

SOLICITATION, OFFER AND AWARD		1. THIS CONTRACT IS A RATED ORDER UNDER DPAS (15 CFR 700)		RATING	PAGE OF PAGES
2. CONTRACT NUMBER	3. SOLICITATION NUMBER	4. TYPE OF SOLICITATION <input type="checkbox"/> SEALED BID (IFB) <input type="checkbox"/> NEGOTIATED (RFP)	5. DATE ISSUED	6. REQUISITION/PURCHASE NUMBER	
7. ISSUED BY		CODE	8. ADDRESS OFFER TO (If other than Item 7)		

NOTE: In sealed bid solicitations "offer" and "offeror" mean "bid" and "bidder".

SOLICITATION

9. Sealed offers in original and _____ copies for furnishing the supplies or services in the Schedule will be received at the place specified in Item 8, or if handcarried, in the depository located in _____ until _____ local time _____ (Hour) _____ (Date)

CAUTION - LATE Submissions, Modifications, and Withdrawals: See Section L, Provision No. 52.214-7 or 52.215-1. All offers are subject to all terms and conditions contained in this solicitation.

10. FOR INFORMATION CALL:	A. NAME	B. TELEPHONE (NO COLLECT CALLS)		C. E-MAIL ADDRESS
		AREA CODE	NUMBER	EXT.

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OFFER (Must be fully completed by offeror)

NOTE: Item 12 does not apply if the solicitation includes the provisions at 52.214-16, Minimum Bid Acceptance Period.

12. In compliance with the above, the undersigned agrees, if this offer is accepted within _____ calendar days (60 calendar days unless a different period is inserted by the offeror) from the date for receipt of offers specified above, to furnish any or all items upon which prices are offered at the price set opposite each item, delivered at the designated point(s), within the time specified in the schedule.

13. DISCOUNT FOR PROMPT PAYMENT <i>(See Section I, Clause No. 52.232-8)</i>	10 CALENDAR DAYS (%)	20 CALENDAR DAYS (%)	30 CALENDAR DAYS (%)	CALENDAR DAYS (%)
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14. ACKNOWLEDGMENT OF AMENDMENTS <i>(The offeror acknowledges receipt of amendments to the SOLICITATION for offerors and related documents numbered and dated):</i>	AMENDMENT NO.	DATE	AMENDMENT NO.	DATE

15A. NAME AND ADDRESS OF OFFEROR	CODE	FACILITY	16. NAME AND TITLE OF PERSON AUTHORIZED TO SIGN OFFER <i>(Type or print)</i>	
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15B. TELEPHONE NUMBER	AREA CODE	NUMBER	EXT.	17. SIGNATURE	18. OFFER DATE
15C. CHECK IF REMITTANCE ADDRESS IS DIFFERENT FROM ABOVE - ENTER SUCH ADDRESS IN SCHEDULE. <input type="checkbox"/>					

AWARD (To be completed by Government)

19. ACCEPTED AS TO ITEMS NUMBERED	20. AMOUNT	21. ACCOUNTING AND APPROPRIATION
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22. AUTHORITY FOR USING OTHER THAN FULL AND OPEN COMPETITION: <input type="checkbox"/> 10 U.S.C. 2304(c)) <input type="checkbox"/> 41 U.S.C. 253(c) ()	23. SUBMIT INVOICES TO ADDRESS SHOWN IN (4 copies unless otherwise specified)
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24. ADMINISTERED BY (If other than Item 7)	25. PAYMENT WILL BE MADE BY
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26. NAME OF CONTRACTING OFFICER (Type or print)	27. UNITED STATES OF AMERICA <i>(Signature of Contracting Officer)</i>	28. AWARD DATE
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SECTION B - SUPPLIES OR SERVICES AND PRICES/COST

B.1. COST OF BASE YEARS AND OPTIONS

The services listed in Section C below of this contract are priced on the basis of a base year and four one-year options. The contractor shall insert prices below for each period of performance listed.

