public Trust Positions (SF85P)

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

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

UNITED STATES OF AMERICA
AUTHORIZATION FOR RELEASE OF INFORMATION

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

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

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

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

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

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

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

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

EXHIBIT J
Questionnaire for Public Trust Positions (SF85P)

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

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

UNITED STATES OF AMERICA

AUTHORIZATION FOR RELEASE OF MEDICAL INFORMATION

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

Instructions for Completing this Release

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

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

(Investigator instructed to write in position title.)

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

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

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

What is the prognosis?

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

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

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

EXHIBIT K Fingerprint Card

EXHIBIT K - Fingerprint Card

APPLICANT <small>* See Privacy Act Notice on Back</small>		LEAVE BLANK		TYPE OR PRINT ALL INFORMATION IN BLACK				FBI		LEAVE BLANK	
FD-258 (Rev 9-9-13) 1110-0046		SIGNATURE OF PERSON FINGERPRINTED		LAST NAME NAM		FIRST NAME		MIDDLE NAME		DATE OF BIRTH	
RESIDENCE OF PERSON FINGERPRINTED		ALIASES AKA		O		R		I		DOB Month Day Year	
CITIZENSHIP CTZ		SEX		RACE		HGT.		WGT.		EYES	
HAIR		PLACE OF BIRTH		POB		YOUR NO. OCA		LEAVE BLANK		CLASS	
DATE		SIGNATURE OF OFFICIAL TAKING FINGERPRINTS		FBI NO. FBI		ARMED FORCES NO. MNU		SOCIAL SECURITY NO. SOC		REF.	
EMPLOYER AND ADDRESS		MISCELLANEOUS NO. MNU		LEAVE BLANK		LEAVE BLANK		LEAVE BLANK		LEAVE BLANK	
REASON FINGERPRINTED		LEAVE BLANK		LEAVE BLANK		LEAVE BLANK		LEAVE BLANK		LEAVE BLANK	
1. R. THUMB		2. R. INDEX		3. R. MIDDLE		4. R. RING		5. R. LITTLE		SAMPLE	
6. L. THUMB		7. L. INDEX		8. L. MIDDLE		9. L. RING		10. L. LITTLE			
LEFT FOUR FINGERS TAKEN SIMULTANEOUSLY				L. THUMB		R. THUMB		RIGHT FOUR FINGERS TAKEN SIMULTANEOUSLY			

**EXHIBIT L
Vendor Personnel Rollover Request Form**

VENDOR PERSONNEL ROLLOVER REQUEST FORM

Social Security Administration (SSA)

Center for Suitability and Personnel Security (CSPS)

Submit this document to your designated contracting officer's representative-contracting officer's technical representative (COR-COTR) via secure email. The COR-COTR must ensure the information is complete and accurate (all fields are required) and then submit to ^DCHR OPE Suitability.

Only use this form when contractor personnel already working on an SSA contract need to move to another SSA contract. The information on this form must be typed, complete, and accurate. Failure to do so may result in a delay in receiving a suitability letter. The company point of contact (CPOC) and COR-COTR will receive suitability letters from the Center for Suitability and Personnel Security (CSPS) once the rollover is complete.

FULL NAME			SOCIAL SECURITY NUMBER	DATE OF BIRTH	FROM	TO	ACTIVE ON BOTH CONTRACTS?	
LAST	FIRST	MIDDLE	000-00-0000	MM/DD/YYYY	CONTRACT NUMBER	CONTRACT NUMBER	YES	NO
							<input type="checkbox"/>	<input type="checkbox"/>
							<input type="checkbox"/>	<input type="checkbox"/>
							<input type="checkbox"/>	<input type="checkbox"/>
							<input type="checkbox"/>	<input type="checkbox"/>
							<input type="checkbox"/>	<input type="checkbox"/>
							<input type="checkbox"/>	<input type="checkbox"/>
							<input type="checkbox"/>	<input type="checkbox"/>
							<input type="checkbox"/>	<input type="checkbox"/>
							<input type="checkbox"/>	<input type="checkbox"/>
							<input type="checkbox"/>	<input type="checkbox"/>
							<input type="checkbox"/>	<input type="checkbox"/>
							<input type="checkbox"/>	<input type="checkbox"/>

CPOC INFORMATION:	
NAME: _____	EMAIL ADDRESS: _____
PHONE: _____	DATE OF SUBMISSION: _____
COR-COTR INFORMATION:	
NAME: _____	EMAIL ADDRESS: _____
PHONE: _____	

EXHIBIT M

SYSTEM PLAN

TYPE OF PROPOSED MAINFRAME PLATFORM _____

TYPE OF PERSONAL COMPUTER _____

MEDIA TO BE USED FOR RECEIPT OF FILE TRANSMISSION _____

FILE STORAGE MEDIUM _____

MANAGED FILE TRANSFER PLATFORM SERVER INSTALLED? _____

AMOUNT OF AVAILABLE FILE STORAGE SPACE _____

TYPE OF PRINT STREAM MAIL RUN CONTROL SYSTEM _____

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

EXHIBIT N
Audit and Summery Report

Exhibit N
100% Accountability and Summary Reports

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

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

Example:

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

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

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

EXHIBIT N
Audit and Summery Report

Exhibit N (cont'd)

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

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

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

EXHIBIT O
Mail Run Data File

EXHIBIT O

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

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

NOTE: There is one record for each mail packet.

**EXHIBIT P
MVRP Request Letter**

Page 1 of 1

YOUR LETTERHEAD

DATE:

TO: Business Mailer Support

RE: USPS Minimum Volume Reduction Program

To Whom It May Concern:

I am writing to request approval to use USPS Minimum Volume Reduction Program as shown in Publication 401 - Guide to the Manifest Mailing System. The exception is for the "200 piece or 50 pound" rule for permit imprint mailings (including certified and foreign mail).

If approved, we would submit the paperwork electronically and include piece level barcode information.

A large portion of our business is government mailings and the use of this exception would greatly expedite our mail processing.

Please let me know if any additional information is required. My contact information is below.

Thank you for your time and consideration.

NAME AND PHONE NUMBER OF YOUR CONTACT

EXHIBIT Q
Detailed Meter Usage Report

Account Name	Meter Serial Number	Job ID 1	Operator	Transaction Start Time
SSA Contract Program #	#####	SSA Mailer # and File Date		
Grand Total				

