

**Jacket: 409-075**  
**Title: Medicare and You 2020 (English Area-Specific Handbooks)**  
**Agency: CMS**

		Basis of Award	Bind-Rite Robbinsville Union Bridge, MD	Cenveo Worldwide LA Los Angeles, CA	LSC Communications Owensville, MO	RR Donnelly Houston, TX				
	<b>One Lot Bid</b>									
(a)	Complete Cover									
(1)	Makeready/Setup	5	890.00	4,450.00	5,000.00	25,000.00	1,626.70	8,133.50	7,874.44	39,372.20
(2)	Running Per 1,000 Copies	4,400	46.72	205,568.00	39.33	173,052.00	43.27	190,388.00	63.24	278,256.00
(b)	Basic 112-Pg Section..per section									
(1)	Makeready/Setup-----	1	10,885.00	10,885.00	450,591.11	450,591.11	7,703,130.54	7,703,130.54	37,062.10	37,062.10
(2)	Running Per 1,000 Copies-----	4,400	337.65	1,485,660.00	418.50	1,841,400.00	307.05	1,351,020.00	502.16	2,209,504.00
(c)	16-Pg Signature...per signature									
(1)	Makeready/Setup-----	5	613.00	3,065.00	2,500.00	12,500.00	658.48	3,292.40	3,258.36	16,291.80
(2)	Running Per 1,000 Copies-----	4,400	40.80	179,520.00	48.64	214,016.00	39.33	173,052.00	74.96	329,824.00
(d)	8-Pg Signature...per signature									
(1)	Makeready/Setup-----	5	912.00	4,560.00	2,500.00	12,500.00	413.44	2,067.20	3,419.36	17,096.80
(2)	Running Per 1,000 Copies-----	4,400	27.37	120,428.00	26.95	118,580.00	22.39	98,516.00	35.03	154,132.00
(e)	4-Pg Signature...per signature									
(1)	Makeready/Setup-----	5	694.00	3,470.00	2,500.00	12,500.00	221.62	1,108.10	5,454.50	27,272.50
(2)	Running Per 1,000 Copies-----	4,400	15.88	69,872.00	16.13	70,972.00	9.81	43,164.00	21.36	93,984.00
	<b>Subtotal</b>			<b>\$2,087,478.00</b>		<b>2,931,111.11</b>		<b>\$9,573,871.74</b>		<b>\$3,202,795.40</b>
	<b>Discount</b>		<b>1.00%</b>	<b>\$20,874.78</b>	<b>1.00%</b>	<b>29,311.11</b>	<b>2.00%</b>	<b>\$191,477.43</b>	<b>0.00%</b>	<b>\$0.00</b>
	<b>Total (one lot)</b>			<b>\$2,066,603.22</b>		<b>2,901,800.00</b>		<b>\$9,382,394.31</b>		<b>\$3,202,795.40</b>

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		Basis of Award	Bind-Rite Robbinsville Union Bridge, MD	Cenveo Los Angeles Los Angeles, CA	LSC Communications Owensville, MO		
<b>Two Lots Bid</b>							
(a)	Complete Cover						
(1)	Makeready/Setup	10	1,001.00	10,010.00	1,485.43	14,854.30	
(2)	Running Per 1,000 Copies	8,800	45.58	401,104.00	41.95	369,160.00	
(b)	Basic 112-Pg Section..per section						
(1)	Makeready/Setup-----	1	16,975.00	16,975.00	10,948,329.70	10,948,329.70	
(2)	Running Per 1,000 Copies-----	8,800	337.11	2,966,568.00	298.61	2,627,768.00	
(c)	16-Pg Signature...per signature						
(1)	Makeready/Setup-----	10	473.40	4,734.00	542.36	5,423.60	
(2)	Running Per 1,000 Copies-----	8,800	40.79	358,952.00	36.33	319,704.00	
(d)	8-Pg Signature...per signature						
(1)	Makeready/Setup-----	10	867.00	8,670.00	308.60	3,086.00	
(2)	Running Per 1,000 Copies-----	8,800	27.36	240,768.00	19.53	171,864.00	
(e)	4-Pg Signature...per signature						
(1)	Makeready/Setup-----	10	716.00	7,160.00	160.02	1,600.20	
(2)	Running Per 1,000 Copies-----	8,800	15.89	139,832.00	9.31	81,928.00	
<b>Subtotal</b>				<b>\$4,154,773.00</b>		<b>\$14,543,717.80</b>	
<b>Discount</b>			<b>1.00%</b>	<b>\$41,547.73</b>	<b>2.00%</b>	<b>\$290,874.36</b>	
<b>Total (two lots)</b>				<b>\$4,113,225.27</b>		<b>\$14,252,843.44</b>	

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		Basis of Award				LSC Communications Owensville, MO			
<b>Three Lots Bid</b>									
(a)	Complete Cover								
(1)	Makeready/Setup	15				1,739.21	26,088.15		
(2)	Running Per 1,000 Copies	13,200				41.32	545,424.00		
(b)	Basic 112-Pg Section..per section								
(1)	Makeready/Setup-----	1				12,102,856.21	12,102,856.21		
(2)	Running Per 1,000 Copies-----	13,200				284.99	3,761,868.00		
(c)	16-Pg Signature...per signature								
(1)	Makeready/Setup-----	15				721.26	10,818.90		
(2)	Running Per 1,000 Copies-----	13,200				36.64	483,648.00		
(d)	8-Pg Signature...per signature								
(1)	Makeready/Setup-----	15				519.85	7,797.75		
(2)	Running Per 1,000 Copies-----	13,200				19.60	258,720.00		
(e)	4-Pg Signature...per signature								
(1)	Makeready/Setup-----	15				305.67	4,585.05		
(2)	Running Per 1,000 Copies-----	13,200				10.02	132,264.00		
<b>Subtotal</b>							<b>\$17,334,070.06</b>		
<b>Discount</b>						<b>2.00%</b>	<b>\$346,681.40</b>		
<b>Total (three lots)</b>							<b>\$16,987,388.66</b>		

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		Basis of Award			LSC Communications Owensville, MO			
<b>Four Lots Bid</b>								
(a)	Complete Cover							
(1)	Makeready/Setup	20			2,205.68	44,113.60		
(2)	Running Per 1,000 Copies	17,600			40.89	719,664.00		
(b)	Basic 112-Pg Section...per section							
(1)	Makeready/Setup-----	1			12,741,919.64	12,741,919.64		
(2)	Running Per 1,000 Copies-----	17,600			279.09	4,911,984.00		
(c)	16-Pg Signature...per signature							
(1)	Makeready/Setup-----	20			942.09	18,841.80		
(2)	Running Per 1,000 Copies-----	17,600			35.89	631,664.00		
(d)	8-Pg Signature...per signature							
(1)	Makeready/Setup-----	20			772.82	15,456.40		
(2)	Running Per 1,000 Copies-----	17,600			19.12	336,512.00		
(e)	4-Pg Signature...per signature							
(1)	Makeready/Setup-----	20			470.99	9,419.80		
(2)	Running Per 1,000 Copies-----	17,600			10.26	180,576.00		
<b>Subtotal</b>						<b>\$19,610,151.24</b>		
<b>Discount</b>					<b>2.00%</b>	<b>\$392,203.02</b>		
<b>Total (four lots)</b>						<b>\$19,217,948.22</b>		

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		Basis of Award				LSC Communications Owensville, MO			
<b>Five Lots Bid</b>									
(a)	Complete Cover								
(1)	Makeready/Setup	25				2,485.56	62,139.00		
(2)	Running Per 1,000 Copies	22,000				40.64	894,080.00		
(b)	Basic 112-Pg Section...per section								
(1)	Makeready/Setup-----	1				13,074,983.07	13,074,983.07		
(2)	Running Per 1,000 Copies-----	22,000				275.55	6,062,100.00		
(c)	16-Pg Signature...per signature								
(1)	Makeready/Setup-----	25				1,074.59	26,864.75		
(2)	Running Per 1,000 Copies-----	22,000				35.44	779,680.00		
(d)	8-Pg Signature...per signature								
(1)	Makeready/Setup-----	25				924.60	23,115.00		
(2)	Running Per 1,000 Copies-----	22,000				18.84	414,480.00		
(e)	4-Pg Signature...per signature								
(1)	Makeready/Setup-----	25				570.19	14,254.75		
(2)	Running Per 1,000 Copies-----	22,000				10.40	228,800.00		
<b>Subtotal</b>							<b>\$21,580,496.57</b>		
<b>Discount</b>						<b>2.00%</b>	<b>\$431,609.93</b>		
<b>Total (five lots)</b>							<b>\$21,148,886.64</b>		

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		Basis of Award				LSC Communications Owensville, MO			
<b>Six Lots Bid</b>									
(a)	Complete Cover								
(1)	Makeready/Setup	30				2,672.15	80,164.50		
(2)	Running Per 1,000 Copies	26,400				40.47	1,068,408.00		
(b)	Basic 112-Pg Section...per section								
(1)	Makeready/Setup-----	1				13,408,046.50	13,408,046.50		
(2)	Running Per 1,000 Copies-----	26,400				273.20	7,212,480.00		
(c)	16-Pg Signature...per signature								
(1)	Makeready/Setup-----	30				1,162.93	34,887.90		
(2)	Running Per 1,000 Copies-----	26,400				35.14	927,696.00		
(d)	8-Pg Signature...per signature								
(1)	Makeready/Setup-----	30				1,025.78	30,773.40		
(2)	Running Per 1,000 Copies-----	26,400				18.65	492,360.00		
(e)	4-Pg Signature...per signature								
(1)	Makeready/Setup-----	30				636.32	19,089.60		
(2)	Running Per 1,000 Copies-----	26,400				10.50	277,200.00		
<b>Subtotal</b>							<b>\$23,551,105.90</b>		
<b>Discount</b>						<b>2.00%</b>	<b>\$471,022.12</b>		
<b>Total (six lots)</b>							<b>\$23,080,083.78</b>		

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		Basis of Award				LSC Communications Owensville, MO			
<b>Seven Lots Bid</b>									
(a)	Complete Cover								
(1)	Makeready/Setup	35				2,805.42	98,189.70		
(2)	Running Per 1,000 Copies	30,800				40.34	1,242,472.00		
(b)	Basic 112-Pg Section...per section								
(1)	Makeready/Setup-----	1				13,639,109.93	13,639,109.93		
(2)	Running Per 1,000 Copies-----	30,800				271.51	8,362,508.00		
(c)	16-Pg Signature...per signature								
(1)	Makeready/Setup-----	35				1,226.02	42,910.70		
(2)	Running Per 1,000 Copies-----	30,800				34.92	1,075,536.00		
(d)	8-Pg Signature...per signature								
(1)	Makeready/Setup-----	35				1,098.06	38,432.10		
(2)	Running Per 1,000 Copies-----	30,800				18.51	570,108.00		
(e)	4-Pg Signature...per signature								
(1)	Makeready/Setup-----	35				683.55	23,924.25		
(2)	Running Per 1,000 Copies-----	30,800				10.56	325,248.00		
<b>Subtotal</b>							<b>\$25,418,438.68</b>		
<b>Discount</b>						<b>2.00%</b>	<b>\$508,368.77</b>		
<b>Total (seven lots)</b>							<b>\$24,910,069.91</b>		

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**Title: Medicare and You 2020 (English Area-Specific Handbooks)**  
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		Basis of Award				LSC Communications Owensville, MO			
<b>Eight Lots Bid</b>									
(a)	Complete Cover								
(1)	Makeready/Setup	40				2,905.38	116,215.20		
(2)	Running Per 1,000 Copies	35,200				40.25	1,416,800.00		
(b)	Basic 112-Pg Section...per section								
(1)	Makeready/Setup-----	1				13,276,023.36	13,276,023.36		
(2)	Running Per 1,000 Copies-----	35,200				270.25	9,512,800.00		
(c)	16-Pg Signature...per signature								
(1)	Makeready/Setup-----	40				1,273.35	50,934.00		
(2)	Running Per 1,000 Copies-----	35,200				34.76	1,223,552.00		
(d)	8-Pg Signature...per signature								
(1)	Makeready/Setup-----	40				1,152.27	46,090.80		
(2)	Running Per 1,000 Copies-----	35,200				18.41	648,032.00		
(e)	4-Pg Signature...per signature								
(1)	Makeready/Setup-----	40				718.98	28,759.20		
(2)	Running Per 1,000 Copies-----	35,200				10.62	373,824.00		
<b>Subtotal</b>							<b>\$26,693,030.56</b>		
<b>Discount</b>						<b>2.00%</b>	<b>\$533,860.61</b>		
<b>Total (eight lots)</b>							<b>\$26,159,169.95</b>		



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		Basis of Award				LSC Communications Owensville, MO			
<b>Nine Lots Bid</b>									
(a)	Complete Cover								
(1)	Makeready/Setup	45				2,983.13	134,240.85		
(2)	Running Per 1,000 Copies	39,600				40.18	1,591,128.00		
(b)	Basic 112-Pg Section..per section								
(1)	Makeready/Setup-----	1				12,928,236.79	12,928,236.79		
(2)	Running Per 1,000 Copies-----	39,600				269.26	10,662,696.00		
(c)	16-Pg Signature...per signature								
(1)	Makeready/Setup-----	45				1,310.15	58,956.75		
(2)	Running Per 1,000 Copies-----	39,600				34.64	1,371,744.00		
(d)	8-Pg Signature...per signature								
(1)	Makeready/Setup-----	45				1,194.43	53,749.35		
(2)	Running Per 1,000 Copies-----	39,600				18.33	725,868.00		
(e)	4-Pg Signature...per signature								
(1)	Makeready/Setup-----	45				746.53	33,593.85		
(2)	Running Per 1,000 Copies-----	39,600				10.66	422,136.00		
<b>Subtotal</b>							<b>\$27,982,349.59</b>		
<b>Discount</b>						<b>2.00%</b>	<b>\$559,646.99</b>		
<b>Total (nine lots)</b>							<b>\$27,422,702.60</b>		



**BID OPENING: BIDS SHALL BE PUBLICLY OPENED AT 11:00 A.M., PREVAILING WASHINGTON, DC TIME, ON MAY 24, 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: CSPS, 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. Contractor is to follow the instructions in the bid submission/opening area. If further instruction or assistance is required, call (202) 512-0526.

GENERAL TERMS, CONDITIONS, AND SPECIFICATIONS

For the Procurement of

***“Medicare and You 2020”***  
***(English Area-Specific Handbooks)***

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

Department of Health and Human Services (HHS)  
Centers for Medicare & Medicaid Services (CMS)

Any questions concerning these specifications, contact Mary Newton at [mnewton@gpo.gov](mailto:mnewton@gpo.gov) or (202) 512-2132.

**TABLE OF CONTENTS**

<b>GPO CONTRACT TERMS</b> .....	3	<b>PRINTING</b> .....	15
<b>CONTRACTOR</b> .....	3	Text .....	15
<b>WORKING AND COMMUNICATING</b>		Cover .....	15
<b>WITH OTHER PLANTS AND</b>		<b>VARIABLE COMPUTERIZED IMAGING</b>	
<b>SUBCONTRACTORS</b> .....	3	<b>(ADDRESSING FOR SELF-MAILERS)</b> .....	16
<b>QUALITY ASSURANCE LEVELS</b>		<b>MARGINS</b> .....	16
<b>AND STANDARDS</b> .....	3	<b>BINDING</b> .....	16
Product Quality Levels for Text Pages .....	3	<b>PRODUCTION REPORT DURING</b>	
Product Quality Levels for Covers .....	3	<b>BINDING AND IMAGING PHASE</b> .....	16
Inspection Levels .....	3	<b>PRESS SHEET, BINDING, AND</b>	
Specified Standards .....	4	<b>VARIABLE IMAGING INSPECTIONS</b> .....	16
<b>DATA SECURITY</b> .....	4	Cover Press Sheet Inspections .....	16
Data Custodians .....	4	Content Inspections .....	17
Preaward/Postaward Surveys .....	4	Binding and Variable Imaging Inspections .....	18
Personnel Security .....	5	Scheduling Inspections .....	18
Physical Security .....	5	<b>PACKING</b> .....	18
Information Technology (IT) Security .....	5	Bulk Shipments .....	18
Security Liaison(s) .....	5	Mailed Shipments .....	18
Disposal of Waste Materials .....	5	Pallets .....	19
Disposal of Electronic PII .....	5	<b>LABELING AND MARKING</b> .....	19
Incident Reporting Requirements .....	5	<b>QUALITY ASSURANCE RANDOM</b>	
Expiration of Data Use Agreement .....	5	<b>COPIES</b> .....	19
Security Exhibits .....	5	<b>DISTRIBUTION</b> .....	19
Security Plan .....	6	Single Copies .....	19
<b>LIQUIDATED DAMAGES</b> .....	6	Bulk Shipments .....	20
<b>PREAWARD SURVEY</b> .....	6	<b>MAIL PREPARATION</b> .....	21
<b>PROJECT PLANS</b> .....	7	Intelligent Mail Barcode (IMB) .....	21
Personnel Plan .....	7	Mail Processing .....	21
Production Facilities Plan .....	7	DSF <sup>2</sup> Requirement .....	22
Production Plan .....	8	DSF <sup>2</sup> Summary Reports/Files .....	22
On-Site Monitors Security/Safety Plan .....	8	Mail Storage/Staging .....	22
Quality Assurance Plan .....	8	USPS Mail Requirements .....	23
Transportation Management Plan .....	8	Mailing Dates .....	23
Sequential Numbering Plan .....	8	Mail Service Disruption Reports .....	23
<b>QUALITY ASSURANCE PROGRAM</b> .....	8	Final Logistics Report .....	23
<b>INSPECTION BY THE GOVERNMENT</b>		Mailing Statements .....	24
<b>AND ON-SITE MONITORING</b> .....	9	Return of Government Furnished Material .....	25
<b>POSTAWARD CONFERENCE</b> .....	9	<b>SCHEDULE</b> .....	25
<b>WARRANTY</b> .....	9	<b>UNDELIVERABLE/RETURNED COPIES</b> .....	26
<b>PRIVACY ACT NOTIFICATION</b> .....	9	<b>GPO KEY PERSONNEL</b> .....	26
<b>PAYMENT</b> .....	10	<b>CMS KEY PERSONNEL</b> .....	26
<b>TITLE</b> .....	11	<b>DETERMINATION OF AWARD</b> .....	27
<b>QUANTITY</b> .....	11	<b>SCHEDULE OF PRICES</b> .....	29
<b>NUMBER OF PAGES</b> .....	11	<b>ALLOWABLE CHARGES</b> .....	39
<b>TRIM SIZE</b> .....	11	<b>SHIPPING LOCATIONS</b> .....	39
<b>GOVERNMENT TO FURNISH</b> .....	11	<b>SUBCONTRACTORS</b> .....	39
<b>CONTRACTOR TO FURNISH</b> .....	12	<b>DISCOUNTS</b> .....	40
<b>ELECTRONIC PREPRESS</b> .....	12	<b>AMENDMENTS</b> .....	40
<b>PROOFS</b> .....	13	<b>BID ACCEPTANCE PERIOD</b> .....	40
<b>STOCK/PAPER</b> .....	14	<b>BIDDER’S NAME AND SIGNATURE</b> .....	40

**GPO CONTRACT TERMS:** Any contract which results from this Invitation for Bid will be subject to GPO Contract Terms (GPO Publication 310.2, effective December 1, 1987 (Rev. 1-18)) and Quality Assurance Through Attributes Program for Printing and Binding (GPO Publication 310.1, effective May 1979, (Rev. 8-02)).