Base Years

0001 Printing Cost _____
0002 Postage Cost _____
0003 Fee (if applicable) _____
Total Base Year Costs and Fee _____

Option Year 1

0001 Printing Cost _____
0002 Postage Cost _____
0003 Fee (if applicable) _____
Total Option Year 1 Costs and Fee _____

Option Year 2

0001 Printing Cost _____
0002 Postage Cost _____
0003 Fee (if applicable) _____
Total Option Year 2 Costs and Fee _____

Option Year 3

0001 Printing Cost _____
0002 Postage Cost _____
0003 Fee (if applicable) _____
Total Option Year 3 Costs and Fee _____

Option Year 4

0001 Printing Cost _____
0002 Postage Cost _____
0003 Fee (if applicable) _____
Total Option Year 4 Costs and Fee _____

Total (Base Years and All Option Years including fee) _____

B.2 TRAVEL

No travel expenses are anticipated. However should the need for travel arise, travel expenses for contractor personnel must have prior Federal Retirement Thrift Investment Board (Agency) approval and will be reimbursed in accordance with FAR 31.205-46, Travel Costs, and in accordance with the Federal Travel Regulations at 41 C.F.R. Part 301.

SECTION C - DESCRIPTION/SPECIFICATIONS/WORK STATEMENT

C.1 Introduction:

The Agency seeks the services of a commercial provider capable of printing and mailing Agency documents, education and marketing materials (high-quality financial statement processing, variably imaged marketing programs and books, enrollment documents, short-run print, tax

forms, PIN mailers, newsletters, etc.) to participants, beneficiaries and third parties using all United States Postal Service (USPS) processes that guarantee lowest bulk mailing discounts.

C.2 Background:

- a. The Agency administers the Thrift Savings Plan (TSP) for Federal employees. The TSP was created by the Federal Employees' Retirement System Act of 1986, codified primarily at 5 U.S.C. § 8351 and §§ 8401-8479. The TSP is a retirement savings and investment plan for Federal civilian employees and members of the uniformed services that offers its participants the same type of savings and tax benefits that are offered under private sector 401(k) plans. The TSP has over 3.5 million participants located in the United States and around the world; TSP assets are valued at over \$152 billion.
- b. Participants receive account statements from the TSP on a quarterly basis. While nearly 88% of participants have exercised the option to access their statements electronically, the remaining 12%, or approximately 540,000 participants still prefer receiving a printed statement via U.S. mail. New participants are added at the rate of approximately 75,000 each quarter. They receive their first statement by mail. Participants also receive Internal Revenue Service (IRS) forms, personal identification number (PIN) mailers, notices, and other communications and marketing-based printed products on both a regular and ad-hoc basis.
- c. The next phase for business communications services is to request proposals from commercial providers to ensure the best support at the lowest cost to the participants and beneficiaries.

C.3 Purpose: This initiative is intended to achieve the following Agency technical, management, cost, and risk mitigation objectives:

- a. Improve printing and mailing throughput;
- b. Increase efficiency;
- c. Reduce costs;
- d. Implement common (documented) workflow methodologies and process controls;
- e. Ensure security and privacy of Agency and participant data;
- f. Utilize robust facility and equipment capacities in support of requirements;
- g. Provide effective management reporting capabilities;
- h. Ensure ready availability of back-up facilities, equipment and personnel, and
- i. Implement uniform, established quality control procedures.

C.4 Scope:

- a. The Agency requires high quality printing and mailing support as described below.
 - 1. Participant Account Statements
 - i) The Agency generates and mails approximately 570,000 printed account statements each quarter (see Attachment B for

additional statistical data). Statements normally include a "TSP Highlights" newsletter insert, and ad-hoc inserts may be included based on Agency requirements. The current statement process is outlined in Attachment A. To fulfill the requirements of this task, the Contractor shall:

- (1) Process all participant statement electronic data through the appropriate USPS certified software (i.e., Finalist, FastForward, Mailer's Choice) to ensure maximum bulk mail discounts.
- (2) Print each statement in duplex format (i.e., 4 page statement prints on 2 sheets of paper).
- (3) Perform periodic production quality review (i.e., every 2,500 printed pages) of all printed materials to ensure quality and accuracy; correct/restart as necessary. The contractor shall allow onsite quality monitoring by Agency representatives during the production run at the Agency's discretion.
- (4) At the Agency's discretion, either:
 - (a) Tri-fold each participant statement (1-12 pages, 1-6 sheets), 8½ x 11, 20# white paper); insert participant statement, along with TSP Highlights (and other inserts, as appropriate) into #10 window envelope; ensure that all multi-page statements remain together; seal envelope, or
 - (b) Propose an alternative methodology (i.e., self mailer) to the Agency for approval.
- (5) Mail (deliver to USPS) by the following mailing deadlines:
 - (a) For quarter ending January 20, or within 10 business days of receipt of print file, December 31 - whichever is sooner.
 - (b) For quarter ending April 20, or within 10 business days of receipt of print file, March 31 - whichever is sooner.
 - (c) For quarter ending July 20, or within 10 business days of receipt of print file, June 30 - whichever is sooner.
 - (d) For quarter ending October 20, or within 10 business days of receipt of print file, September 30 - whichever is sooner.
- (6) Provide the Agency with a detailed report of all mail activity, including:
 - (a) Number of statements mailed.
 - (b) Quality control summary (Error rate, rejects, etc.).
 - (c) Detailed printing invoice.
 - (d) Detailed postage reports and invoice.
- (7) Participants routinely request reprints of quarterly statements through the call center or via online access. These requests are accumulated in the TSP system, and a computer program is run each Thursday to generate the appropriate print file for all pending requests.

- ii) Participants routinely request reprints of quarterly statements through the call centers or via online access. These requests are accumulated in the TSP system, and a computer program is run each Thursday to generate the appropriate print file for all pending requests. Approximately 200 statements are reprinted each week. This weekly reprint will follow the same process already in use for the quarterly statements.
- iii) The Agency is currently in the process of implementing a commercial off the shelf (COTS) software product suite (DOC 1) from Group 1 software to format and add graphics capability to TSP statements. The contractor will be expected to have personnel on staff or immediately available skilled in its use.

2. Change of address postcards

- i) The Agency has a requirement to send reminders to participants who have moved, but have not updated their address of record in the TSP record keeping system. The Agency will provide the contractor with the postcard, which will be a finished size of 4" x 6" of 7 point postcard white stock, coated on both sides. It will be printed on one side in 4-color process with bleeds, and on the other side in a single color, PMS 287. This activity is performed in conjunction with the quarterly statements run, and is defined as follows:
 - (1) Generate the postcard file. The contractor will generate a postcard extract file from the quarterly statements "Fastforward" file run.
 - (2) Address the postcard to participants. The Contractor will imprint the mailing addresses to the postcards. The Contractor will produce a bar code under the address to ensure maximum bulk mail discounts (if applicable).
 - (3) Mail the post cards. The Contractor will provide a postage permit number that will be pre-printed on the postcard. The contractor will process all participant information through the appropriate U.S. Postal Service certified software (e.g., Finalist, FastForward, Mailer's Choice) to ensure maximum bulk mail discounts (when volume qualifies). The contractor will send an invoice to the Agency for the cost of the postage as necessary for the permit deposit.
 - (4) Perform quality review of production and mailing. The Contractor will perform periodic production quality review (i.e., every 500 cards) to ensure quality and accuracy, and correct/restart as necessary.
 - (5) Provide the Agency with a detailed report of all activity. The Contractor's report will include:
 - (a) Number of postcards mailed
 - (b) Quality control summary (error rate, rejects, etc.)
 - (c) Detailed invoice, including bulk mail discounts

3. Internal Revenue Service Forms (IRS Form 1099-R)

- i) The Agency generates and mails approximately 200,000 printed Internal Revenue Service Forms 1099-R each January. The current 1099-R process is outlined in Attachment C. To fulfill the requirements of this task, the Contractor shall:
 - (1) Process all participant electronic data (provided by the Agency) through the appropriate USPS certified software (i.e., Finalist, FastForward, Mailer's Choice) to ensure maximum bulk mail discounts.
 - (2) Print forms in approved IRS format (i.e., duplex, 3-up statements on one side, instructions and mailing address on reverse).
 - (3) Perform periodic production quality review (i.e., every 1,500 printed pages) of all printed materials to ensure quality and accuracy; correct/restart as necessary.
 - (a) The contractor shall allow onsite quality monitoring by Agency representatives during the production run at the Agency's discretion.
 - (4) Package for mailing (self-mailer, envelope, etc.) as coordinated with the Agency) with "Important Tax Documents" placed and printed appropriately on the front of the mailer or envelope.
 - (5) Ensure USPS postmark and mailing (at bulk rate discount) no later than January 25 of the calendar year, or within 5 business days from receipt of Agency data, whichever is sooner.
 - (6) Provide the Agency with a detailed report of all mail activity, including:
 - (a) Number of 1099-R statements mailed.
 - (b) Quality control summary (error rate, rejects, etc.).
 - (c) Detailed printing invoice.
 - (d) Detailed postage reports and invoice.

4. Personal Identification Number (PIN) Mailers

- i) TSP participants can have access to their retirement accounts via the use of account identification and PIN. PIN requests are processed by the Agency on a daily basis. Data is printed in secure, self-mailers with participant name and address on both outside and inside of mailer, and PIN printed and concealed on inside of mailer only.
- ii) The Agency generates and mails approximately 78,000 PIN mailers each month, with potential peaks of 110,000-115,000 mailers per month (~19,000 per week). These highly confidential documents require 100% security and accuracy.

- iii) To fulfill the requirements of this task, the Contractor shall, based on electronic data received daily from the Agency:
- (1) Process all participant data through the appropriate USPS certified software (i.e., Finalist, FastForward, Mailer's Choice) and add appropriate marking (i.e., bar code) to ensure maximum bulk mail discounts (when volume qualifies).
 - (2) Print all PIN self-mailers with:
 - (a) Destination Name/Address on both inside and outside of mailer
 - (b) PIN and date concealed inside mailer with no means of visible access to PIN information without apparent damage to seal/perimeter of mailer.
 - (3) Perform periodic production quality review (i.e., every 500 printed mailers) of all printed materials to ensure quality and accuracy; correct/restart as necessary.
 - (4) Deliver mailers (daily) to appropriate USPS location for mailing within 24 hours of receipt of data from Agency.
 - (5) Provide the Agency with a detailed report of all mail activity, including:
 - (a) Number of PIN Mailers mailed.
 - (b) Quality control summary (error rate, rejects, etc.)
 - (c) Detailed printing invoice.
 - (d) Detailed postage reports and invoice.
- iv) Current PIN Mailers are created using cut sheet 11 x 8-1/2 28# Pressure Seal White N11Z printed 2/2, simplex imaged, Z-folded and sealed for mailing.

5. Notices

- i) Notices (i.e., letters to participants) are generated each business day. Notices may be generated as a result of a participant transaction, a change to information in the participant's account by his or her agency or service, opening of a new account, request for an action, information about upcoming changes, etc. Depending on its purpose, a particular notice may be generated daily (such as confirmations of transactions and new account letters) or periodically (e.g., a notice of a default or to remind participants of an upcoming withdrawal deadline). There are also one-time notices that generally target specific groups of participants. Although most notices are a single page (and a single side), there are some multi-page notices. Many notices also require an enclosure or enclosures. The enclosures may be ready for insertion (i.e., may be pre-printed and pre-folded) or may be printed along with the notice as an additional page(s).

Over a standard 6-month period, the volume of printed notices has ranged between 200,000 to 300,000 each month. However, this volume is generally higher during the last few months of the year and the first month of a new year because of annual information that is sent to participants.

Many notices are time-sensitive in that they have a deadline for response or action; thus, all notices must be mailed timely.