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>.

**CONTRACTOR:** Throughout this document, the term “contractor” refers to the printing company that is awarded the contract. The term “subcontractor” refers to any other company that is performing work on this contract as hired by the contractor.

**WORKING AND COMMUNICATING WITH OTHER PLANTS AND SUBCONTRACTORS:** The contractor may employ the services of outside subcontractors to perform all or part of the non-printing requirements of this job. In addition, the contractor may utilize multiple plants within their own company to complete the requirements of this job. In such situations, the contractor **MUST** ensure that the additional plants and subcontractors have a copy of these specifications and meet all requirements stated within this document. In addition, it is the contractor’s responsibility to communicate with, and manage the work performed by, other plants and subcontractors.

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

If the contractor needs to add a subcontractor at any time after approval of the contractor’s project plans (see “PROJECT PLANS” specified herein), the subcontractor must be approved by the Government prior to production starting in that facility. The contractor must submit the subcontractor’s information to the Government for approval 24 hours prior to the start of production at that facility.

If the contractor needs to add another contractor production facility at any time after approval of the contractor’s project plans, the contractor must notify the Government 24 hours prior to production starting in that facility .

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

**Product Quality Levels For Text Pages:**

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

**Product Quality Levels For Covers:**

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

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

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

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

<u>Attribute</u>	<u>Standard</u>
P-7. Type Quality and Uniformity	O.K. Press Sheets
P-8. Gradient and Halftone Match	O.K. Press Sheets
P-9. Solid and Screen Tint Color Match	O.K. Press Sheets
P-10. Process Color Match	O.K. Press Sheets

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

- P-7. O.K. Furnished text signatures/O.K. proofs/Average type dimension/Electronic media.
- P-8. O.K. proofs/Electronic media.
- P-9. Pantone Matching System
- P-10. O.K. proofs.

**DATA SECURITY:** These products contain Personally Identifiable Information (PII) consisting of a person’s name and address. Security of Personally Identifiable Information is a vital component of this contract. The contractor shall guarantee strict confidentiality, integrity, and limited availability of all PII provided by the Government during the performance of this contract. Disclosure of the information/data, in whole or in part, by the contractor can only be made in accordance with the provisions in the Data Use Agreement (DUA). **(Instructions for the DUA will be provided after award.)**

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

Personally Identifiable Information for the Medicare and You handbook includes a person’s name and address.

The contractor shall not release or sell to any person any technical or other data received from the Government under the contract; nor shall the contractor use the data for any purpose other than that for which it was provided to the contractor under the terms of the contract. The contractor must guarantee that furnished PII will be used only in the performance of this contract.

Proper control and handling must be maintained at all times to prevent any information or materials required to produce the products ordered under these specifications from falling into unauthorized hands. All PII furnished by the Government, or duplicates created by the contractor or their representatives, and any resultant printouts must be kept accountable and under security to prevent their release to unauthorized persons. Unsecured telecommunications, including the internet, to transmit PII is prohibited.

**Data Custodians:** If any PII is to be forwarded to additional contractor-owned locations or to subcontractor-owned locations, all security requirements also apply to those locations (all parties involved). The contractor is responsible for the actions of all locations. The contractor’s project manager shall appoint up to two Data Custodians at each location and shall have them complete an Addendum to Data Use Agreement (instructions will be provided after award). The contractor’s project manager must collect and submit completed forms to CMS before any PII may be sent to that location.

**Preaward/Postaward Surveys:** At the Government’s option, Preaward or Postaward Surveys may be conducted to review all data handling and production areas involved along with their specific functions, and the contractor’s/subcontractor’s personnel, production, security, and other requirements outlined in this contract and in the contractor’s Security Plan.

**Personnel Security:** The contractor shall have a system in place to perform criminal background investigations and Social Security Number verification on all employees. In addition, CMS will perform background investigations on two contractor employees who will access the Gentran mailbox. (See Security Exhibits 2, 3, and 4 for more information.)

**Physical Security:** The contractor shall have a secure work area(s) for processing and production of all CMS PII in electronic and paper format. The work area(s) shall be accessible only to authorized employees, and all work shall be monitored closely by contractor management while CMS PII is being processed and/or produced.

**Information Technology (IT) Security:** The contractor shall have a system in place to comply with CMS Information Security Clause 11 in (See Security Exhibit 1).

**Security Liaison(s):** The contractor must appoint one or more Security Liaison(s) to handle issues regarding personnel, physical, and computer security; confidential issues that may arise at any point during the background investigation process; and to serve as a point of contact to the Government for security issues. The Liaison’s duties will include attending the Postaward Conference, submitting a security plan (see “Security Plan” specified herein), discussing confidential security issues with CMS staff, submitting background applications, and resolving any issues of inaccurate or incomplete data supplied by background investigation applicants. In the event CMS discovers sensitive information during the background investigation, CMS Security may need to contact the background investigation applicant directly.

**Disposal of Waste Material:** All waste material containing PII must be destroyed in a manner that it is not possible to recreate the product or identity of a beneficiary (i.e., burning, pulping, shredding, macerating, or other suitable means). If the contractor selects shredding as a means of destruction, it must be a cross-cut shredder with a maximum size of 5/32 x 1-1/2” cross cut particles. Strip shredding is not acceptable.

Destruction of waste must occur inside the contractor’s secure production facility, close to the point of production or inspection. Sending intact waste containing PII to a municipal incinerator, a recycler, or any other off-site processor is not acceptable and will be considered a data breach.

**Disposal of Electronic PII:** Immediately after production of each print order is complete, all electronic files including any files (parallel printout) deriving from the original file containing PII furnished for the print order must be permanently destroyed in accordance with Federal Information Security Management Act (FISMA) of 2002. CMS will maintain an archive of furnished files.

**Incident Reporting Requirements:** If there is a breach or a suspected breach of PII, the incident must be reported to CMS within one hour of discovery. Contractor to report breaches to the CMS IT Service Desk at (410) 786-2580 or (800) 562-1963.

**Expiration of Data Use Agreement:** Upon expiration of the DUA, the contractor will be required to confirm destruction of all CMS data files and that no copies have been kept. Failure to certify file destruction may cause the CMS Privacy Office to refuse to issue future DUA’s and data with the contractor’s company or to individuals listed on the DUA. Instructions for the destruction of CMS data files will be provided after award)

**Security Exhibits:** The following Exhibits 1 through 4 contain security clauses, information, and forms (Exhibits follow Attachment C of these specifications).

- Security Exhibit 1: CMS Clause 11: CMS Information Security (April 2008)
- Security Exhibit 2: CMS Clause 09A-01 Security Clause (May 2007) (NOTE: This contract is designated as Low Risk.)
- Security Exhibit 3: FAQ Supplement to CMS Security Clause 09A-01 (April 2008)

- Security Exhibit 4: Secure One HHS, Information Security Program Rules of Behavior (2/12/08)

After award, all contractor management and employees involved in this contract will be instructed on to how to apply for access to the Genetran mailbox system. Instructions for filling out the security documentation and the Data Use Agreement will also be provided after award.

The contractor must submit all completed and signed security forms to: CMS, Attn: Christine Crawford, S1-11-16, 7500 Security Boulevard, Baltimore, MD 21244. For delivery directly to Christine Crawford, the contractor may scan and email all documents to: [christine.crawford@cms.hhs.gov](mailto:christine.crawford@cms.hhs.gov), or use FedEx Overnight service using FedEx furnished packaging.

**Security Plan:** The contractor must have a formal, documented Security Plan that will ensure their compliance with all of the security provisions of this contract and as referenced in attached exhibits. Particular attention should be given to addressing compliance of the *Federal Information Security Management Act of 2002 (FISMA)* and the *Privacy Act of 1974* as referenced in Exhibit 1, CMS Clause 11. Minimum security requirements for FISMA compliance are defined by the Department of Commerce, National Institute of Standards and Technology (NIST) in Federal Information Processing Standards Publication (FIPS) Publication 200 “Minimum Security Requirements for Federal Information and Information Systems.” This document can be found on the internet at <http://csrc.nist.gov/publications/fips/fips200/FIPS-200-final-march.pdf>.

Contractor must submit their Security Plan with as part of their Project Plan (see “PROJECT PLAN” specified herein).

Release of PII by CMS does not constitute CMS’ approval or acceptance of the Security Plan. At any time during this contract, if CMS finds deficiencies in the Security Plan, CMS may require correction of the deficiency.

**LIQUIDATED DAMAGES:** “Medicare and You” is a Congressionally mandated publication: Balanced Budget Act of 1997, section 4001, 1851 (d) (2) (A); and, Medicare, Prescription Drug, Improvement and Modernization Act of 2003. Liquidated damages will apply and will be computed at the rate of two and one half percent (2.5%) of the contract price for the total quantity per each lot in accordance with specifications for each workday the contractor is in default of the shipping schedule(s); provided that the minimum amount of liquidated damages shall not be less than \$5.00 for the entire order and not more than \$50,000.00 per day on the entire order, except the total damages assessed against a contractor shall in no case exceed 50% of the total value of the entire order.

**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 at the contractor’s/subcontractor’s facility or to require other evidence of technical, production, managerial, financial, and similar abilities to perform, prior to the award of a contract.

As part of the financial determination, the contractor in line for award shall be required to provide the following financial documents:

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



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

Additionally, each of the contractor’s facilities that are proposed for the production of the Medicare and You Handbooks MUST be certified at the time of bid submission by GPO’s Quality Control for Published Products at the appropriate Quality Level, in accordance with the specified Quality Assurance Levels and Standards.

A Preaward Survey of each of the contractor’s facilities that are proposed to be used for the production of the Medicare and You Handbooks will include a review of the contractor’s mail, material, personnel, facility, production, transportation, quality, and recovery plans as required by this contract. Attending this meeting will be representatives from the Government Publishing Office. A listing of all subcontractors involved, along with their specific functions must be presented.

When requested, contractor(s) being considered for award may be required to submit 25 sheets each (8-1/2 x 11” in size) of the required text and cover stock, as specified under “STOCK/PAPER.”

**PROJECT PLANS:** Within 5 workdays of notification of contract award, the contractor shall submit 3 bound copies each of their Project Plan to the following addresses.

- U.S. Government Publishing Office, APS-ACS, Attn: Mary Newton, Stop: CSAPS, Room A843, 732 North Capitol Street, NW, Washington, DC 20401. (Telephone: (202) 512-2132)
- Centers for Medicare & Medicaid Services (CMS), Attn: Clint Howard, SLL-11-17, 7500 Security Boulevard, Baltimore, MD 21244-1850.

The proposed plans are subject to Government approval. Once submitted, no changes to these plans may be made without written approval from GPO.

The contractor must present a detailed Project Plan that will include the following:

**Personnel Plan:** This plan must contain the following information for the contractor’s Project Manager and Alternate (Back-up) Project Manager:

- Name
- Work address
- Telephone Numbers (Office and Cellular)
- Fax Number
- Email Address

**Production Facilities Plan:** The following information for all contractor and subcontractor production facilities that will be used for this project shall be provided:

- Company Name
- Plant Name
- Street Address
- Name of Contact Person
- Number of presses, binding lines, and imaging lines that will be used to produce M&Y Handbooks
- Contact Person’s Telephone Numbers (Office and Cellular)
- Contact Person’s Email Address
- Plant Manager’s Name (for each shift)

- Plant Manager’s Telephone Numbers (Office and Cellular)
- Plant Manager’s Email Address

If the contractor needs to add a subcontractor at any time after approval of the contractor’s project plans, the subcontractor must be approved by the Government prior to production starting in that facility. The contractor must submit the subcontractor’s information to the Government for approval 24 hours prior to the start of production at that facility.

If the contractor needs to add another contractor production facility at any time after approval of the contractor’s project plans, the contractor must notify the Government 24 hours prior to production starting in that facility .

***Production Plan:*** This plan must include:

- The projected commencement dates for cover printing, text printing, and binding and address imaging.
- The daily quantity projections for cover printing, text printing, and binding and address imaging.

***On-Site Monitors Security/Safety Plan:*** This plan must include a description of the security/safety procedures that contractor has in place or will provide for all Government on-site monitors for each printing facility, including any outside areas, such as parking lots.

***Quality Assurance Plan:*** This plan must include, for each location, the names of all quality assurance personnel and a detailed description of the number, type, and frequency of inspections that will be performed as well as the records that will be maintained documenting these activities (see “QUALITY ASSURANCE PROGRAM”). The plan must also include samples of detailed quality checklists that will be used at each identified type of inspection. Personnel responsible for performing these quality inspections will be required to sign the checklist for their specific task, certifying that they have read and understand the required checklist. A copy of the certified checklist must be posted at the site of the inspection, for review and confirmation by the GPO monitor. A sample of the intended 5,000<sup>th</sup> book parallel print-out format must be submitted with the contractor’s Project Plan for review and approval.

***Transportation Management Plan:*** This plan must describe the details of obtaining transportation services for the drop-shipment of single copies to appropriate postal facilities and for delivery of bulk copies. This plan must show how the transportation service providers are selected by the contractor’s firm as the best value for the Government. Include the following information regarding the contractor’s methods for:

- Soliciting and reviewing bids for transportation services to ensure that the Government is receiving “best value.”
- Evaluating reasonableness of cost/price.
- Evaluating on-time delivery record.
- Controlling transportation costs.

***Sequential Numbering Plan:*** This plan must include sufficient detail to fulfill the contract requirements that there are no duplicate, damaged, or missing pieces. Each piece should have a unique number. An explanation of the contractor’s sequential numbering system is required to understand the required audit trail for each and every piece.

**QUALITY ASSURANCE PROGRAM:** By submission of the bid, the contractor agrees to maintain a quality system in addition to GPO’s regular program. At a minimum, this program will include the following:

- Random press sheet pulls during the run by the press operator, mechanically dated and time stamped, then signed by the person performing the inspection. The press pulls will consist of a pull from all streams being produced every 20 minutes with the attached GPO “Certificate of Selection” form (Attachment C) also being mechanically dated and time stamped then being filled out by the shift Pressroom Foreman at the end of each shift.

- A designated company official who will be responsible for checking the first 10 addresses for each item printed in each location by comparing them with a parallel printout as well as every 5,000<sup>th</sup> piece. The results of these checks will be recorded and made available to the Government upon request.
- Any deviation from the parallel printout must indicate the steps taken for correction including going back to the last matching address and identifying the first and last pieces which had to be re-run as a result of the deviation. An accurate record of all complete publications and the anticipated release date for shipment to the U.S. Postal Service is essential.
- The contractor is required to keep the press sheet pulls for six months after completion of distribution. After six months, the press sheet pulls are to be destroyed in accordance with “Disposal of Waste Material” specified under “DATA SECURITY.” Contractor must furnish a certificate of destruction certifying that the press sheet pulls have been destroyed properly.

NOTE: Although a Government representative will be on site during much of the binding and imaging phase, it still remains the contractor’s responsibility to follow their own quality assurance program. The Government representative is monitoring production and not performing quality assurance checks.

**INSPECTION BY THE GOVERNMENT AND ON-SITE MONITORING:** Performance of all elements and functions of the Quality Assurance Plan and the right of the Government to make general or specialized tests and inspections does not relieve the contractor of any responsibility for meeting all requirements in this contract. A Government representative shall be on site during the startup of the binding and imaging portion of this job, and may stay on site for all or part of the binding and imaging process.

A desk, telephone, facsimile machine, and computer with Microsoft Office software (Microsoft Office 2000 or later), a CD-ROM drive, and Internet access in a non-smoking, temperature controlled, environment shall be available for the exclusive use of the Government representative(s) during this time and located within a reasonable distance and/or reasonably accessible to the production lines. These requirements apply for all locations that are doing binding and/or imaging, including subcontractors. The Government representatives shall have full and unrestricted access to production facilities where CMS work is being produced.

The Government on-site monitor will be monitoring the bindery and imaging production as a monitor/observer. The Government on-site monitor will not be responsible for any quality assurance checks. The contractor must continue to perform all scheduled quality assurance checks regardless of the presence of the Government on-site monitor.

**POSTAWARD CONFERENCE:** Government representatives will conduct a conference with the contractor’s representatives, including at least one mailing representative, at the Centers for Medicare & Medicaid Services, 7500 Security Boulevard, Baltimore, MD 21244-1850, at a date and time determined by the Government (see “SCHEDULE” for dates). NOTE: At the Government’s option, the postaward conference may be conducted via teleconference.

**WARRANTY:** Contract Clause 15, “Warranty,” of GPO Contract Terms (GPO Publication 310.2, effective December 1, 1987 (Rev. 1-18)) is amended for the solicitation to the effect that the warranty period is EXTENDED from 120 calendar days to 180 calendar days from the date the check is tendered as final payment. All other provisions remain the same.