- ii) To fulfill the requirements of this task, the Contractor shall, based on electronic data received daily from the Agency:
 - (1) Process all participant data through the appropriate USPS certified software (i.e., Finalist, FastForward, Mailer's Choice) and add appropriate marking (i.e., bar code) to ensure maximum bulk mail discounts (when volume qualifies).
 - (2) Print all notices.
 - (3) Perform periodic production quality review (i.e., every 500 printed mailers) of all printed materials to ensure quality and accuracy; correct/restart as necessary.
 - (4) Fold, stuff, seal, imprint, and sort for delivery.
 - (5) Deliver mail pieces (daily) to appropriate USPS location for mailing within 24 hours of receipt of data from Agency.
 - (6) Provide the Agency with a detailed report of all mail activity, including:
 - (a) Number of notices mailed.
 - (b) Quality control summary (error rate, rejects, etc.)
 - (c) Detailed printing invoice.
 - (d) Detailed postage reports and invoice.
- iii) Current notices are simplex imaged on cut sheet 11 x 8-1/2 20# stock and are generally mailed in #10 window envelopes.

6. Marketing/Communications

- i) The Agency has a periodic need to develop and distribute print media for the purpose of mass marketing and communications. Requirements under this section range from duplex, single-color newsletters to more complex, multi-color marketing brochures, mailers, booklets, etc. Mailing requirements for these activities may range from several thousand to approximately 3.5 million, depending on the target audience.

7. Ad-hoc Printing & Mailing

- i) In addition to processing "reprints" of statements and other TSP documents on a weekly basis, the requirement may exist to generate and mail special information mailers (e.g. post cards, specialty brochures). Offeror's shall articulate their capabilities (and limitations) associated with small quantity reprints (measured in the dozens or hundreds of units) as well as their ability to respond to special printing and mailing, and bulk mail only requests.

8. Inserts

- i) The FRTIB will provide the necessary inserts for the notices unless otherwise arranged with the contractor (e.g. very small quantities of forms may be locally reproduced). The contractor will be expected to maintain a minimum inventory of inserts.

9. Postal Permits

- i) For this contract, the Offeror will provide the necessary postal permit. The vendor will be responsible for all activities associated with printing and mailing, to include such processes as to ensure the Agency receives maximum bulk mail discounts.

b. Security

- 1. Protection of participant's personal information is of paramount importance, and a central element of the Agency mission. Accordingly, the Contractor shall prepare and deliver (NLT 60 calendar days from contract award) a comprehensive physical and data security plan that ensures the technical and physical safeguarding of both Agency and participant/beneficiary information, and identifies precautions to be taken to protect against the misuse of our information. At a minimum, issues addressed by this plan shall include:

- i) Physical security,
- ii) Data security,
- iii) Intrusion detection and monitoring,
- iv) Virus protection,
- v) Communications security,
- vi) Insider threat, and
- vii) Identity theft.

c. Metrics

- 1. Contractor shall propose a comprehensive set of metrics (and associated performance objectives) that, based on commercial best practices, will be reported on a regular basis (TBD at time of award), to demonstrate the quality and efficiency with which all elements/services of the SOW are delivered.

2. The Contractor shall deliver a Metrics Collection and Reporting Plan NLT 30 calendar days of contract award.

d. Quality Assurance/Quality Control

1. The Contractor shall be responsible for developing and documenting a Quality Assurance (QA/QC) program covering all elements of this SOW. The purpose of the QA program is to:
 - i) Generate high levels of customer satisfaction from our participants, thereby increasing satisfaction with our service;
 - ii) Ensure consistent service delivery through the establishment and publication of Standard Operating Procedures (SOP); and
 - iii) Identify ways to continuously improve the service being provided by our Agency.
2. The documented QA/QC plan (and associated SOPs) shall be delivered to the COTR NLT 60 calendar days from contract award. The QA/QC plan should include:
 - i) Walkthroughs - Formal or informal, structured procedure walkthroughs used for orientation, examining promising ideas, identifying defects or errors, and improving products at any stage in the process.
 - ii) Reviews - An independent evaluation of an activity or process to assess compliance with the project plan; or to examine products or processes against quality factors through the use of checklists, interviews, and meetings.
 - iii) Audits - An independent examination of a work product or process to determine compliance with specifications, standards, contractual agreements, or other pre-established criteria.
 - iv) Evaluations - An evaluation activity that examines products/services to determine compliance to customer requirements.
 - v) Process Improvement - A process improvement program designed to reduce the error rate in a process.

e. Accountability and Reporting

1. Contractor shall ensure that proper levels of security are maintained in all processes. As documents generally contain personal information, Contractor shall have a plan and procedures in place to safeguard participant information and protect against identity theft. To the maximum extent possible, Contractor shall keep Agency data and materials physically separated from that of other clients. The Contractor shall include appropriate background checks to ensure personnel involved in handling mail and participant documents have no criminal history or history of financial problems. Contractor shall immediately advise the Agency COTR of any actual or potential breach of security or compromise of participant account or identity information.

2. The Contractor shall propose methodology, frequency and content for reporting and invoicing using commercial best practices as a guide.
 - i) Reports should be accessible via secure internet connection, detailed in nature, and reflect real-time statistics relating to production and turnaround service levels, as well as historical data and projected trends.
3. The Contractor shall identify an account manager and/or account management team, along with processes for ensuring open and regular communication between the Agency and the Contractor to ensure prompt reporting of anomalies and other contract activities.

f. Business Continuity Plan

The Contractor shall prepare and deliver (NLT 60 calendar days from contract award) a Business Continuity Plan (BCP) that ensures minimal disruption to Agency services in the event of a disaster or outage. Guidelines for business continuity shall be restoration of 50% capability within 24 hours, and 100% capability with 72 hours. At a minimum, the BCP shall:

- i) define what systems/processes are critical to FRTIB support,
- ii) outline responsibilities related to business continuity planning and implementation, and
- iii) Provide guidelines for the development, testing, maintenance and implementation of specific business resumption plans (BRPs).

SECTION D - PACKAGING AND MARKING

Not applicable.

SECTION E - INSPECTION AND ACCEPTANCE

E.1. 52.252-2 Clauses Incorporated By Reference (Feb 1998)

This contract incorporates one or more clauses by reference, with the same force and effect as if they were given in full text. Upon request, the Contracting Officer will make their full text available. Also, the full text of a clause may be accessed electronically at this address:

<http://www.acqnet.gov/far/>

- 52.246-2 Inspection of Supplies - Fixed-Price. (AUG 1996)
- 52.246-4 Inspection of Services - Fixed-Price. (AUG 1996)
- 52.246-16 Responsibility for Supplies. (APR 1984)

SECTION F - DELIVERIES OR PERFORMANCE

F.1. BASE PERIOD OF PERFORMANCE

The base period of performance of this contract is two years from contract award.

F.2. OPTIONAL PERIODS OF PERFORMANCE

- a. This contract has a provision for four additional one-year option periods after the expiration of the base period of performance identified in F.1, above. The options are unilaterally exercisable by the Contracting Officer by written modification of the contract.
- b. The Contracting Officer will exercise an option by giving written notice to the Contractor of the Agency's intention to exercise the option at least 30 calendar days prior to the expiration date of the contract or of the previous option period, as appropriate. In the event that the Agency exercises the option, all terms and conditions of the contract will remain the same.

F.3. 52.252-2 Clauses Incorporated By Reference (Feb 1998)

This contract incorporates one or more clauses by reference, with the same force and effect as if they were given in full text. Upon request, the Contracting Officer will make their full text available. Also, the full text of a clause may be accessed electronically at this address:

<http://www.acqnet.gov/far/>

52.242-17 Government Delay of Work. (APR 1984)

SECTION G - CONTRACT ADMINISTRATION DATA

G.1. CONTRACTUAL INFORMATION

Contractual interpretation and assistance may be obtained by contacting:

Federal Retirement Thrift Investment Board
1250 H Street, N.W., Suite 200
Washington, DC 20005-3952

Attn: Robert Battersby
Phone: (202) 942-1693
E-Mail: RBATTER@tsp.gov

G.2. CONTRACTING OFFICER'S TECHNICAL REPRESENTATIVE

- a. The Contracting Officer hereby designates the below named individual as the Contracting Officer's Technical Representative (COTR).