**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 line items in the “SCHEDULE OF PRICES” for each state.***

**TITLE:** “Medicare and You 2020” (English Area-Specific Handbooks).

**PRODUCT:** Multiple awards may be made for this solicitation. Unless otherwise indicated, all the requirements of these specifications apply equally to all jackets/items.

*NOTE: For the purpose of this contract, the term “item” refers to an “Area Specific Handbook,” and these terms will be used interchangeably throughout these specifications.*

**QUANTITY:** The total requirement of this product is approximately 44,000,000 handbooks, divided into 10 lots of approximately 4,400,000 Area-Specific Handbooks per lot (plus 10% or minus 25%).

This includes Quality Assurance Random copies of each item. Offers may be submitted on a minimum of one lot, up to the maximum of 10 lots. Each lot will have approximately 3 to 10 items.

Quantities for each item will vary from approximately 90,000 to 3,000,000 copies. This quantity is approximate and the Government reserves the right to increase the quantity by up to 10% or decrease the quantity by up to 25%.

Billing adjustment due to quantity change will be made in accordance with the contractor’s bid prices in the “SCHEDULE OF PRICES.” In the event quantity changes occur, the contractor will not be allowed any additional production time.

**NUMBER OF PAGES:** There are approximately 3 to 10 items for each lot. Each item is an estimated 124 to 164-page publication with separate wraparound cover. Each item contains text and cover pages as follows:

**Text:** Text consists of a fixed section and a variable section, as follows:

- Fixed section is estimated to be approximately 112 pages and is common to all books.
- Variable section is approximately 12 to 52 pages, is unique, and is located at the end of each Area-Specific Handbook.

**Covers:** Covers 1, 2, and 3 are common to all handbooks, and Cover 4 is unique to each area-specific handbook.

**TRIM SIZE:** 8-3/8 x 10-7/8”.

NOTE: See “PRESS SHEET INSPECTION” for color control bar requirements.

**GOVERNMENT TO FURNISH:**

Data Files will be furnished via Electronic File Transfer, in a Gentran Mailbox that will be setup by CMS to provide the contractor with access to data files. Immediately after award, the contractor must submit the names of two (one primary user and one back-up user) to Christine Crawford at [christine.crawford@cms.hhs.gov](mailto:christine.crawford@cms.hhs.gov).

Applicants must apply for access to the Gentran Mailbox via the following internet link: <https://portal.cms.gov> (Select the “New User Registration” link under the CMS Secure Portal tab on the top right of the webpage). A Social Security Number is required for the persons completing the form (no exceptions).

Prior to submitting an online application, contractor to contact Christine Crawford to request a Gentran Mailbox number to use when applying online. When online applications are complete, contractor must notify Christine Crawford by email ([christine.crawford@cms.hhs.gov](mailto:christine.crawford@cms.hhs.gov)). Notifications of access will be sent to each applicant when approved.

**Software:** Contractor will need an Internet browser (the browser must be Internet Explorer 5.0 or above) or may use a GIS-compatible Secure File Transfer Protocol Client (SFTP).

**The Government will furnish the following deliverables to the contractor at time of the postaward conference:**

- CD-ROM generated on a MAC computer with MAC OS High Sierra Version 10.13.6 using Adobe InDesign CC2019 in native application format and Adobe Acrobat DC via email (see below for additional specifications)
- One set of color visuals for the pages common to all Handbooks
- Bulk distribution list (an MS Excel file with these addresses will be e-mailed to the contractor prior to the postaward conference)
- Record Layout for mailing addresses
- One copy of USPS Form 3615, Mailing Permit Application and Customer Profile

**Adobe InDesign CS5 and Adobe Acrobat DC PDF Files:** The 650 MB or 700 MB CD-ROM will be generated on a MAC computer with MAC OS High Sierra Version 10.13.6 using Adobe InDesign CC2019 in native application format. Printer and screen fonts are included on the CDs. PDF files will be supplied to the contractor via email with the variable pages that will comprise the last portion of the Handbook. NOTE: Contractors must use CMS supplied fonts only. One set of color visuals for the pages common to all Handbooks and the pages that are unique for each item of the Handbook will be provided as a general guide.

NOTE: All software upgrades (for specified applications) which may occur during the term of the contract, must be supported by the contractor.

The CD will contain electronic files for the fixed section of the Handbooks (the fixed section for the Area-Specific Handbooks are identical) and the covers for the Handbooks (Covers 1, 2, and 3 are identical for ALL Handbooks; Cover 4 is unique to each Area-Specific Handbook). The fixed section portion of the Handbook, which will comprise the first section of each Handbook, is approximately 112 pages. The variable sections, which will be unique to each Area-Specific Handbook is approximately 12 to 52 pages (either 12, 16, 20, 24, 28, 32, 36, 40, 44, 48 pages) and will follow the fixed section. *NOTE: Each Area-Specific Handbook may contain a different page count for the variable section at the end of the Handbook.*

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

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

**ELECTRONIC PREPRESS:** Prior to image processing, the contractor shall perform a basic check (preflight) of the furnished media and publishing files to assure correct output of the required reproduction image. Any errors, media damage, or data corruption that might interfere with proper file image processing must be reported to: Clint Howard at [clinton.howard@cms.hhs.gov](mailto:clinton.howard@cms.hhs.gov).

The contractor shall create or alter any necessary trapping, set proper screen angles and screen frequency, and define file output selection for the imaging device being utilized. Furnished files must be imaged as necessary to meet the assigned quality level.

Line screen resolution must be a minimum of 150 lpi for covers and 133 lpi for text.

**PROOFS:** The following proof requirements must be submitted for each plant location used in the printing of the product. NOTE: The GPO imprint line must be visible on all proofs of Cover 3.

- \*Three sets of digital color content proofs in book form of the “fixed” section of the Handbook (approximate circle folio pages 1 to 112) and Covers 1 through 4. Direct to plate must be used to produce the final product with a minimum of 2400 x 2400 dpi. Proofs must be created using the same Raster Image Processor (RIP) that will be used to produce the product. Proofs shall be collated with all elements in proper position (not pasted up), imaged face and back, trimmed and folded to the finished size of the product. NOTE: At contractor’s option, proofs may be trimmed/folded to the finished size of the product or furnished on over-sized stock with trim marks.

\*Covers 1, 2, and 3, and the “fixed” section of each Handbook are common to all Area-Specific Handbooks; therefore, only two sets from each plant are required. For Cover 4, two sets for each item are required.

- Two sets of inkjet proofs that are G7 profiled and use pigment-based inks for Covers 1 through 4 only. A proofing RIP that provides an option for high quality color matching (such as Device Links Technology and/or ICC Profiles Technology), and meets or exceeds industry tolerance to ISO 12647-7 Standard for Graphic Technology (as of 3/19/09, and future amendments) must be utilized plus GRACoL 2006 Coated #1 specifications (CGATS TR006) must be achieved. Output must be a minimum of 720 x 720 dpi on a GRACoL or SWOP certified proofing media. Proofs must contain the following color control strip to be evaluated for accuracy: IDEAlliance ISO 12647-7 Control Strip 2009 or 2013(i1).

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

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

Line screen resolution must be a minimum of 150 lpi for covers.

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

Contractor to submit two sets of ink drawdowns on actual production stock of the black ink and the Pantone color(s) used to produce the product. Half of drawdown must show varnish or coating, as applicable.

NOTE: Proofs will not be required for the PDF files for variable pages.

Send two sets of digital color content proofs, one set of inkjet proofs, and one set of ink drawdowns directly to: CMS, Attn: Clint Howard, SLL-11-17, 7500 Security Boulevard, Baltimore, MD 21244-1850. Contractor must indicate Jacket Number, Requisition Number, and “PROOFS” on proof package(s).

Send one set of digital color content proofs, one set of ink jet proofs, and one set of ink drawdowns directly to: Government Publishing Office, APS-ACS, Attn: Mary Newton, Stop: CSAP, Room A843, 732 North Capitol Street, NW, Washington, DC 20401. (Telephone: (202) 512-2132) Contractor must indicate Jacket Number, Requisition Number, and “PROOFS” on proof package(s). Contractor must notify Mary Newton ([mnewton@gpo.gov](mailto:mnewton@gpo.gov)) immediately upon submitting proofs. NOTE: This set will be held by the GPO and will not be returned to the contractor.

Contractor must notify GPO Shared Support Services Compliance Section via e-mail to [compliance@gpo.gov](mailto:compliance@gpo.gov) or by calling (202) 512-0520 or faxing (202) 512-1364, and notify Mary Newton ([mnewton@gpo.gov](mailto:mnewton@gpo.gov)) immediately upon submitting proofs and immediately upon notification that the proofs are available for pickup at CMS.

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 and listed for the corresponding JCP Code numbers in the “Government Paper Specification Standards No. 12” dated March 2011. Government Paper Specification Standards No. 12 – [http://www.gpo.gov/pdfs/customers/sfas/vol12/vol\\_12.pdf](http://www.gpo.gov/pdfs/customers/sfas/vol12/vol_12.pdf).

All text paper used in each copy must be of a uniform shade. All cover paper must have the grain parallel to the spine.

**Cover:** White Matte Coated Cover, basis weight: 65 lbs. per 500 sheets, 20 x 26”, equal to JCP Code L50.

**Text:** White Matte Coated Groundwood, basis weight: 35 lbs. per 500 sheets, 25 x 38”, equal to JCP Code A280, as specified below.

<b>JCP A280</b>	<b>Matte Coated Groundwood</b>	<b>April 1, 2018</b>
<b>Printing Paper</b>		<b>FSC 9310</b>

**Use information:** This paragraph is informational only and is not exclusively definitive of the end use. For face and back offset printing of books, pamphlets, folders, etc. Printed matter may include text, line illustrations and light halftones. Grade is for long runs. A mill run grade.

**Stock:** *No postconsumer fiber is required; however, including postconsumer fiber is encouraged, provided that the requirements of this Standard are met.*

**Basis weight:** 25 by 38 inches,  
500 sheets (pounds ..... 35  
A tolerance of ±5% shall be allowed.

**Opacity:** Average, not less than (percent) .... 89  
No individual specimen shall average less  
than (percent) ..... 87

**Thickness:** Average (mils)..... 3.3  
A tolerance of ±0.0005 inch shall be allowed.  
Paper shall be uniform and shall not vary more than  
0.0004 inch from edge to edge.

**Gloss (75°):** Average each side (units) ..... 5 to 25

**Smoothness:** Average each side not to exceed  
(Sheffield units ..... 200

**General appearance:** Paper shall conform to the standard sample established by the Government.

**Brightness:** Average not less than 77% or as specified.

**Color:** The paper in the order (or publication) shall be uniform and color variation shall not exceed DE(CIELAB)= 1.0.

**Formation:** Coating shall be uniform; shall be uniformly applied; shall not be gritty, mottled, stippled, or ribbed in appearance; and shall not exhibit cracks or flake off.

**Cleanliness:** The dirt count for each side of the paper shall not exceed 100 specks per square meter. No specks greater than 0.25 square millimeters are allowed.

**Testing:** Shall be conducted in accordance with methods in Part 2, *Government Paper Specification Standards*. The acceptance criteria Part 4 shall apply.



**PRINTING:** Publication prints head-to-head, with an occasional head to side.

**Text:** A minimum of 133-line screen for text is required.

All text pages (fixed base pages and variable pages) print in black and one Pantone color (Pantone 300 Blue) consisting of illustrations, gradient tones, type, and line matter throughout. Text pages contain some bleeds.

Fixed section (base pages) text is circle folioed 1 through 112 (estimated). The variable section, provided in the PDF file to be sent via email, is the balance of the book.

There are no blank text pages. Some text pages may print “This page intentionally left blank,” or “NOTES.”

**NOTE: Press sheet inspections for the text will NOT be required.** In lieu of the press sheet inspections, the contractor must provide 10 signatures of the first printing of the text pages at color density. These signatures must be provided for each plant printing the text pages. The black ink and the Pantone color (Pantone 300 Blue) must be within plus or minus 5 points of the density mark on the ink drawdowns. The signatures must contain all color bars and information as required by GPO for a press sheet inspection and must be without perforations. NOTE: The color bars must be readable with a handheld densitometer.

- Contractor to deliver 5 text signatures to: CMS, Attn: Clint Howard, SLL-11-17, 7500 Security Boulevard, Baltimore, MD 21244-1850. Contractor must indicate Jacket Number, Requisition Number, and “TEXT SIGNATURES” on package.
- Contractor to deliver 5 text signatures to: Government Publishing Office, APS-ACS, Attn: Mary Newton, Stop: CSAP, Room A843, 732 North Capitol Street, NW, Washington, DC 20401. (Telephone: (202) 512-2132) Contractor must indicate Jacket Number, Requisition Number, and “TEXT SIGNATURES” on package. Contractor must notify Mary Newton ([mnewton@gpo.gov](mailto:mnewton@gpo.gov)) immediately upon submitting text sheets.

**Text signatures to be delivered within 3 workdays of start-up of printing.**

**Cover:** A minimum of 150-line screen for covers is required.

Covers 1 and 2 print four-color process and one Pantone color (Pantone 300 Blue). Printing may consist of halftones, illustrations, type, bleeds, and line matter.

Cover 3 prints black and one Pantone color (Pantone 300 Blue) with the GPO imprint line in black in lower right-hand corner. NOTE: GPO imprint line MUST print on Cover 3 as specified. GPO imprint line must be in accordance with Contract Terms (GPO Publication 310.2, effective December 1, 1987 (Rev. 1-18)).

Cover 4 prints black and one Pantone color (Pantone 300 Blue) consisting of type, line matter, and logo. Contractor may knock out address area to be inkjet, if necessary. NOTE: Mailing indicia on Cover 4 must not print on bulk shipment copies (see Attachment A).

The Pantone color (Pantone 300 Blue) must print as a solid color. It cannot be built out of the process colors.

After printing, apply a non-yellowing gloss coating (varnish or aqueous), to prevent smearing and scratching. Coating must be dull (not gloss).

All covers must be printed on a press capable of printing five colors in a single pass through the press (minimum of five printing units).

**VARIABLE COMPUTERIZED IMAGING (ADDRESSING FOR SELF MAILERS):**

Contractor to address Cover 4 using ink jet, laser, or suitable method using a sans serif font that meets USPS guidelines (<http://pe.usps.gov/cpim/ftp/pubs/Pub28/pub28.pdf>).

Address should read parallel to the short dimension of Cover 4 with placement and location in compliance with applicable USPS addressing guidelines (See Attachment A). Please note that furnished addresses can be up to eight lines of address information; it is possible for the address block to use 10 lines of data, including barcodes.

After addressing, the addresses must not run or bleed when in contact with water and must be clear and legible. All address elements, components, ink characteristics, and barcodes must meet USPS automated flat mail processing equipment compatibility standards and comply with all related USPS requirements as cited in the Mailing Standards of the United States Postal Service, Domestic Mail Manual and Flat Mail processing guidelines in effect at time of mailing (<http://pe.usps.gov>).

**MARGINS:** Margins will be as indicated in the furnished electronic media for the Handbook. Inadequate gripper margins. Text pages throughout may bleed at the head, foot, and outside edge. Contractor is responsible for extending bleeds on furnished materials as necessary to ensure bleeds on final product.

**BINDING:** Perfect-bind text and wraparound cover; trim three sides (bind on the left 10-7/8” dimension). Center hinge score front and back - not to extend beyond 1/4” from bind edge. Grain must run parallel to spine. Glue the front and back covers to the first and last text pages between the scores and the bind.

**PRODUCTION REPORT DURING BINDING AND IMAGING PHASE:** During the binding and imaging phase of this project, the contractor must email production reports that compare “actual production” to the “projected production” quantities provided in the project plan to Clint Howard ([clint.howard@cms.hhs.gov](mailto:clint.howard@cms.hhs.gov)) and Mary Newton ([mnewton@gpo.gov](mailto:mnewton@gpo.gov)).

The production report shall be a single page Microsoft Excel spreadsheet with four columns:

- 1) plant location
- 2) projected number of books bound and imaged (should match the projected totals in the project plan)
- 3) actual number of books bound and imaged
- 4) difference

The contractor is responsible for compiling this information from each location that is doing binding and imaging work. This report should be submitted every 3 calendar days that bindery and imaging work is being done to Clint Howard and Mary Newton. At the postaward conference, a Microsoft Excel spreadsheet shall be provided to the contractor for this purpose.

**PRESS SHEET, BINDING, AND VARIABLE IMAGING INSPECTIONS:** The following inspections will be held at the contractor’s production facility:

- Cover pages press sheet inspection
- Content inspection for the variable pages
- Binding inspection (may be held concurrently with the variable imaging inspection)
- Variable imaging inspection (may be held concurrently with the binding inspection)

**Cover Press Sheet Inspections:** Contractor is to print an open 8-point star symbol, or a similar pre-identified unique symbol, within the finished trim area on each cover, which will be honed off after color “O.K.” standards have been established during the press sheet inspection.

Final makeready press sheets and imaged products will 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 and imaged product, 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. See GPO Publication 315.3 (Guidelines for Contractors Holding Press Sheet Inspections) dated 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. GPO Publication 315.3: [https://www.gpo.gov/pdfs/vendors/sfas/contractors\\_holding\\_psi.pdf](https://www.gpo.gov/pdfs/vendors/sfas/contractors_holding_psi.pdf)

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: If a contractor is printing covers in multiple locations, a single cover press sheet inspection will be held at the location that is printing first, and the contractor is responsible for maintaining the same standards at all other printing locations.

The contractor must have the signed and approved proofs available for the section being printed at the cover press sheet inspections. The contractor must not print prior to receipt of an “O.K. for Color.” NOTE: If multiple plants are being used to print, contractor must have a copy of the signed-off press sheet at each plant.

***Content Inspections:*** A Government inspector shall conduct a content inspection for the variable pages when the contractor starts to print these pages. The purpose of this content inspection is to ensure that the pages printed match the PDF file sent to the contractor. Since no proofs are required for these pages, only the content and color separation will be examined at the start of this press run. The Government inspector will not establish new standards for color or ink density; contractor must match color standards established by the contractor-furnished text signatures.

The contractor must provide one set of laser prints of the variable pages (output at 100%). These laser prints must be printed directly from the furnished file and pre-rip. The laser prints must be either in color or run as separations to show color breaks.