Name: (To be completed at time of award)
Address: Federal Retirement Thrift Investment Board
1250 H Street, N.W., Suite 200
Washington, DC 20005-3952
Phone: (To be completed at time of award)

b. The COTR is responsible for administering the performance of work under this contract. In no event, however, will any understanding, agreement, modification, change order, or other matter deviating from the terms of this contract be effective or binding upon the Agency unless formalized by proper contractual documents executed by the Contracting Officer. The COTR is responsible for:

1. Monitoring the Contractor's progress, including the surveillance and assessment of performance, and recommending to the Contracting Officer changes in requirements;

Interpreting the scope of work;

2. Performing inspections and acceptances required by this contract; and,

3.
 - a. Assisting the Contractor in the resolution of technical problems encountered during the performance of the contract.

c. The Contracting Officer is responsible for directing any changes in the terms, conditions, or amounts cited in the contract.

d. In order for the Contractor to rely upon guidance from the COTR, the guidance must:

1. Be consistent with the description of work set forth in the contract;
2. Not constitute new assignments of work or a change to the expressed terms, conditions, or specifications incorporated into the contract;
3. Not constitute a basis for an extension to the period of performance or contract delivery schedule; and,
4. Not constitute a basis for any increase in the contract cost.

e. The COTR may be changed by the Agency at any time without prior notice to the Contractor. Written notice to the Contractor will be given by the Contracting Officer to effect any change in COTR.

f. If in the opinion of the Contractor, any instruction or direction issued by the COTR is not provided for in any of the provisions of the Contract, the Contractor shall not proceed but shall notify the Contracting Officer in writing within five (5) working days after the receipt of any such instruction or direction and shall request the Contracting Officer to modify the contract accordingly. Upon receiving such notification from the Contractor, the Contracting Officer shall issue an appropriate contract modification or advise the Contractor in writing that, in his/her opinion, the technical direction is within the scope of this clause and does not constitute a change under the Changes

Clause of the contract. The Contractor shall thereupon proceed immediately with the direction given.

- g. A failure of the parties to agree upon the nature of the instruction or direction or upon the contract action to be taken with respect thereto shall be subject to the provisions of the contract clause titled "Disputes."

G.3. SUBMISSION OF INVOICES

Invoices submitted for payment shall conform to the following requirements:

- a. All invoices must contain contractor's EIN number.
- b. All invoices must contain a "remit to" address.
- c. Submit all invoices to:

Federal Retirement Thrift Investment Board
1250 H Street, N.W., Suite 200
Washington, DC 20005-3952
Attn: Office of Accounting

G.4. SUBMISSION OF AUDITED FINANCIAL STATEMENTS

Each year of the contract the Offeror will submit audited financial statements to the FRTIB's Office of Accounting.

G.5. INCORPORATION OF CONTRACTOR'S PROPOSAL

It is understood and agreed that the Contractor shall, in meeting the requirements of this contract, perform the work in accordance with its proposal to the Board provided however, that to the extent that any provisions of the Clauses set forth herein are in conflict or inconsistent with any provisions of said proposal, the provisions of this contract shall be controlling and shall supersede the provisions of said proposal.

G.6. ORDER OF PRECEDENCE

The order of precedence for interpretation of the terms, conditions and requirements of this contract shall be as follows:

- a. Section A of the contract;
- b. Sections B, C, E, F, G, and H of the contract;
- c. Section I of the contract; and,
- d. Contractor's proposal, as clarified and amended.

SECTION H - SPECIAL CONTRACT REQUIREMENTS

H.1. Security. All staff must be U.S. citizens or resident aliens with current, valid green cards. All staff assigned to work on this project must undergo and pass a basic security check including a criminal and financial background check, and sign a confidentiality agreement. A copy of each completed background check must be provided to the Agency before staff will be provided access to the systems and

data. The information/data for this work must be protected in accordance with the Privacy Act. Adequate physical security (i.e.,, restricted access) must be provided for the work area(s). The Offeror must provide for shredding any and all documents containing a social security number or other Privacy Act information.