***Binding and Variable Imaging Inspections:*** In the event that a contractor is binding or imaging in multiple locations, a binding and/or imaging inspection will be held in EACH location. This includes all plants the contractor uses for binding and/or imaging, as well as all subcontractor locations.

Binding operations will be inspected at the contractor’s plant for binding quality conformance and to ensure that all GPO binding specifications are being met.

Variable imaging inspections will be held to ensure that:

- The variable computerized imaging specifications and pertinent GPO imaging specifications are being followed.
- All address elements, components, ink characteristics, and barcodes meet USPS automated flat mail processing equipment compatibility standards and comply with all related USPS requirements as cited in current DMM and Flat Mail processing guidelines in effect at time of mailing (<http://pe.usps.com>).

- The correct covers, text pages, and address files are being utilized for the specific book being printed.

If imaging and binding are being done in-line, then the imaging and binding inspections will be held concurrently. Contractor is not to bind prior to receipt of an “O.K. for Binding” and is not to image addresses and barcodes prior to an “O.K. for Imaging.”

**Scheduling Inspections:** Cover press sheet inspections MUST be held during normal business hours (8:00 a.m. to 5:00 p.m., prevailing local time) on Government workdays, Monday through Friday. Cover press sheet inspections will NOT be held on weekends or Federal holidays.

If possible, contractors should attempt to conduct the content inspection, as well as the binding and imaging inspections, during normal business hours (8:00 a.m. to 5:00 p.m., local prevailing time) on Government workdays, Monday through Friday. However, since the binding and imaging schedules, as well as the printing schedule for the variable pages, are very tight, these inspections can be held on weekends, Federal holidays, and during evening hours.

The Project Manager or Alternate Project Manager MUST notify GPO and CMS of the date and time the press sheet (cover and text) inspection, content inspection, variable imaging inspection(s), and the binding inspection(s) will be performed. In order for proper arrangements to be made, notification must be given at least 3 Federal workdays prior to EACH inspection. Notify both GPO and CMS, as follows:

- U.S. Government Publishing Office, Quality Control for Published Products (QCPP), Washington, DC 20401, telephone number (202) 512-0542 (telephone calls will only be accepted between the hours of 8:00 a.m. and 2:00 p.m., Monday through Friday, prevailing Eastern Time).
- Clint Howard, telephone number (410) 786-1962.

It is the contractor’s responsibility to schedule all inspections with the Government, including inspections held at different plants and subcontractor’s facilities. The Government will not accept inspection appointments communicated by subcontractors hired by the contractor.

It is the contractor’s responsibility to ensure that appropriate personnel are on site during all inspections that can make any potential corrections, adjustments, and repairs, including the creation of new plates, prepress adjustments, and mixing inks.

NOTE: See contract clauses, paragraph 14(e)(1), Inspections and Tests of 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.

#### **PACKING:**

**Bulk Shipments:** Pack each item separately and identify the shipping containers with the Area-Specific item name, item number, publication number, Inventory Control Number, and publication revision date which will be provided at the postaward conference. ALL shipments must contain this information on each shipping container.

Pack suitable per shipping container not to exceed 40 pounds when fully packed. Shipping containers must be packed in a manner that will assure there is no damage to the product during shipping and handling.

**Mailed Shipments:** Pack suitably in mailing containers. Mail shipments must be packed in a manner that will ensure there is no damage to the product during shipping and handling.

**Pallets (required for motor freight ship only):** Pallets must be type III and must conform to Federal Specifications NN-P-71C, and any amendments thereto except for dimensions and single center stringer. Full entry MUST be on the 40” width. Receipt of incorrect pallets may result in a charge for each incorrect pallet which will be assessed against the contractor. This charge will cover additional costs incurred by CMS to re-palletize the shipment onto correct pallets. Loaded pallets must be machine wrapped with shrinkable or stretchable plastic strong enough to retain the integrity of the pallet during transportation and handling. Do NOT use metal strapping or pallet caps for securing material on pallets. Copies on pallets must be consolidated so that there is no more than one partial pallet per destination.

Pallet preparation and pallet sortation are subject to specific USPS standards. Pallets and related labeling must be prepared in accordance with the current Mailing Standards of the U.S. Postal Service’s current DMM as published at <http://pe.usps.com>. (See Attachment B for CMS Pallet instructions.)

**LABELING AND MARKING:** Contractor to download GPO Form 905 (R. 7-15) – Labeling and Marking Specifications which can be located on GPO.gov, fill in appropriate blanks, and attach to shipping containers, located to where CMS Warehouse can see on rack system.

Address individual copies for mailing (see “VARIABLE COMPUTERIZED IMAGING (ADDRESSING FOR SELF-MAILERS”).

Contractor to create and affix placards to the pallets according to the content and destination of the mail. At least two (2) clearly visible, white placards must be affixed to two (2) adjacent sides of each pallet. Contractor to label placards bearing Intelligent Mail Barcodes in accordance with the current USPS Mailing Standards.

For shipments to United Systems of Arkansas, Inc., pallets must be 40 x 48”, either stringer or block pallet type. Pallet stack height is a maximum of 56”, including pallet height.

**QUALITY ASSURANCE RANDOM COPIES:** The contractor is required to submit 50 quality assurance random copies *for each assigned state* to test for compliance against specifications. The contractor must divide the entire order into equal sublots and select a copy from a different general area of each subplot. The contractor will be required to certify that copies were selected as directed using GPO Form 917 - Certificate of Selection of Random Copies (located on GPO.gov). Copies will be paid for at the running rate offered in the contractor’s bid and their cost will not be a consideration for award. A copy of the purchase order/specifications must be included.

NOTE: If a state quantity is divided between printing plants, the number of quality assurance random copies must be divided evenly among each those plants (for example, if two plants are printing the quantity for one state, 25 random copies would come from one plant, and 25 random copies would come for the other plant.)

Business Reply Mail labels will be furnished for mailing the quality assurance random copies. The copies are to be mailed at the same time as the first scheduled shipment. A U.S. Postal Service approved Certificate of Mailing, identified by Jacket and Purchase Order numbers must be furnished with billing as evidence of mailing.

## **DISTRIBUTION:**

### **Single copies:**

Mail f.o.b. contractor’s city approximately 4,400,000 single copies (per lot) via the Government-furnished mailing permit, as specified below. Contractors will be notified of final quantities, as well as the specific books they will be printing, at the postaward meetings. **NOTE: Drop-shipments to USPS’ Destination Network Distribution Center (DNDC) Entry, Destination Sectional Center Facility (DSCF) Entry, Destination Delivery Unit (DDU) Entry, and Destination Flat Sequencing System (DFSS) Entry are required.**

**NOTE:** One lot will have approximately 2,000 copies destined for Puerto Rico as part of the total quantity. These copies mail in accordance with the requirements specified under “Single Copies” above.

**Bulk Shipments:**

- Ship f.o.b. contractor’s city approximately 1,000 to 30,000 books (per lot) to approximately 20 to 150 locations via reimbursable small parcel carrier (must be traceable means with signed signature receipt). (See “SCHEDULE” for dates.)
- Ship f.o.b. contractor’s city the Quality Assurance Random Copies to the address specified on the furnished business reply labels.
- Ship f.o.b. contractor’s city approximately 200 to 1,000 copies of each item to: CMS, CMS Receiving Clerk, 7500 Security Boulevard, Baltimore, MD 21244. (Telephone: (410) 786-2948) The contractor will be notified about the final quantity at the postaward conference. The inventory control number, publication number, and revision date must appear on each carton.
- Ship f.o.b. contractor’s city approximately 200 to 5,000 copies of each item to: United Systems of Arkansas, Inc., Attn: PODFO, 4949 West Bethany Road, Little North Rock, AR, 72117. (Telephone: (800) 264-0812) NOTE: The contractor will be notified about the final quantity at the postaward conference.
- Ship f.o.b. contractor’s city 1 copy of each version marked “Depository Copies Item No. 0512-A-39” to: U.S. Government Publishing Office, Federal Depository Library Program, Mail Stop: FDLP, 44 H Street, NW, Loading Dock, Washington, DC 20401.
- Ship f.o.b. contractor’s city 15 copies of each version to: Library of Congress, U.S. Serials and Government Documents Section, U.S. Anglo Division, 101 Independence Avenue, SE, Washington, DC 20540-4276, Marked: “Depository File Copies.” NOTE: All shipments to this destination must be via FedEx, UPS, or USPS.
- Ship f.o.b. contractor’s city 1 sample of each version to: U.S. Government Publishing Office, Customer Services Department, Agency Publishing Services, APS-ACS, Attn: Mary Newton, Mail Stop: CSAPS, Room A843, 732 North Capitol Street, NW, Washington, DC 20401. (Telephone: (202) 512-2132)

Bulk ship the number of handbooks specified at postaward conference via a reimbursable small parcel carrier by (see “SCHEDULE” of dates). These shipments must be traceable with a signed receipt. Some deliveries may require INSIDE DELIVERY. Contractor will be reimbursed for all shipping costs by submitting all shipping receipts with billing invoice for payment.

*CMS Delivery Appointment:* Receiving hours are Monday through Friday, 7:30 a.m. to 3:30 p.m., on a “first come, first serve” basis (no appointment necessary). The contact number is (410) 786-2948.

*United Systems of Arkansas, Inc. Delivery Appointment:* Normal receiving hours are 6:00 a.m. to 5:00 p.m., Central Standard Time (CST), Monday through Friday. (No after hours or weekend deliveries are accepted unless pre-approved through shipping/receiving.) No appointments are necessary. Please email Robert Bluejacket at [bluejacket@usaimages.net](mailto:bluejacket@usaimages.net) with the delivery date of bulk items.

Cost for transporting the mailed copies to the USPS mailing facility is reimbursable upon receipt of the contractor’s delivery receipts with his billing invoice. Additionally, the contractor is responsible for the mailed copies until the copies have been accepted by an official USPS representative at a physical postal facility, regardless of whether an on-site USPS representative at the contractor’s facility has filled out and signed a PS Form 8125 for those copies.

NOTE: It is the contractor’s responsibility to ensure that all required paper work and the furnished agency mailing indicia is filled out correctly and issued/on file with the appropriate mailing/shipping facilities. Contractor to contact Tina Dickens at (410) 786-3895 with any questions.

**MAIL PREPARATION:** All items mailed will have a printed CMS Standard Mail “Postage and Fees Paid” Permit (#G-845). The contractor is cautioned to use the permit imprint only for mailing material produced under this contract. The contractor is required to prepare all mail in accordance with appropriate USPS rules and regulations, including the Mailing Standards of the United States Postal Service, DMM (<http://pe.usps.com>) and other USPS procedural publications in effect at time of mailing.

The contractor is required to obtain the maximum USPS postage discounts possible in accordance with the USPS Standard Class mail automated and non-automated mail discount structure in effect at time of mailing, except when any address data enhancement will negatively affect deliverability and/or omit any required address fields.

Contractor shall follow indicia, address, and barcode placement found on the facsimile copies in the “Attachment” section of this document, which is consistent with current USPS Address Quality Standards, and in accordance with appropriate USPS rules and regulations including the Mailing Standards of the United States Postal Service, DMM presently in effect (<http://pe.usps.gov/DMM300/Index>).

The typestyle must be sans serif and consistent with the guidelines in USPS Publication 28, Postal Addressing Standards, (<http://pe.usps.gov/cpim/ftp/pubs/Pub28/pub28.pdf>) and must consist of all upper case characters, comparable to the typestyle and font size illustrated in the “Attachment” section. No contractor alterations to this copy will be permitted without written authorization from CMS and GPO.

In compliance with USPS Mail Preparation and Sortation Regulations, all mail must be: appropriately marked; barcoded if necessary; supported with documentation generated by PAVE-certified software; or, printed in a standardized format to ensure USPS acceptance. Full Service Intelligent Mail Barcode (IMB) barcoding and delivery address placement used for this mailing must comply with the CMS specifications cited and USPS requirements for automation-compatible mail in effect at the time of the mailing. The contractor will be responsible for payment of any additional postage resulting from a loss of a discount due to irresponsible and careless application of USPS mail preparation and sortation standards. Addresses for this mailing come from a Government maintained file.

**Intelligent Mail Barcode (IMB):** During the term of this contract, CMS mailers will be required to meet the Full-Service option using Intelligent Mail barcodes to access automation postal rates for flats.

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

**Mail Processing:** The contractor must process the address files by using National Change of Address (NCOA) and Delivery Sequence File 2<sup>nd</sup> Generation (DSF<sup>2</sup>) certified mail processing software to qualify for the most cost efficient Standard/Bulk automation rates available. The contractor must furnish the appropriate, properly filled out forms to the U.S. Post Office. The files must be matched against the postal database to update and correct the ZIP codes, provide ZIP codes, and provide the data required to print delivery point bar code for each address. After the contractor has processed the address files, they are to drop the undeliverable (DSF<sup>2</sup>: Vacants and records containing no forwarding address) and notify both GPO and CMS. **NOTE: Contractor is to forward the unmatched file to CMS for approval/disapproval of the NEW quantity.**

For the final quantity counts for the basis of this contract’s distribution, the address files only need to be processed through NCOA one time and must not be processed prior to 8/6/19. All related costs to perform this one-time operation must be included in submitted bid pricing. No additional reimbursement will be authorized. In addition to the Government’s one-time requirement, the contractor may process the address files through NCOA at any time for their own internal needs, at the contractor’s expense.

***DSF<sup>2</sup> Requirement:*** It is incumbent upon the contractor to ensure the maximum postage discount possible is received for this mailing.

DSF<sup>2</sup> is a licensed address hygiene product that contains information on all addresses (except general delivery addresses) served by the Postal Service. DSF<sup>2</sup> includes the ZIP Code, ZIP+4® code, carrier route code, walk-sequence information, and all other delivery attributes related to each specific address. DSF<sup>2</sup> is one of the approved methods under USPS Mailing Standards for preparing mail to meet the walk-sequence criteria required for carrier route periodicals, mail pieces, and Enhanced Carrier Route Standard Mail pieces mailed at high density, high density plus, and saturation rates. Walk sequence is the exact order in which a carrier delivers mail from one delivery point to the next. As provided in current DMM (<http://pe.usps.com>), walk sequence may be used at the mailer’s option to satisfy the LOT sequencing criteria required for carrier route periodicals, mail pieces and Enhanced Carrier Route Standard Mail pieces mailed at basic rates.

In order to ensure that CMS is receiving the maximum postage discounts available, the contractor is required to have the mail files they are working with processed through DSF<sup>2</sup> so that the Handbooks are in walk sequenced order when delivered to the NDC’s and SCF’s. As a result of this process, a significant portion of the Handbooks will qualify for high density, high density plus, and saturation rates.

The contractor is required to work directly with one of the vendors that are licensed by the USPS to provide DSF<sup>2</sup> services or indirectly with one of these vendors (i.e., through another company that works with one of the approved DSF<sup>2</sup> vendors). A list of the vendors approved by the USPS to provide DSF<sup>2</sup> services can be found at the following website: <http://ribbs.usps.gov> (click on “DSF 2nd Generation”).

***DSF<sup>2</sup> Summary Reports/Files:*** The contractor is required to submit a DSF<sup>2</sup> report/files indicating:

- the number and percentages of addresses that qualify for either a high density, high density plus, or saturation rate;
- the amount of money saved by qualifying for these rates; and,
- a file with all the undeliverables (vacant addresses, no forwarding addresses, and no ZIP Codes).

The contractor must forward copies of the DSF<sup>2</sup> Summary Reports/Files to: CMS, Attn: Tina Dickens SLL-11-16, 7500 Security Boulevard, Baltimore, MD 21244-1850; or email to: [tina.dickens@cms.hhs.gov](mailto:tina.dickens@cms.hhs.gov). (See “SCHEDULE” for dates.)

***Mail Storage/Staging:*** Mailing must be assembled and stored for eventual turnover to the USPS. Mailing for delivery to all destinations must be turned over to assure on-time delivery to partners and beneficiaries. If truck-trailers (vans) will be needed from the USPS, it is the contractor’s responsibility to schedule an advance planning meeting with the USPS and request these services. However, physical loading is the contractor’s responsibility, in conformance with the USPS loading plan. The Government may inspect the storage and staging operations at the contractor’s facilities.



**USPS Mail Requirements:** Contractors are required to abide by the USPS requirements for Full-Service IMB mailings, including the use of eDoc, ePostage, and electronic FAST appointments. Contractors are required to provide logistical information to CMS and the USPS prior to production. This information must include load plans indicating quantities by version by USPS Entry Point. During production, contractors are required to utilize available USPS services and data (Full-Service IMB Start the Clock), combined with their own tracking and delivery information to provide a daily snapshot of quantities delivered to USPS facilities and an in-home estimate based on current published USPS standards.

**Mailing Dates:** Contractor must arrange delivery dates to the USPS facilities in the states which are receiving deliveries by the dates specified in the “SCHEDULE.”

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

**Mail Service Disruption Reports:** The contractor is required to provide a report on disruption to the mail service due to either weather or accidents (vehicle/boat).

- A report for areas with weather impacted delays to include, but is not limited, to the following:
  - Mail that is in route.
  - Non-delivery of mail.
  - Pull back of non-postal transportation.
  - Refund request for non-delivery/acceptance.
  - Completion of refund request and that the refund has occurred.
  - Mail staged until end of event for both the contractor facility and USPS facility.
  - Mail destroyed for both the contractor facility and USPS facility.
  - Volume of mail impacted by state.
  
- Accidents (vehicle/boat) rendering mail damaged or destroyed, to include, but is not limited, to the following:
  - Letter to CMS explaining the details of the accident.
  - Truck and load report.
  - Original postage statement copies.
  - Bill of lading from trucking company, if available.

Contractor to provide these reports only when the mailing/delivery of the handbooks will be impacted by either weather-related events or vehicle/boat accidents.

The contractor must forward copies of the Mail Service Disruption Reports to: CMS, Attn: Tina Dickens SLL-11-16, 7500 Security Boulevard, Baltimore, MD 21244-1850; or email to: [tina.dickens@cms.hhs.gov](mailto:tina.dickens@cms.hhs.gov).

**Final Logistics Report:** Contractor is required to provide a detailed analysis of all expenses related to postage, drop shipment freight, and bulk copy shipping for each item. This report must include the following data elements:

- Item/Load Number
- Consignee Key/Consignee Zip (Mailshop)
- Number of Pieces
- Running Total
- Weight

- USPS Fast Appointment Number
- USPS Delivery Confirmation
- Track/Trace report showing the appointment dates and USPS confirmation numbers

Enter Point Optimization Report (template to be provided and to be used by all contractors):

- Postal One Verify Date
- Postal One Postage Costs
- Postal One Running Total Costs
- Net Savings

A copy of this report must accompany all mailing statements and shipping receipts required below. The contractor must submit this report via email (see “SCHEDULE” for dates) to: Tina Dickens at [tina.dickens@cms.hhs.gov](mailto:tina.dickens@cms.hhs.gov) and Mary Newton at [mnewton@gpo.gov](mailto:mnewton@gpo.gov).

**PLEASE NOTE: This is a critical deliverable, and this job is not considered to be complete until a correctly formatted report is submitted. Contractor will not be paid until this report is delivered.**

***Mailing Statements:***

Contractor must provide the following to: CMS, Attn: Tina Dickens, SLL-11-16, 7500 Security Boulevard, Baltimore, MD 21244-1850 (method of delivery must require CMS acknowledgment of receipt) (see “SCHEDULE” for dates):

- Copy of Invoice
- Copies of all commercial freight bills for bulk shipments
- Contractor-prepared ZIP Code Count Listing (format must show 3-digit, 5-digit, and carrier route ZIP Code destinations.)
- Copies of 3602-R Postage Statement – Standard Mail
- Copies of 8125 (Plant-Verified Drop Shipment (PVDS) Verification and Clearance) - If contractor is using eInduction or Seamless Acceptance at the Business Mail Acceptance Entry Unit (BMEU):
  - It enables quicker appointment processing in the Facility Access Shipment Tracking (FAST) online system, eliminates the need for clerks to manually reconcile containers against paper documentation (PS Forms 8125), and provides 24/7 appointment resolution.
  - The contractor will be required to provide the pre-induction validations, e8125 communication message sent from *PostalOne!* This will replace the hardcopy 8125.
  - These statements must be packaged in an individual container for each item.

Contractor must notify the Contract Administrator, Mary Newton at [mnewton@gpo.gov](mailto:mnewton@gpo.gov) when the Mailing Statements have been sent out for delivery.

**PLEASE NOTE: These are critical deliverables, and this job is not considered to be complete until a correctly formatted report is submitted. Contractor will not be paid until this report is delivered.**

Reimbursement for the actual freight costs will be made from copies of the commercial carrier freight bills that must be submitted with the contractor’s invoice, and each freight bill must show the shipping cost and weight of the shipment. If the contractor utilizes a freight consolidator, payment will be made with the submission of the contractor’s invoices showing actual charges to the contractor. Reimbursed freight costs will not be subject to any prompt payment discounts.

**Return of Government Furnished Material:** All Government furnished materials must be returned to CMS. (See “SCHEDULE” for dates.)

All expenses incidental to picking up and returning furnished materials, submitting proofs, sample copies, invoices, postal receipts, drop-shipment plans, Project Plans, and other materials associated with this contract, must be borne by the contractor. PLEASE NOTE: Any shipments sent to CMS using FedEx must use FedEx containers and boxes.

**SCHEDULE:** This publication is mandated by the following Congressional legislation and must be met without exception: Balanced Budget Act of 1997, Section 4001, 1851 (d) (2) (A) and (B), and, the Medicare, Prescription Drug, Improvement and Modernization Act of 2003. It is critical that the contractor meets all production and delivery dates.

Submit proofs and drawdowns as soon as the contractor deems necessary in order to comply with the shipping and mailing schedule.

Proofs and drawdowns will be withheld 10 workdays from receipt by CMS until they are made available for pickup by the contractor. (NOTE: The first workday after receipt of proofs and drawdowns is day one of the hold time.)

If revised proofs and/or drawdowns are required due to contractor errors, the revised proofs and/or drawdowns will be withheld an additional 10 workdays until they are made available to the contractor for pickup. This process may be repeated until CMS determines that the proofs and/or drawdowns are satisfactory.

DATE	EVENT
5/24/2019	Bid Opening Date
Week of 7/8/19	Contractor receives address file counts per item (Area-Specific Handbooks). Counts are prior to final contractor NCOA/IMB processing.
Five workdays after notification of contract award	Deadline for Submitting Contractor Project Plans to CMS and GPO
Week of 6/17/19	Contractor will receive the page count for the fixed section. The fixed section is common to all books.
7/1/19 – 7/5/19	Postaward Conference. Contractors will receive InDesign files for the covers and fixed section for the Area-Specific Handbook.
TBD by contractor	Text Signatures due to CMS/GPO
TBD by contractor	Cover Press Inspection
8/6/19 (no earlier)	Contractor must process the address files through NCOA for final quantities
8/27/19	Contractor receives one completed file of the variable section for pre-flighting
No later than 9/6/19	Contractor receive page counts for the variable section (NOTE: If this information is available sooner, CMS will notify GPO and the contractors.)
No later than 9/6/19	Contractor receives PDF file pages for the variable sections.
TBD by contractor	Content inspection for variable pages
TBD by contractor	Binding/Imaging Inspections
9/12/19 – 9/30/19	Mailing of all bulk copies and self-mailers
9/30/19	Last Day for contractor to ship self-mailers from plant (Form 8125 verification)
12/6/19	Deadline for contractor to submit their DSF <sup>2</sup> report
12/6/19	Deadline for contractor to return all Government furnished materials
12/6/19	Deadline for contractor to submit Final Logistics Report
12/6/19	Deadline for contractor to submit all required mailing statements

The ship/deliver date indicated on the print order is the date products ordered for delivery f.o.b. destination must be delivered to the destination(s) specified and products ordered for mailing/shipping f.o.b. contractor’s city must be delivered to the U.S. Postal Service or picked up by small package carrier.

**NOTE: In order to meet the scheduled mailing date, all mailed copies must be accepted by a USPS representative (with a signed/dated PS Form 8125) AND must have left the contractor’s plant(s) no later than 9/30/19.**

For compliance reporting purposes, the contract or 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](mailto: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.

**UNDELIVERABLES/RETURNED COPIES:** For mailed copies that are determined to be unmailable (prior to entering into the mail stream), or for any bulk deliveries that are returned or are undeliverable, contractor must notify CMS immediately. CMS may direct the contractor to deliver to another address or destroy the copies.

NOTE: During times of natural disasters or national emergencies, the contractor may be required to hold/store copies, pick up mailed/delivered copies, re-mail copies, and/or re-deliver copies to another address.

Contractor may be required to hold/store copies for up to 15 calendar days at no cost to the Government or destroy copies (up to and including 5,000 copies) at no cost to the Government. Contractor will be entitled to financial compensation for copies held/stored longer than 15 calendar days or for a quantity over 5,000 copies to be destroyed. If required, the Contracting Officer will issue a modification.

NOTE: Copies for destruction must be destroyed in accordance with “Disposal of Waste Material” specified under “DATA SECURITY.”

**GPO KEY PERSONNEL:**

- Contracting Officer: Jamie Fowler, (202) 512-2132, [jlfowler@gpo.gov](mailto:jlfowler@gpo.gov)
- Contract Administrator: Mary Newton, (202) 512-2132, [mnewton@gpo.gov](mailto:mnewton@gpo.gov)

**CMS KEY PERSONNEL:**

- “Medicare & You” Project Manager: Christine Crawford, (410) 786-1887, [christine.crawford@cms.hhs.gov](mailto:christine.crawford@cms.hhs.gov)
- Printing and Technical Issues: Clinton Howard, (410) 786-1962, [clinton.howard@cms.hhs.gov](mailto:clinton.howard@cms.hhs.gov)
- Mail File Content and Formatting Issues: Tammy Johnson, (410) 786-6326, [tammy.johnson@cms.hhs.gov](mailto:tammy.johnson@cms.hhs.gov)
- Mailing and Shipping Issues: Tina Dickens, (410) 786-3895, [tina.dickens@cms.hhs.gov](mailto:tina.dickens@cms.hhs.gov)
- Mailing and Shipping Issues Backup: Erika Grant, (410) 786-1067, [erika.grant@cms.hhs.gov](mailto:erika.grant@cms.hhs.gov)

**DETERMINATION OF AWARD FOR ONE LOT:**

The total requirement of this product is approximately 44,000,000 handbooks divided into 10 lots of approximately 4,400,000 copies each. Offers must include the cost of all materials and operations for one lot listed in accordance with these specifications. An offer for a quantity less than a full lot will not be considered. Prices for additional quantities must be based on a continuing run, exclusive of all basic or preliminary charges and will not be a factor for determination of award.

It is the Government’s intent to award one to 10 separate contracts for individual lots of approximately 4,400,000 copies each, +10% or - 25%. Award will be made based on the combination of lots that results in the lowest overall cost to the Government, and to responsible offerors whose offer(s) the Government has determined to be fair and reasonable by applying the prices listed in the “SCHEDULE OF PRICES” to the following units of production.

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

All Items

	(1)	(2)
(a)	5	4,400
(b)	1	4,400
(c)	5	4,400
(d)	5	4,400
(e)	5	4,400

The Contracting Officer reserves the right to reject any offer that contains prices for individual items of production 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.

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**SCHEDULE OF PRICES FOR ONE LOT (Prices offered are based on printing 4,400,000 copies (one lot)):**

Prices offered shall include the cost of all required materials and operations for each item listed necessary for the complete production and distribution of the product listed in accordance with these specifications. Prices for additional quantities must be based on a continuing run, exclusive of all basic or preliminary charges and will not be a factor for determination of award.

Before an offer will be considered for two or more lots, an offer for one lot must be submitted. If a contractor wishes to submit a bid for two or more lots, they must submit copies of each of the SCHEDULE OF PRICES for each multiple lot, up to the maximum lots for which they are bidding (Example: If a contractor wishes to bid on a maximum of 4 lots, a bid for 1 lot, 2 lots, 3 lots, and 4 lots must be submitted).

**NOTE: Contractor will only be allowed one makeready charge for each item regardless of the number of plants used to produce the product or the number of awarded lots. Contractor’s billing invoice must be itemized in accordance with the line items in the “SCHEDULE OF PRICES” for each state.**

The bidder must make an entry in each of the spaces provided.

	<u>Makeready and/or Setup</u> (1)	<u>Running Per 1,000 copies</u> (2)
(a) Complete Cover.....per complete cover.....	\$ _____	\$ _____
(b) Basic 112-page section.....per section.....	\$ _____	\$ _____
(c) 16-page signature .....per signature.....	\$ _____	\$ _____
(d) 8-page signature .....per signature.....	\$ _____	\$ _____
(e) 4-page signature .....per signature.....	\$ _____	\$ _____

For informational purposes only, the bidder must state the administrative cost of preparing and implementing the drop-shipment plans, processing the addresses through NCOA and DSF<sup>2</sup>, and any other mail processing services required by the specifications stated above for all items combined and included in the above bid prices.

.....\$ \_\_\_\_\_  
 NOTE: This cost must be included in the above bid prices and is not reimbursable.

The number of text pages stated herein are estimates only and may increase or decrease for any one or all of the items at the time the final PDF files for the variable pages are made available to the printer. In the event text page count changes do occur, the contractor will not be allowed any additional production time, nor will a surcharge be permitted to any of the line item bid prices submitted (See “ALLOWABLE CHARGES” specified herein).

Transportation charges are not a factor in determining award. However, bidder must state in the bid, the location (city and state) of the plant(s) (including plant-specific GPO Contractor Codes) from which this product will be shipped with approximate quantities for each plant on page 39. If shipment is not made from this location, contractor may be responsible for any additional shipping costs incurred. The bidder must also provide the name and location (city and state) of any subcontractors that will be used. Allocation of lots after award will be based upon price and location.

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 (Initials)

**SCHEDULE OF PRICES FOR TWO LOTS (Prices offered are based on printing 8,800,000 copies (two lots)):**

Prices offered shall include the cost of all required materials and operations for each item listed necessary for the complete production and distribution of the product listed in accordance with these specifications. Prices for additional quantities must be based on a continuing run, exclusive of all basic or preliminary charges and will not be a factor for determination of award.

Before an offer will be considered for two lots, an offer for one lot must be submitted. The DETERMINATION OF AWARD figures on Page 27 will be multiplied by 2 for the prices offered for two lots with the exception of line item (b)(1), which will remain 1.

**NOTE: Contractor will only be allowed one makeready charge for each item regardless of the number of plants used to produce the product or the number of awarded lots. Contractor’s billing invoice must be itemized in accordance with the line items in the “SCHEDULE OF PRICES” for each state.**

The bidder must make an entry in each of the spaces provided.

	<u>Makeready and/or Setup</u> (1)	<u>Running Per 1,000 copies</u> (2)
(a) Complete Cover.....per complete cover.....	\$ _____	\$ _____
(b) Basic 112-page section.....per section.....	\$ _____	\$ _____
(c) 16-page signature .....per signature.....	\$ _____	\$ _____
(d) 8-page signature .....per signature.....	\$ _____	\$ _____
(e) 4-page signature .....per signature.....	\$ _____	\$ _____

For informational purposes only, the bidder must state the administrative cost of preparing and implementing the drop-shipment plans, processing the addresses through NCOA and DSF<sup>2</sup>, and any other mail processing services required by the specifications stated above for all items combined and included in the above bid prices.

.....\$ \_\_\_\_\_  
 NOTE: This cost must be included in the above bid prices and is not reimbursable.

The number of text pages stated herein are estimates only and may increase or decrease for any one or all of the items at the time the final PDF files for the variable pages are made available to the printer. In the event text page count changes do occur, the contractor will not be allowed any additional production time, nor will a surcharge be permitted to any of the line item bid prices submitted (See “ALLOWABLE CHARGES” specified herein).

Transportation charges are not a factor in determining award. However, bidder must state in the bid, the location (city and state) of the plant(s) from which this product will be shipped with approximate quantities for each plant on page 39. If shipment is not made from this location, contractor may be responsible for any additional shipping costs incurred. The bidder must also provide the name and location (city and state) of any subcontractors that will be used. Allocation of lots after award will be based upon price and location.

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 (Initials)



**SCHEDULE OF PRICES FOR THREE LOTS (Prices offered are based on printing 13,200,000 copies (three lots)):**

Prices offered shall include the cost of all required materials and operations for each item listed necessary for the complete production and distribution of the product listed in accordance with these specifications. Prices for additional quantities must be based on a continuing run, exclusive of all basic or preliminary charges and will not be a factor for determination of award.

Before an offer will be considered for three lots, an offer for one lot and two lots must be submitted. The DETERMINATION OF AWARD figures on Page 27 will be multiplied by 3 for the prices offered for three lots with the exception of line item (b)(1) which will remain 1.

**NOTE: Contractor will only be allowed one makeready charge for each item regardless of the number of plants used to produce the product or the number of awarded lots. Contractor’s billing invoice must be itemized in accordance with the line items in the “SCHEDULE OF PRICES” for each state.**

The bidder must make an entry in each of the spaces provided.

	<u>Makeready and/or Setup</u> (1)	<u>Running Per 1,000 copies</u> (2)
(a) Complete Cover..... per complete cover.....	\$ _____	\$ _____
(b) Basic 112-page section..... per section.....	\$ _____	\$ _____
(c) 16-page signature ..... per signature.....	\$ _____	\$ _____
(d) 8-page signature ..... per signature.....	\$ _____	\$ _____
(e) 4-page signature ..... per signature.....	\$ _____	\$ _____

For informational purposes only, the bidder must state the administrative cost of preparing and implementing the drop-shipment plans, processing the addresses through NCOA and DSF<sup>2</sup>, and any other mail processing services required by the specifications stated above for all items combined and included in the above bid prices.

.....\$ \_\_\_\_\_

NOTE: This cost must be included in the above bid prices and is not reimbursable.

The number of text pages stated herein are estimates only and may increase or decrease for any one or all of the items at the time the final PDF files for the variable pages are made available to the printer. In the event text page count changes do occur, the contractor will not be allowed any additional production time, nor will a surcharge be permitted to any of the line item bid prices submitted (See “ALLOWABLE CHARGES” specified herein).

Transportation charges are not a factor in determining award. However, bidder must state in the bid, the location (city and state) of the plant(s) from which this product will be shipped with approximate quantities for each plant on page 39. If shipment is not made from this location, contractor may be responsible for any additional shipping costs incurred. The bidder must also provide the name and location (city and state) of any subcontractors that will be used. Allocation of lots after award will be based upon price and location.

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 (Initials)

**SCHEDULE OF PRICES FOR FOUR LOTS (Prices offered are based on printing 17,600,000 copies (four lots)):**

Prices offered shall include the cost of all required materials and operations for each item listed necessary for the complete production and distribution of the product listed in accordance with these specifications. Prices for additional quantities must be based on a continuing run, exclusive of all basic or preliminary charges and will not be a factor for determination of award.

Before an offer will be considered for four lots, an offer for one lot, two lots, and three lots must be submitted. The DETERMINATION OF AWARD figures on Page 27 will be multiplied by 4 for the prices offered for four lots with the exception of line item (b)(1), which will remain 1.

**NOTE: Contractor will only be allowed one makeready charge for each item regardless of the number of plants used to produce the product or the number of awarded lots. Contractor’s billing invoice must be itemized in accordance with the line items in the “SCHEDULE OF PRICES” for each state.**

The bidder must make an entry in each of the spaces provided.

	<u>Makeready and/or Setup</u> (1)	<u>Running Per 1,000 copies</u> (2)
(a) Complete Cover..... per complete cover.....	\$ _____	\$ _____
(b) Basic 112-page section..... per section.....	\$ _____	\$ _____
(c) 16-page signature ..... per signature.....	\$ _____	\$ _____
(d) 8-page signature ..... per signature.....	\$ _____	\$ _____
(e) 4-page signature ..... per signature.....	\$ _____	\$ _____

For informational purposes only, the bidder must state the administrative cost of preparing and implementing the drop-shipment plans, processing the addresses through NCOA and DSF<sup>2</sup>, and any other mail processing services required by the specifications stated above for all items combined and included in the above bid prices.

.....\$ \_\_\_\_\_

NOTE: This cost must be included in the above bid prices and is not reimbursable.

The number of text pages stated herein are estimates only and may increase or decrease for any one or all of the items at the time the final PDF files for the variable pages are made available to the printer. In the event text page count changes do occur, the contractor will not be allowed any additional production time, nor will a surcharge be permitted to any of the line item bid prices submitted (See “ALLOWABLE CHARGES” specified herein).

Transportation charges are not a factor in determining award. However, bidder must state in the bid, the location (city and state) of the plant(s) from which this product will be shipped with approximate quantities for each plant on page 39. If shipment is not made from this location, contractor may be responsible for any additional shipping costs incurred. The bidder must also provide the name and location (city and state) of any subcontractors that will be used. Allocation of lots after award will be based upon price and location.

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(Initials)

**SCHEDULE OF PRICES FOR FIVE LOTS (Prices offered are based on printing 22,000,000 copies (five lots)):**

Prices offered shall include the cost of all required materials and operations for each item listed necessary for the complete production and distribution of the product listed in accordance with these specifications. Prices for additional quantities must be based on a continuing run, exclusive of all basic or preliminary charges and will not be a factor for determination of award.

Before an offer will be considered for five lots, an offer for one lot, two lots, three lots, and four lots must be submitted. The DETERMINATION OF AWARD figures on Page 27 will be multiplied by 5 for the prices offered for five lots with the exception of line item (b)(1), which will remain 1.

**NOTE: Contractor will only be allowed one makeready charge for each item regardless of the number of plants used to produce the product or the number of awarded lots. Contractor’s billing invoice must be itemized in accordance with the line items in the “SCHEDULE OF PRICES” for each state.**

The bidder must make an entry in each of the spaces provided.

	<u>Makeready and/or Setup</u> (1)	<u>Running Per 1,000 copies</u> (2)
(a) Complete Cover..... per complete cover.....	\$ _____	\$ _____
(b) Basic 112-page section..... per section.....	\$ _____	\$ _____
(c) 16-page signature ..... per signature.....	\$ _____	\$ _____
(d) 8-page signature ..... per signature.....	\$ _____	\$ _____
(e) 4-page signature ..... per signature.....	\$ _____	\$ _____

For informational purposes only, the bidder must state the administrative cost of preparing and implementing the drop-shipment plans, processing the addresses through NCOA and DSF<sup>2</sup>, and any other mail processing services required by the specifications stated above for all items combined and included in the above bid prices.

.....\$ \_\_\_\_\_

NOTE: This cost must be included in the above bid prices and is not reimbursable.

The number of text pages stated herein are estimates only and may increase or decrease for any one or all of the items at the time the final PDF files for the variable pages are made available to the printer. In the event text page count changes do occur, the contractor will not be allowed any additional production time, nor will a surcharge be permitted to any of the line item bid prices submitted (See “ALLOWABLE CHARGES” specified herein).

Transportation charges are not a factor in determining award. However, bidder must state in the bid, the location (city and state) of the plant(s) from which this product will be shipped with approximate quantities for each plant on page 39. If shipment is not made from this location, contractor may be responsible for any additional shipping costs incurred. The bidder must also provide the name and location (city and state) of any subcontractors that will be used. Allocation of lots after award will be based upon price and location.

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(Initials)

**SCHEDULE OF PRICES FOR SIX LOTS (Prices offered are based on printing 26,400,000 copies (six lots)):**

Prices offered shall include the cost of all required materials and operations for each item listed necessary for the complete production and distribution of the product listed in accordance with these specifications. Prices for additional quantities must be based on a continuing run, exclusive of all basic or preliminary charges and will not be a factor for determination of award.

Before an offer will be considered for six lots, an offer for one lot, two lots, three lots, four lots, and five lots must be submitted. The DETERMINATION OF AWARD figures on Page 27 will be multiplied by 6 for the prices offered for six lots with the exception of line item (b)(1), which will remain 1.

**NOTE: Contractor will only be allowed one makeready charge for each item regardless of the number of plants used to produce the product or the number of awarded lots. Contractor’s billing invoice must be itemized in accordance with the line items in the “SCHEDULE OF PRICES” for each state.**

The bidder must make an entry in each of the spaces provided.

	<u>Makeready and/or Setup</u> (1)	<u>Running Per 1,000 copies</u> (2)
(a) Complete Cover..... per complete cover.....	\$ _____	\$ _____
(b) Basic 112-page section..... per section.....	\$ _____	\$ _____
(c) 16-page signature ..... per signature.....	\$ _____	\$ _____
(d) 8-page signature ..... per signature.....	\$ _____	\$ _____
(e) 4-page signature ..... per signature.....	\$ _____	\$ _____

For informational purposes only, the bidder must state the administrative cost of preparing and implementing the drop-shipment plans, processing the addresses through NCOA and DSF<sup>2</sup>, and any other mail processing services required by the specifications stated above for all items combined and included in the above bid prices.

.....\$ \_\_\_\_\_

NOTE: This cost must be included in the above bid prices and is not reimbursable.

The number of text pages stated herein are estimates only and may increase or decrease for any one or all of the items at the time the final PDF files for the variable pages are made available to the printer. In the event text page count changes do occur, the contractor will not be allowed any additional production time, nor will a surcharge be permitted to any of the line item bid prices submitted (See “ALLOWABLE CHARGES” specified herein).

Transportation charges are not a factor in determining award. However, bidder must state in the bid, the location (city and state) of the plant(s) from which this product will be shipped with approximate quantities for each plant on page 39. If shipment is not made from this location, contractor may be responsible for any additional shipping costs incurred. The bidder must also provide the name and location (city and state) of any subcontractors that will be used. Allocation of lots after award will be based upon price and location.

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 (Initials)

**SCHEDULE OF PRICES FOR SEVEN LOTS (Prices offered are based on printing 30,800,000 copies (seven lots)):**

Prices offered shall include the cost of all required materials and operations for each item listed necessary for the complete production and distribution of the product listed in accordance with these specifications. Prices for additional quantities must be based on a continuing run, exclusive of all basic or preliminary charges and will not be a factor for determination of award.

Before an offer will be considered for seven lots, an offer for one lot, two lots, three lots, four lots, five lots, and six lots must be submitted. The DETERMINATION OF AWARD figures on Page 27 will be multiplied by 7 for the prices offered for seven lots with the exception of line item (b)(1), which will remain 1.

**NOTE: Contractor will only be allowed one makeready charge for each item regardless of the number of plants used to produce the product or the number of awarded lots. Contractor’s billing invoice must be itemized in accordance with the line items in the “SCHEDULE OF PRICES” for each state.**

The bidder must make an entry in each of the spaces provided.

	<u>Makeready and/or Setup</u> (1)	<u>Running Per 1,000 copies</u> (2)
(a) Complete Cover..... per complete cover.....	\$ _____	\$ _____
(b) Basic 112-page section..... per section.....	\$ _____	\$ _____
(c) 16-page signature ..... per signature.....	\$ _____	\$ _____
(d) 8-page signature ..... per signature.....	\$ _____	\$ _____
(e) 4-page signature ..... per signature.....	\$ _____	\$ _____

For informational purposes only, the bidder must state the administrative cost of preparing and implementing the drop-shipment plans, processing the addresses through NCOA and DSF<sup>2</sup>, and any other mail processing services required by the specifications stated above for all items combined and included in the above bid prices.

.....\$ \_\_\_\_\_

NOTE: This cost must be included in the above bid prices and is not reimbursable.

The number of text pages stated herein are estimates only and may increase or decrease for any one or all of the items at the time the final PDF files for the variable pages are made available to the printer. In the event text page count changes do occur, the contractor will not be allowed any additional production time, nor will a surcharge be permitted to any of the line item bid prices submitted (See “ALLOWABLE CHARGES” specified herein).

Transportation charges are not a factor in determining award. However, bidder must state in the bid, the location (city and state) of the plant(s) from which this product will be shipped with approximate quantities for each plant on page 39. If shipment is not made from this location, contractor may be responsible for any additional shipping costs incurred. The bidder must also provide the name and location (city and state) of any subcontractors that will be used. Allocation of lots after award will be based upon price and location.

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(Initials)

**SCHEDULE OF PRICES FOR EIGHT LOTS (Prices offered are based on printing 35,200,000 copies (eight lots)):**

Prices offered shall include the cost of all required materials and operations for each item listed necessary for the complete production and distribution of the product listed in accordance with these specifications. Prices for additional quantities must be based on a continuing run, exclusive of all basic or preliminary charges and will not be a factor for determination of award.

Before an offer will be considered for eight lots, an offer for one lot, two lots, three lots, four lots, five lots, six lots, and seven lots must be submitted. The DETERMINATION OF AWARD figures on Page 27 will be multiplied by 8 for the prices offered for eight lots with the exception of line item (b)(1), which will remain 1.

**NOTE: Contractor will only be allowed one makeready charge for each item regardless of the number of plants used to produce the product or the number of awarded lots. Contractor’s billing invoice must be itemized in accordance with the line items in the “SCHEDULE OF PRICES” for each state.**

The bidder must make an entry in each of the spaces provided.

	<u>Makeready and/or Setup</u> (1)	<u>Running Per 1,000 copies</u> (2)
(a) Complete Cover..... per complete cover.....	\$ _____	\$ _____
(b) Basic 112-page section..... per section.....	\$ _____	\$ _____
(c) 16-page signature ..... per signature.....	\$ _____	\$ _____
(d) 8-page signature ..... per signature.....	\$ _____	\$ _____
(e) 4-page signature ..... per signature.....	\$ _____	\$ _____

For informational purposes only, the bidder must state the administrative cost of preparing and implementing the drop-shipment plans, processing the addresses through NCOA and DSF<sup>2</sup>, and any other mail processing services required by the specifications stated above for all items combined and included in the above bid prices.

.....\$ \_\_\_\_\_

NOTE: This cost must be included in the above bid prices and is not reimbursable.

The number of text pages stated herein are estimates only and may increase or decrease for any one or all of the items at the time the final PDF files for the variable pages are made available to the printer. In the event text page count changes do occur, the contractor will not be allowed any additional production time, nor will a surcharge be permitted to any of the line item bid prices submitted (See “ALLOWABLE CHARGES” specified herein).

Transportation charges are not a factor in determining award. However, bidder must state in the bid, the location (city and state) of the plant(s) from which this product will be shipped with approximate quantities for each plant on page 39. If shipment is not made from this location, contractor may be responsible for any additional shipping costs incurred. The bidder must also provide the name and location (city and state) of any subcontractors that will be used. Allocation of lots after award will be based upon price and location.

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(Initials)

**SCHEDULE OF PRICES FOR NINE LOTS (Prices offered are based on printing 39,600,000 copies (nine lots)):**

Prices offered shall include the cost of all required materials and operations for each item listed necessary for the complete production and distribution of the product listed in accordance with these specifications. Prices for additional quantities must be based on a continuing run, exclusive of all basic or preliminary charges and will not be a factor for determination of award.

Before an offer will be considered for nine lots, an offer for one lot, two lots, three lots, four lots, five lots, six lots, seven lots, and eight lots must be submitted. The DETERMINATION OF AWARD figures on Page 27 will be multiplied by 9 for the prices offered for nine lots with the exception of line item (b)(1), which will remain 1.

**NOTE: Contractor will only be allowed one makeready charge for each item regardless of the number of plants used to produce the product or the number of awarded lots. Contractor’s billing invoice must be itemized in accordance with the line items in the “SCHEDULE OF PRICES” for each state.**

The bidder must make an entry in each of the spaces provided.

	<u>Makeready and/or Setup</u> (1)	<u>Running Per 1,000 copies</u> (2)
(a) Complete Cover..... per complete cover.....	\$ _____	\$ _____
(b) Basic 112-page section..... per section.....	\$ _____	\$ _____
(c) 16-page signature ..... per signature.....	\$ _____	\$ _____
(d) 8-page signature ..... per signature.....	\$ _____	\$ _____
(e) 4-page signature ..... per signature.....	\$ _____	\$ _____

For informational purposes only, the bidder must state the administrative cost of preparing and implementing the drop-shipment plans, processing the addresses through NCOA and DSF<sup>2</sup>, and any other mail processing services required by the specifications stated above for all items combined and included in the above bid prices.

.....\$ \_\_\_\_\_

NOTE: This cost must be included in the above bid prices and is not reimbursable.

The number of text pages stated herein are estimates only and may increase or decrease for any one or all of the items at the time the final PDF files for the variable pages are made available to the printer. In the event text page count changes do occur, the contractor will not be allowed any additional production time, nor will a surcharge be permitted to any of the line item bid prices submitted (See “ALLOWABLE CHARGES” specified herein).

Transportation charges are not a factor in determining award. However, bidder must state in the bid, the location (city and state) of the plant(s) from which this product will be shipped with approximate quantities for each plant on page 39. If shipment is not made from this location, contractor may be responsible for any additional shipping costs incurred. The bidder must also provide the name and location (city and state) of any subcontractors that will be used. Allocation of lots after award will be based upon price and location.

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

**SCHEDULE OF PRICES FOR TEN LOTS (Prices offered are based on printing 44,000,000 copies (10 lots)):**

Prices offered shall include the cost of all required materials and operations for each item listed necessary for the complete production and distribution of the product listed in accordance with these specifications. Prices for additional quantities must be based on a continuing run, exclusive of all basic or preliminary charges and will not be a factor for determination of award.

Before an offer will be considered for ten lots, an offer for one lot, two lots, three lots, four lots, five lots, six lots, seven lots, eight lots, and nine lots must be submitted. The DETERMINATION OF AWARD figures on Page 27 will be multiplied by 10 for the prices offered for ten lots with the exception of line item (b)(1), which will remain 1.

**NOTE: Contractor will only be allowed one makeready charge for each item regardless of the number of plants used to produce the product or the number of awarded lots. Contractor’s billing invoice must be itemized in accordance with the line items in the “SCHEDULE OF PRICES” for each state.**

The bidder must make an entry in each of the spaces provided.

	<u>Makeready and/or Setup</u> (1)	<u>Running Per 1,000 copies</u> (2)
(a) Complete Cover..... per complete cover.....	\$ _____	\$ _____
(b) Basic 112-page section..... per section.....	\$ _____	\$ _____
(c) 16-page signature ..... per signature.....	\$ _____	\$ _____
(d) 8-page signature ..... per signature.....	\$ _____	\$ _____
(e) 4-page signature ..... per signature.....	\$ _____	\$ _____

For informational purposes only, the bidder must state the administrative cost of preparing and implementing the drop-shipment plans, processing the addresses through NCOA and DSF<sup>2</sup>, and any other mail processing services required by the specifications stated above for all items combined and included in the above bid prices.

.....\$ \_\_\_\_\_

NOTE: This cost must be included in the above bid prices and is not reimbursable.

The number of text pages stated herein are estimates only and may increase or decrease for any one or all of the items at the time the final PDF files for the variable pages are made available to the printer. In the event text page count changes do occur, the contractor will not be allowed any additional production time, nor will a surcharge be permitted to any of the line item bid prices submitted (See “ALLOWABLE CHARGES” specified herein).

Transportation charges are not a factor in determining award. However, bidder must state in the bid, the location (city and state) of the plant(s) from which this product will be shipped with approximate quantities for each plant on page 39. If shipment is not made from this location, contractor may be responsible for any additional shipping costs incurred. The bidder must also provide the name and location (city and state) of any subcontractors that will be used. Allocation of lots after award will be based upon price and location.

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



**ALLOWABLE CHARGES:** Charges will be allowed only on the basis of that combination of one basic section plus or minus such other signatures as may be required which proves to be the most economical to the Federal Government, based on the prices submitted with the contractor’s bid. **EXCEPTION:** Unless otherwise specified, no more than three blank pages will be permitted at the end of the text.

**EXAMPLES:** Basic 112-Page Section Pricing: If the basic (fixed) section page count is in excess of plus or minus 16 pages, the basic 112-page section pricing will be changed on the basis of that combination of signature prices that is most economical to the Federal Government. (NOTE: If the basic section page count is other than 112 pages, but within a 16-page difference, the contractor will charge for the basic 112-page section at their originally submitted bid prices for that line item.)

Variable Section Pricing: If the variable section is 12 pages, the variable section price will be calculated by the most economical combination of submitted signature prices, e.g., 8-page plus 4-page signature pricing or three 4-page signature pricing (whichever is most economical to the Federal Government).

In all cases, billing invoices presented to the GPO must reflect the most economical method (to the Federal Government) of production at the prices offered.

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

**NOTE: Contractor is to fill out and submit pages 39 and 40 with their bid(s), for each individual lot they are bidding on, making copies as necessary. Contractor is to indicate clearly the lot number for which each sheet applies to.**

**LOT NUMBER:** \_\_\_\_\_

**SHIPPING LOCATIONS:**

Shipping From: \_\_\_\_\_ Approximate Quantity From This Location: \_\_\_\_\_

Shipping From: \_\_\_\_\_ Approximate Quantity From This Location: \_\_\_\_\_

Shipping From: \_\_\_\_\_ Approximate Quantity From This Location: \_\_\_\_\_

Shipping From: \_\_\_\_\_ Approximate Quantity From This Location: \_\_\_\_\_

Shipping From: \_\_\_\_\_ Approximate Quantity From This Location: \_\_\_\_\_

**SUBCONTRACTORS:**

Name: \_\_\_\_\_ Role: \_\_\_\_\_ City and State: \_\_\_\_\_

Name: \_\_\_\_\_ Role: \_\_\_\_\_ City and State: \_\_\_\_\_

Name: \_\_\_\_\_ Role: \_\_\_\_\_ City and State: \_\_\_\_\_

Name: \_\_\_\_\_ Role: \_\_\_\_\_ City and State: \_\_\_\_\_

Name: \_\_\_\_\_ Role: \_\_\_\_\_ City and State: \_\_\_\_\_

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

**DISCOUNTS:** Discounts are offered for payment as follows: \_\_\_\_\_ Percent, \_\_\_\_\_ calendar days. See Article 12 “Discounts” of Solicitation 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 points(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 Name) (GPO Contractor’s Code)

\_\_\_\_\_  
(Street Address)

\_\_\_\_\_  
(City – State – Zip Code)

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

\_\_\_\_\_  
(Printed Name) (Telephone Number)

\_\_\_\_\_  
(Email) (Fax Number)

---

---

**THIS SECTION FOR GPO USE ONLY**

Certified by: \_\_\_\_\_ Date: \_\_\_\_\_ Contracting Officer: \_\_\_\_\_ Date: \_\_\_\_\_  
(Initials) (Initials)

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(At less than 100%)

U.S. DEPARTMENT OF  
HEALTH AND HUMAN SERVICES

Centers for Medicare & Medicaid Services  
7500 Security Boulevard  
Baltimore, Maryland 21244-1850

PRESRT STD  
POSTAGE & FEES  
PAID CMS  
PERMIT NO. G-845

Official Business  
Penalty for Private Use, \$300

CMS Product No. 10050  
September 2013



**JOHN BENEFICIARY**  
**7500 SECURITY BOULEVARD**  
**BALTIMORE MD 21244-1850**

This handbook has special information for Alaska and Hawaii (includes Pacific Territories and Pacific Military).

SHIP for Alaska—Medicare Information Office	1-800-478-6065
SHIP for Guam—Guam Medicare Assistance Program (Guam MAP)	1-671-735-7388
SHIP for Hawaii—Sage PLUS	1-888-875-9229

- Also available in Spanish and alternate formats, including Braille, CD, and Large Print (Standard 18-point font in English and Spanish).
- Moving? Call Social Security at 1-800-772-1213. TTY users should call 1-800-325-0778. If you get RRB benefits, contact the RRB at 1-877-772-5772.

¿Necesita usted una copia de este manual en Español?  
Llame al 1-800-MEDICARE (1-800-633-4227).  
Los usuarios de TTY deberán llamar al 1-877-486-2048.

If you need help in a language other than English or Spanish, call 1-800-MEDICARE and say “Agent.” Then tell the customer service representative the language you speak, so you can get free translation services.



www.medicare.gov  
1-800-MEDICARE (1-800-633-4227)  
TTY 1-877-486-2048



Please note that furnished addresses can be up to eight lines of address information, and it is possible for the address block to use ten lines of data, including bar codes.

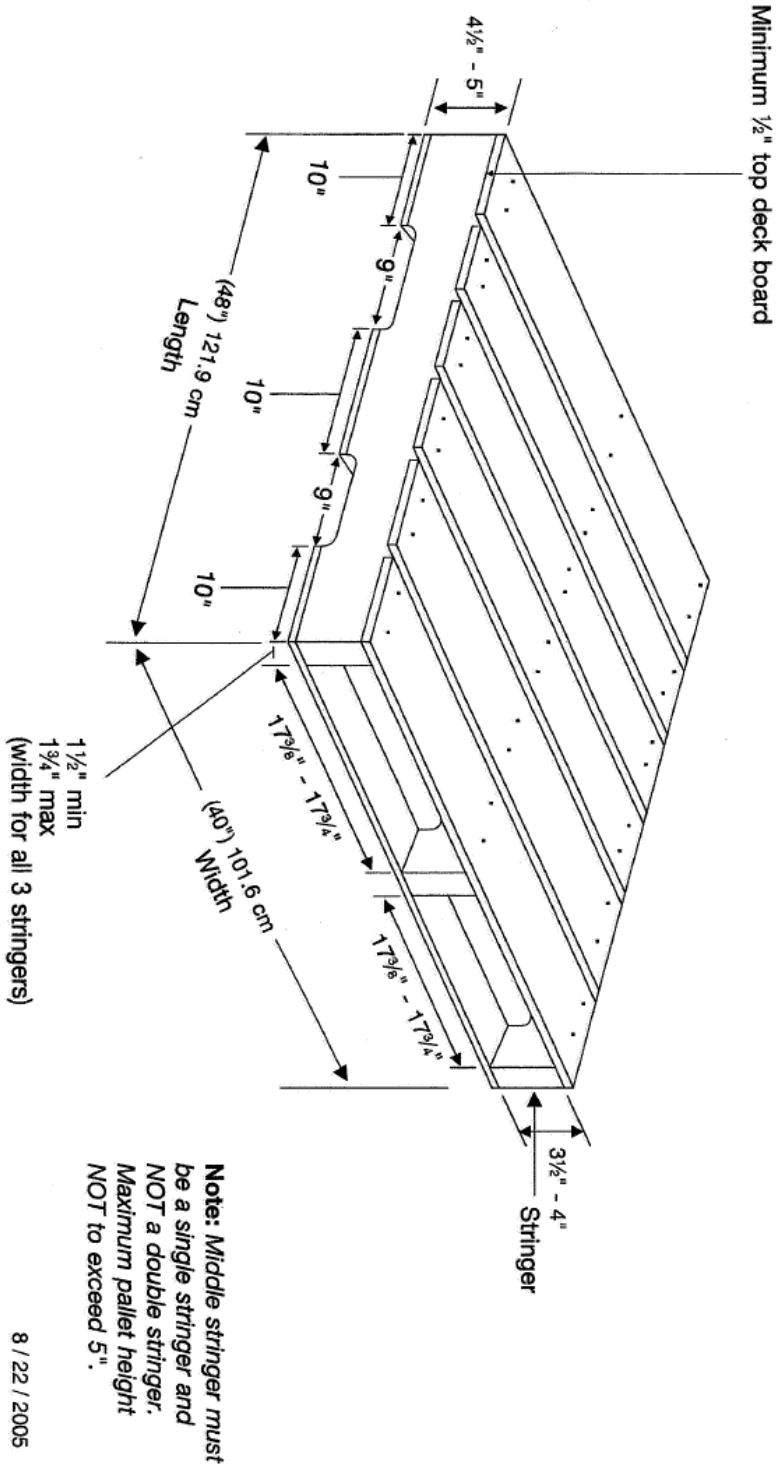
JANE BENEFICIARY  
JOE BENEFICIARY  
MAILSTOP SL-12-16  
SOUTH BUILDING  
7500 SECURITY BOULEVARD  
BALTIMORE, MD 21244-1850

JANE BENEFICIARY  
JOE BENEFICIARY  
MAILSTOP SL-12-16  
SOUTH BUILDING  
DIVISION OF PUBLICATIONS  
7500 SECURITY BOULEVARD  
BALTIMORE, MD 21244-1850

JANE BENEFICIARY  
JOE BENEFICIARY  
BUILDING ENGINEERS  
MAILSTOP SL-12-16  
ADMINISTRATIVE SERVICES GROUP  
SOUTH BUILDING  
7500 SECURITY BOULEVARD  
BALTIMORE, MD 21244-1850

# SINGLE CENTER STRINGER PALLET FOR CMS BULK SHIPMENTS

## CMS Pallet Specifications





U.S. GOVERNMENT PUBLISHING OFFICE  
Keeping America Informed | OFFICIAL | DIGITAL | SECURE

Medicare and You 2019, Jacket \_\_\_\_\_  
Quality Assurance Press Pulls

Dear Contractor:

As indicated in the contract specifications, you are required to provide Random Press Sheet Quality Pulls on this order.

The sheets are to be selected during the run every 20 minutes for all streams being produced. The sheets must be machine time-stamped and signed by the press operator.

At the end of each shift, the samples are to be stored, along with the completed Certificate of Selection form signed by the shift foreman until requested by the inspector.

Sincerely,

A handwritten signature in cursive script that reads "Jamie L. Fowler".

Jamie L. Fowler  
Contracting  
Officer

U.S. GOVERNMENT PUBLISHING OFFICE

**CERTIFICATE OF SELECTION**

OF

**RANDOM PRESS SHEET PULLS PER SHIFT**

SHIFT START TIME STAMP HERE

SHIFT START TIME STAMP HERE

I hereby certify that these random press sheets produced for Medicare & You, Jacket \_\_\_\_\_, have been selected in accordance with the contract specifications by \_\_\_\_\_.

*(Name of Plant and Shift)*

I understand that these random press sheets will be inspected for quality and content according to the contract specifications.

**The penalty for making false statements to the U.S. Government is prescribed in 18 U.S.C. 1001.**

\_\_\_\_\_  
*(Signature of Pressroom Shift Foreman)*

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

\_\_\_\_\_  
*(Printed Name of Pressroom Shift Foreman)*

**Instructions:**

- The contractor must make a press sheet quality pull every 20 minutes, for all streams being produced, according to the contract specifications.
- *The sheets must be time stamped by machine (or hand) and signed by the employee inspecting the sheets.*
- Signed and stamped press pulls, along with this signed certificate, must be filed and released to the inspector upon request.
- All time stamps must be on the face of this form in the spaced allotted and be legible.

**EXHIBIT 1**  
**CMS Clause-11**  
**CMS Information Security**  
**Date: April 2008**  
Page 1 of 2

This clause applies to all organizations which possess or use Federal information, or which operate, use or have access to Federal information systems (whether automated or manual), on behalf of CMS.

The central tenet of the CMS Information Security (IS) Program is that all CMS information and information systems shall be protected from unauthorized access, disclosure, duplication, modification, diversion, destruction, loss, misuse, or theft—whether accidental or intentional. The security safeguards to provide this protection shall be risk-based and business-driven with implementation achieved through a multi-layered security structure. All information access shall be limited based on a least-privilege approach and a need-to-know basis, i.e., authorized user access is only to information necessary in the performance of required tasks. Most of CMS' information relates to the health care provided to the nation's Medicare and Medicaid beneficiaries, and as such, has access restrictions as required under legislative and regulatory mandates.

The CMS IS Program has a two-fold purpose:

- (1) To enable CMS' business processes to function in an environment with commensurate security protections, and
- (2) To meet the security requirements of federal laws, regulations, and directives.

The principal legislation for the CMS IS Program is Public Law (P.L.) 107-347, Title III, *Federal Information Security Management Act of 2002 (FISMA)*, <http://csrc.nist.gov/drivers/documents/FISMA-final.pdf>. FISMA places responsibility and accountability for IS at all levels within federal agencies as well as those entities acting on their behalf. FISMA directs Office of Management and Budget (OMB) through the Department of Commerce, National Institute of Standards and Technology (NIST), to establish the standards and guidelines for federal agencies in implementing FISMA and managing cost-effective programs to protect their information and information systems. As a contractor acting on behalf of CMS, this legislation requires that **the Contractor shall**:

- Establish senior management level responsibility for IS,
- Define key IS roles and responsibilities within their organization,
- Comply with a minimum set of controls established for protecting all Federal information, and
- Act in accordance with CMS reporting rules and procedures for IS.

Additionally, the following laws, regulations and directives and any revisions or replacements of same have IS implications and are applicable to all CMS contractors.

- P.L. 93-579, *The Privacy Act of 1974*, <http://www.usdoj.gov/oip/privstat.htm>, (as amended);
- P.L. 99-474, *Computer Fraud & Abuse Act of 1986*, [www.usdoj.gov/criminal/cybercrime/ccmanual/01ccma.pdf](http://www.usdoj.gov/criminal/cybercrime/ccmanual/01ccma.pdf) P.L. 104-13,



**EXHIBIT 1**  
**CMS Clause-11**  
**CMS Information Security**  
**Date: April 2008**  
Page 2 of 2

- Paperwork Reduction Act of 1978*, as amended in 1995, U.S. Code 44 Chapter 35, [www.archives.gov/federal-register/laws/paperwork-reduction](http://www.archives.gov/federal-register/laws/paperwork-reduction);
- P.L. 104-208, *Clinger-Cohen Act of 1996* (formerly known as the Information Technology Management Reform Act), [http://www.cio.gov/Documents/it\\_management\\_reform\\_act\\_Feb\\_1996.html](http://www.cio.gov/Documents/it_management_reform_act_Feb_1996.html);
  - P.L. 104-191, *Health Insurance Portability and Accountability Act of 1996* (formerly known as the Kennedy-Kassenbaum Act) <http://aspe.hhs.gov/admsimp/pl104191.htm>;
  - OMB Circular No. A-123, *Management's Responsibility for Internal Control*, December 21, 2004, [http://www.whitehouse.gov/omb/circulars/a123/a123\\_rev.html](http://www.whitehouse.gov/omb/circulars/a123/a123_rev.html);
  - OMB Circular A-130, *Management of Federal Information Resources*, Transmittal 4, November 30, 2000, <http://www.whitehouse.gov/omb/circulars/a130/a130trans4.html>;
  - NIST standards and guidance, <http://csrc.nist.gov/>; and,
  - Department of Health and Human Services (DHHS) regulations, policies, standards and guidance <http://www.hhs.gov/policies/index.html>

These laws and regulations provide the structure for CMS to implement and manage a cost-effective IS program to protect its information and information systems. Therefore, **the Contractor shall** monitor and adhere to all IT policies, standards, procedures, directives, templates, and guidelines that govern the CMS IS Program, <http://www.cms.hhs.gov/informationsecurity> and the CMS System Lifecycle Framework, <http://www.cms.hhs.gov/SystemLifecycleFramework>.

**The Contractor shall** comply with the CMS IS Program requirements by performing, but not limited to, the following:

- Implement their own IS program that adheres to CMS IS policies, standards, procedures, and guidelines, as well as industry best practices;
- Participate and fully cooperate with CMS IS audits, reviews, evaluations, tests, and assessments of contractor systems, processes, and facilities;
- Provide upon request results from any other audits, reviews, evaluations, tests and/or assessments that involve CMS information or information systems;
- Report and process corrective actions for all findings, regardless of the source, in accordance with CMS procedures;
- Document its compliance with CMS security requirements and maintain such documentation in the systems security profile;
- Prepare and submit in accordance with CMS procedures, an incident report to CMS of any suspected or confirmed incidents that may impact CMS information or information systems; and
- Participate in CMS IT information conferences as directed by CMS.

**CMS Clause-09A-01**  
**Security Clause – New Contract Awards**  
**Date: May 2007**  
Page 1 of 5

**CMS SPECIFIC PROVISIONS FOR ALL NEW SOLICITATIONS AND CONTRACTS:**

**Security Clause -Background - Investigations for Contractor Personnel**

If applicable, Contractor personnel performing services for CMS under this contract, task order or delivery order shall be required to undergo a background investigation. CMS will initiate and pay for any required background investigation(s).

After contract award, the CMS Project Officer (PO) and the Security and Emergency Management Group (SEMG), with the assistance of the Contractor, shall perform a position-sensitivity analysis based on the duties contractor personnel shall perform on the contract, task order or delivery order. The results of the position-sensitivity analysis will determine first, whether the provisions of this clause are applicable to the contract and second, if applicable, determine each position's sensitivity level (i.e., high risk, moderate risk or low risk) and dictate the appropriate level of background investigation to be processed. Investigative packages may contain the following forms:

1. SF-85, Questionnaire for Non-Sensitive Positions, 09/1995
2. SF-85P, Questionnaire for Public Trust Positions, 09/1995
3. OF-612, Optional Application for Federal Employment, 12/2002
4. OF-306, Declaration for Federal Employment, 01/2001
5. Credit Report Release Form
6. FD-258, Fingerprint Card, 5/99, and
7. CMS-730A, Request for Physical Access to CMS Facilities (NON-CMS ONLY), 11/2003.

The Contractor personnel shall be required to undergo a background investigation commensurate with one of these position-sensitivity levels:

**1) High Risk (Level 6)**

Public Trust positions that would have a potential for exceptionally serious impact on the integrity and efficiency of the service. This would include computer security of a major automated information system (AIS). This includes positions in which the incumbent's actions or inaction could diminish public confidence in the integrity, efficiency, or effectiveness of assigned government activities, whether or not actual damage occurs, particularly if duties are especially critical to the agency or program mission with a broad scope of responsibility and authority.

Major responsibilities that would require this level include:

- a. development and administration of CMS computer security programs, including direction and control of risk analysis and/or threat assessment;

**CMS Clause-09A-01**  
**Security Clause – New Contract Awards**

**Date: May 2007**

Page 2 of 5

- b. significant involvement in mission-critical systems;
- c. preparation or approval of data for input into a system which does not necessarily involve personal access to the system but with relatively high risk of causing grave damage or realizing significant personal gain;
- d. other responsibilities that involve relatively high risk of causing damage or realizing personal gain;
- e. policy implementation;
- f. higher level management duties/assignments or major program responsibility; or
- g. independent spokespersons or non-management position with authority for independent action.

**2) Moderate Risk (Level 5)**

Level 5 Public Trust positions include those involving policymaking, major program responsibility, and law enforcement duties that are associated with a “Moderate Risk.” Also included are those positions involving access to or control of unclassified sensitive, proprietary information, or financial records, and those with similar duties through which the incumbent can realize a significant personal gain or cause serious damage to the program or Department.

Responsibilities that would require this level include:

- a. the direction, planning, design, operation, or maintenance of a computer system and whose work is technically reviewed by a higher authority at the High Risk level to ensure the integrity of the system;
- b. systems design, operation, testing, maintenance, and/or monitoring that are carried out under the technical review of a higher authority at the High Risk level;
- c. access to and/or processing of information requiring protection under the Privacy Act of 1974;
- d. assists in policy development and implementation;
- e. mid-level management duties/assignments;
- f. any position with responsibility for independent or semi-independent action; or
- g. delivery of service positions that demand public confidence or trust.

**3) Low Risk (Level 1)**

Positions having the potential for limited interaction with the agency or program mission, so the potential for impact on the integrity and efficiency of the service is small. This includes computer security impact on AIS.

The Contractor shall submit the investigative package(s) to SEMG within three (3) days after being advised by the SEMG of the need to submit packages. Investigative packages shall be submitted to the following address:

**CMS Clause-09A-01**  
**Security Clause – New Contract Awards**  
**Date: May 2007**  
Page 3 of 5

Centers for Medicare & Medicaid Services  
Office of Operations Management  
Security and Emergency Management Group  
Mail Stop SL-13-15  
7500 Security Boulevard  
Baltimore, Maryland 21244-1850

The Contractor shall submit a copy of the transmittal letter to the Contracting Officer (CO).

Contractor personnel shall submit a CMS-730A (Request for Badge) to the SEMG (see attachment in Section J). The Contractor and the PO shall obtain all necessary signatures on the CMS-730A prior to any Contractor employee arriving for fingerprinting and badge processing.

The Contractor must appoint a Security Investigation Liaison as a point of contact to resolve any issues of inaccurate or incomplete form(s). Where personal information is involved, SEMG may need to contact the contractor employee directly. The Security Investigation Liaison may be required to facilitate such contact.

SEMG will fingerprint contractor personnel and send their completed investigative package to the Office of Personnel Management (OPM). OPM will conduct the background investigation. Badges will not be provided by SEMG until acceptable finger print results are received; until then the contractor employee will be considered an escorted visitor. The Contractor remains fully responsible for ensuring contract, task order or delivery order performance pending completion of background investigations of contractor personnel.

SEMG shall provide written notification to the CO with a copy to the PO of all suitability decisions. The PO shall then notify the Contractor in writing of the approval of the Contractor's employee(s), at that time the Contractor's employee(s) will receive a permanent identification badge. Contractor personnel who the SEMG determines to be ineligible may be required to cease working on the contract immediately.

The Contractor shall report immediately in writing to SEMG with copies to the CO and the PO, any adverse information regarding any of its employees that may impact their ability to perform under this contract, task order or delivery order. Reports should be based on reliable and substantiated information, not on rumor or innuendo. The report shall include the contractor employee's name and social security number, along with the adverse information being reported.

Contractor personnel shall be provided an opportunity to explain or refute unfavorable information found in an investigation to SEMG before an adverse adjudication is made. Contractor personnel may request, in writing, a copy of their own investigative results by contacting:

**CMS Clause-09A-01**  
**Security Clause – New Contract Awards**  
**Date: May 2007**  
Page 4 of 5

Office of Personnel Management  
Freedom of Information  
Federal Investigations Processing Center  
PO Box 618  
Boyers, PA 16018-0618.

At the Agency's discretion, if an investigated contractor employee leaves the employment of the contractor, or otherwise is no longer associated with the contract, task order, or delivery order within one (1) year from the date the background investigation was initiated by CMS, then the Contractor may be required to reimburse CMS for the full cost of the investigation. The amount to be paid by the Contractor shall be due and payable when the CO submits a written letter notifying the Contractor as to the cost of the investigation. The Contractor shall pay the amount due within thirty (30) days of the date of the CO's letter by check made payable to the "United States Treasury." The Contractor shall provide a copy of the CO's letter as an attachment to the check and submit both to the Office of Financial Management at the following address:

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

The Contractor must immediately provide written notification to SEMG (with copies to the CO and the PO) of all terminations or resignations of Contractor personnel working on this contract, task order or delivery order. The Contractor must also notify SEMG (with copies to the CO and the PO) when a Contractor's employee is no longer working on this contract, task order or delivery order.

At the conclusion of the contract, task order or delivery order and at the time when a contractor employee is no longer working on the contract, task order or delivery order due to termination or resignation, all CMS-issued parking permits, identification badges, access cards, and/or keys must be promptly returned to SEMG. Contractor personnel who do not return their government-issued parking permits, identification badges, access cards, and/or keys within 48 hours of the last day of authorized access shall be permanently barred from the CMS complex and subject to fines and penalties authorized by applicable federal and State laws.

#### Work Performed Outside the United States and its Territories

The contractor, and its subcontractors, shall not perform any activities under this contract at a location outside of the United States, including the transmission of data or other information outside the United States, without the prior written approval of the Contracting Officer. The factors that the Contracting Officer will consider in making a decision to authorize the performance of work outside the United States include, but are not limited to the following:

**CMS Clause-09A-01**  
**Security Clause – New Contract Awards**  
**Date: May 2007**  
Page 5 of 5

1. All contract terms regarding system security
2. All contract terms regarding the confidentiality and privacy requirements for information and data protection
3. All contract terms that are otherwise relevant, including the provisions of the statement of work
4. Corporate compliance
5. All laws and regulations applicable to the performance of work outside the United States
6. The best interest of the United States

In requesting the Contracting Officer's authorization to perform work outside the United States, the contractor must demonstrate that the performance of the work outside the United States satisfies all of the above factors. If, in the Contracting Officer's judgment, the above factors are not fully satisfied, the performance of work outside the United States will not be authorized. Any approval to employ or outsource work outside of the United States must have the concurrence of the CMS SEMG Director or designee.

**GPO Exhibit 3**  
**FAQ Supplement to CMS Security Clause 09A-01**  
**Date: April 4, 2008**  
Page 1 of 3

CMS Security Clause 09A-01 is a mandatory clause required in all CMS contracts that require background investigations. This Frequently Asked Questions (FAQ) Supplement provides additional information specific to CMS print/mail contracts.

**Acronyms**

CMS – Centers for Medicare & Medicaid Services, Department of Health and Human Services  
OMB – Office of Management and Budget, Executive Office of the President  
OPM – United States Office of Personnel Management  
PO – CMS Project Officer  
PS – CMS Printing Specialist  
PSC -- Program Support Center, Department of Health and Human Services  
PII – Personally Identifiable Information (i.e. beneficiary name and address)  
PIV – Personal Identity Verification  
SEMG – CMS Security & Emergency Management Group

**Who must apply for and receive a background investigation?**

Contractor personnel with access to CMS' beneficiary PII under this contract *may be* required to undergo a background investigation. At a minimum, the two applicants for access to the Gentran mailbox *must* undergo a background investigation anticipated to be at a Public Trust Level 5. Depending on the outcome of the Preaward Security Survey and/or discussion at the Postaward Conference, additional contractor employees and/or subcontractors may be required to undergo background investigations. It is possible that everyone with access to the data processing and production areas, including janitors and maintenance technicians, must undergo a background investigation. SEMG and the PO will make this determination at the Postaward Conference.

**Will production employees working on a different production line in the same room be subject to a CMS investigation? Even if they aren't working on a CMS job?**

That will be determined by SEMG and the PO at the Postaward Conference. Depending on the sensitivity of the CMS job, it may be necessary to perform a background investigation on everyone with access to all work areas that contain CMS PII during performance of this contract. However, if the production line running the CMS job has limited and controlled access from other production lines, then workers outside of this area would not be subject to a CMS investigation.

**What is a Security Investigation Liaison?**

The contractor must appoint a Security Investigation Liaison to handle confidential personnel issues that may arise at any point during the background investigation process, and to serve as a point of contact to the Government for background investigation issues. The Liaison's duties will include attending the Postaward Conference, submitting background applications timely, and resolving any issues of inaccurate or incomplete data supplied by background investigation applicants. Where personal information is involved, SEMG may need to contact the background investigation applicant directly. The Security Investigation Liaison may be required to facilitate such contact. It is up to the contractor to decide if this should be the same or a different person who handles technical issues.

**GPO Exhibit 3**  
**FAQ Supplement to CMS Security Clause 09A-01**  
**Date: April 4, 2008**  
Page 2 of 3

**Where may I find copies of the forms listed in CMS Security Clause 09A-01?**

Forms SF-85, SF-85P, OF-612, and OF-306 can be found on: [www.forms.gov](http://www.forms.gov). However, applicants may not actually fill out these forms. These forms are listed for the similar data to be collected through “e-QIP” an online background investigation application process; more about that later in this FAQ.

The Credit Report Release Form and the FD-258 Fingerprint Card will be provided if deemed applicable at the Postaward Conference.

Form CMS-730A is provided as an attachment to this contract, contractor may reproduce as necessary at no cost to the Government. Contractor must submit a completed CMS-730A for each background investigation applicant to the PS within 5 workdays after notification by the PS. Original signatures are required on this form; therefore, photocopied signatures or fax transmission is not acceptable.

The Contractor is also required to submit a PIV Spreadsheet listing all background investigation applicants. This Microsoft Excel spreadsheet will be provided to the contractor by the PS after the Postaward Conference. The PIV Spreadsheet collects the following information for each background investigation applicant: SSN, Last Name, First Name, Middle Name, Suffix, Birth Date, City of Birth, County of Birth, Country of Birth, E-mail Address, Home Phone, Previous Federal Government Background Investigations Performed, and Contracting Firm.

Send completed forms to the PS; not to the SEMG address listed on page 3 of the attached CMS Clause-09A-01. As soon as the completed forms are prepared for shipment, the contractor must e-mail transmittal information (carrier, tracking numbers, estimated time of arrival at CMS) to the PS. Email addresses will be provided at the Postaward Conference.

**What is “e-QIP”?**

E-QIP is a secure internet website sponsored by OPM for submission of background investigation application information. After receipt of the properly completed CMS-730A forms and PIV spreadsheet, SEMG will notify Contractor’s Security Liaison that background investigation applicants are invited to enter “e-QIP”. Background investigation applicants will have a 14 calendar day window to complete the e-QIP online submission. The information requested in e-QIP is similar to Forms SF-85 and SF-85P. OMB has estimated the time to complete the e-QIP application takes an average of 120 minutes. At time of e-QIP invitation notification, SEMG will also notify the Security Liaison if paper copies of Forms OF-612 and OF-306 must also be submitted by the applicants within the same 14 day window. Potential bidders may find additional information about e-QIP on the internet at: <http://www.opm.gov/e-qip/>.

**Why do I have to fill out a “Request for Physical Access to CMS Facilities” form?**

While it is not anticipated that any contractor personnel will need physical access to CMS property, Form CMS-730A is also used to authorize CMS to perform a background investigation and to certify receipt of Privacy Act information by the applicant. Failure to provide a completed Form CMS-730A will cause a denial of access to CMS computer systems.

**Why do I have to travel to CMS Central Office for fingerprinting?**

CMS prefers to process electronic fingerprints generated in CMS or PSC offices. Electronic fingerprinting services are available at no cost at the CMS Central Office in Baltimore, and for a



**GPO Exhibit 3**  
**FAQ Supplement to CMS Security Clause 09A-01**  
**Date: April 4, 2008**  
Page 3 of 3

fee at each of the regional PSC offices. PSC offices are located in downtown Federal buildings in the following cities: Boston, New York City, Philadelphia, Atlanta, Chicago, Dallas, Kansas City, Denver, San Francisco, and Seattle. Information regarding PSC locations, hours, fees, and procedures may be obtained by emailing: [security@psc.hhs.gov](mailto:security@psc.hhs.gov).

If the contractor is unable to go to the above locations for electronic fingerprints, CMS will allow the contractor to obtain ink fingerprints (non-electronic) from their local police department. **Two sets** of ink fingerprints on FD-258 hard cards must be submitted to CMS directly from the police department. CMS will supply the contractor with blank FD-258 hard cards and a self addressed, stamped Priority Mail envelope for the contractor to give the police department for return of the fingerprint cards to CMS.

At the Postaward Conference, the contractor must be prepared to discuss where fingerprints will be obtained.

**A number of my employees have undergone background checks by another Federal agency. Do they have to repeat the process for CMS?**

That will be decided by SEMG and the PO at the Postaward Conference. If the employee performs a duty that requires a background investigation, and they have had a background investigation successfully performed by another Federal entity within the last year, then they may not have to repeat the entire process. That employee will still have to submit a CMS-730A and be listed on a PIV spreadsheet.

**What happens if I don't report terminations, resignations, or adverse information of cleared people? If I do, you are going to charge me up to \$2,900 for the cost of the investigation.**

The person assigned the User ID, and the contractor's company, remains responsible for all data collected via the Gentrans mailbox. Failure to report terminations and resignations could result in this contract being terminated for default.

Reporting of adverse information will be investigated by SEMG and handled appropriately considering the nature of the adverse information. It is possible the User ID may be terminated immediately and the contractor may have to initiate clearance for another employee.

**Is the investigation good for the entire term of the contract, including all option years?**

Access to the Gentrans mailbox must be renewed annually or the User ID will be revoked. The CMS-730A and PIV spreadsheet must also be submitted annually. Fingerprinting and entering data into e-QIP should only occur once unless there are changes to the employee's record that necessitate updates.

**Is it possible that I can perform work outside the United States and its Territories?**

No, not on contracts for CMS print/mail requirements.

## Secure One HHS

### Information Security Program Rules of Behavior

The *HHS Rules of Behavior* (HHS Rules) provides common rules on the appropriate use of all HHS technology resources and information<sup>1</sup> for Department users, including federal employees, interns and contractors. The HHS rules work in conjunction with the *HHS-OCIO-2006-0001, Policy for Personal Use of Information Technology Resources*, dated February 17, 2006, and are issued under the authority of the *HHS-OCIO-2007-0002, Policy for Department-wide Information Security*, dated September 25, 2007. Both references may be found at URL: <http://www.hhs.gov/ocio/policy/index.html>.

All users of Department technology, resources, and, information must read these rules and sign the accompanying acknowledgement form before accessing Department data/information, systems and/or networks. This acknowledgement must be signed annually, preferably as part of Information Security Awareness Training, to reaffirm knowledge of and agreement to adhere to the HHS rules. The HHS rules may be presented to the user in writing or electronically, and the user's acknowledgement may be obtained by written or electronic signature. Each Operating Division (OPDIV) Chief Information Officer (CIO) shall determine how signatures are to be submitted, retained, and recorded<sup>2</sup>; and may append any necessary information or fields to the signature page. For electronic signatures, the specific version number of the HHS rules must be retained along with the date, and sufficient identifying information to uniquely link the signer to his or her corresponding information system accounts. Electronic copies of the signed Signature Page may be retained in lieu of the original. Each OPDIV CIO shall ensure that information system and information access is prohibited in the absence of a valid, signed HHS rules from each user.

Each HHS OPDIV may require user certification to policies and requirements, more restrictive than the rules prescribed herein, for the protection of OPDIV information and systems.

Furthermore, supplemental rules of behavior may be created for systems which require users to comply with rules beyond those contained in the HHS Rules. In such cases, users must additionally sign these supplemental rules of behavior prior to receiving access to these systems, and must comply with any ongoing requirements of each individual system to retain access (such as re-acknowledging the system-specific rules by signature each year). System owners shall document system-specific rules of behavior and any recurring requirement to sign them in the System Security Plan for their systems. Each OPDIV CIO shall implement a process to obtain and retain the signed rules for such systems and shall ensure that user access to their information is prohibited without a signed, system-specific rules and a signed HHS Rules.

National security systems, as defined by the Federal Information Security Management Act (FISMA), must independently or collectively, implement their own system-specific rules.

These HHS Rules apply to both the local and remote use of HHS information (in both electronic and physical forms) and information systems by any individual.

- Information and system use must comply with Department and OPDIV policies and standards, and with applicable laws.
- Use for other than official, assigned duties is subject to the *HHS-OCIO-2006-0001, Policy for Personal Use of Information Technology Resources*, dated February 17, 2006.

without authorization or appropriate safeguards, as stipulated by the [HHS Encryption Standard for Mobile Devices and Portable Media](#), dated August 21, 2007.

- Knowingly or willingly conceal, remove, mutilate, obliterate, falsify, or destroy information for personal use for self or others. (See 18 U.S.C. 2071)
- Copy or distribute intellectual property—including music, software, documentation, and other copyrighted materials—without permission or license from the copyright owner.
- Modify software without management approval.

The following are prohibited on Government systems per the HHS-OCIO-2006-0001, Policy for Personal Use of Information Technology Resources, dated February 17, 2006:

- Sending or posting obscene or offensive material in messages or forums.
- Sending or forwarding chain letters, e-mail spam, inappropriate messages, or unapproved newsletters and broadcast messages.
- Sending messages supporting political activity restricted under the Hatch Act.
- Conducting any commercial or “for-profit” activity.
- Utilizing peer-to-peer software without OPDIV CIO approval.
- Sending, retrieving, viewing, displaying, or printing sexually explicit, suggestive text or images, or other offensive material.
- Operating unapproved web sites.
- Incurring more than minimal additional expense, such as using non-trivial amounts of storage space or bandwidth for personal files or photos.
- Using the Internet or HHS workstation to play games, visit chat rooms, or gamble.

Users shall ensure the following protections are properly engaged, particularly on non-HHS equipment or equipment housed outside of HHS facilities:

- Use antivirus software with the latest updates.
- On personally-owned systems, use of anti-spyware and personal firewalls.
- For remote access and mobile devices, a time-out function that requires re-authentication after no more than 30 minutes of inactivity.
- Adequate control of physical access to areas containing sensitive information.
- Use of approved encryption to protect sensitive information stored on portable devices or recordable media, including laptops, thumb drives, and external disks; stored on remote or home systems; or transmitted or downloaded via e-mail or remote connections.
- Use of two-factor authentication for remote access to sensitive information.

Users shall ensure that passwords:

- Contain a minimum of eight alphanumeric characters and (when supported by the OPDIV environment) at least one uppercase and one lowercase letter, and one number, and one special character.
- Avoid words found in a dictionary, names, and personal data (e.g., birth dates, addresses, social security numbers, and phone numbers).
- Are changed at least every 90 days, immediately in the event of known or suspected compromise, and immediately upon system installation (e.g. default or vendor-supplied passwords).
- Are not reused until at least six other passwords have been used.
- Are committed to memory, or stored in a secure place.

SIGNATURE PAGE

I have read the *HHS Rules of Behavior* (HHS Rules), version 2008-0001.003S, dated February 12, 2008 and understand and agree to comply with its provisions. I understand that violations of the HHS Rules or information security policies and standards may lead to disciplinary action, up to and including termination of employment; removal or debarment from work on federal contracts or projects; and/or revocation of access to Federal information, information systems, and/or facilities. I understand that exceptions to the HHS Rules must be authorized in advance in writing by the OPDIV Chief Information Officer or his/her designee. I also understand that violation of laws, such as the Privacy Act of 1974, copyright law, and 18 USC 2071, which the HHS Rules draw upon, can result in monetary fines and/or criminal charges that may result in imprisonment.

Signatures: \_\_\_\_\_  
Date Signed: \_\_\_\_\_  
Employee's/User's Name: \_\_\_\_\_  
(Print)

APPROVED BY AND EFFECTIVE  
ON:

\_\_\_\_\_/s/\_\_\_\_\_  
Michael Carleton  
HHS Chief Information Officer

\_\_\_\_\_  
February 12, 2008  
DATE

The record copy is maintained in accordance with GRS 1, 18.a.