H.2. BUSINESS PRACTICES AND CONTRACT REQUIREMENTS

It is expected that the practices described by the Contractor in its response to the Request for Proposals shall be employed in its performance of the requirements of Section C of the contract. Written notice must be received in advance by the Contracting Officer for approval of any changes to these practices.

H.3. ADVERTISING AND RELEASING OF INFORMATION

The contractor must not publicize, advertise, or otherwise announce its selection by the Agency without the prior written approval of the Agency. Also, the Contractor may not release information or report on its performance under the contract without the prior written approval of the Agency.

H.4. KEY PERSONNEL

- a. The Contractor must include in its proposal, by name and capacity, the key personnel to be assigned to perform and carry out all phases of work under this contract. The Contractor's key personnel include the following:

<u>Name</u>	<u>Capacity</u>
_____	_____
_____	_____
_____	_____
_____	_____

- b. The individuals named above are considered key personnel and are essential for the successful completion of all work assigned under this contract. At least one individual identified as key personnel must be cleared at the Secret level. In the event any individual on the list of key personnel is to be removed or diverted from this contract, the Contractor must (1) notify the Contracting Officer; (2) supply written justification as to why the individual(s) is being removed or diverted; and, (3) provide resume of the proposed substitute or replacement including the education, work experience, etc., of each new person for Agency approval. All notifications and other information must be submitted to the Contracting Officer at least 14 calendar days in advance of the action.
- c. The Contractor must not, under any circumstances, remove or divert key personnel unless prior written authorization has been granted by the Contracting Officer. The person replacing the key person must have the same or higher qualifications and experience as the person replaced.

H.5. REIMBURSEMENT OF TRAVEL EXPENSES

Travel expenses incurred under this contract and invoiced may not exceed the applicable Federal Travel Regulations.

H.6. CONFIDENTIAL INFORMATION

All information provided to the Contractor is confidential and is subject to the Privacy Act. The Contractor and contractor personnel shall maintain this information in strict confidence and shall not disclose this information, or information obtained as the result of its performance of this contract, to any person or entity, other than employees of the contractor or of the Board, without the prior written approval of the Board.

H.7. SUBMISSION OF FINANCIAL STATEMENTS

1. Financial statements shall be submitted to the Contracting Officer's Technical Representative on a quarterly basis.

2. Financial statements submitted to the Agency must be audited or reviewed and prepared on the accrual basis of accounting by an independent certified public accountant licensed by the state to perform such services. If the contractor is required by federal or state law to submit audited financial statements, the contractor is required also to submit audited financial statements to the Agency. Otherwise, the contractor may submit reviewed financial statements to the Agency. Audited or reviewed financial statements are to be prepared in accordance with generally accepted accounting principles (GAAP). The format of the financial statements must comply with generally accepted accounting principles. Balance sheets, income statements, a statement of retained earnings, supporting schedules and notes, and the opinion of the independent auditor must accompany the financial statement. The balance sheet must, at a minimum, break down current assets, fixed assets, other assets (if appropriate), current liabilities, long-term liabilities, and equity (or appropriate nonprofit categories), a statement of cash flows, and appropriate accounting notes. If a contractor is organized as a corporation and the corporation is part of a consolidated group, supplemental data must be included showing a breakout of all corporate subsidiaries including a balance sheet and income statement for the individual contractors.

SECTION I - CONTRACT CLAUSES

52.252-2 Clauses Incorporated By Reference (Feb 1998)

This contract incorporates one or more clauses by reference, with the same force and effect as if they were given in full text. Upon request, the Contracting Officer will make their full text available. Also, the full text of a clause may be accessed electronically at this address:

<http://www.acqnet.gov/far/>

52.202-1 Definitions. (JUL 2004)

52.203-3 Gratuities. (APR 1984)

52.203-5 Covenant Against Contingent Fees. (APR 1984)

52.203-6 Restrictions on Subcontractor Sales to the Government
(JUL 1995)

52.203-7 Anti-Kickback Procedures. (JUL 1995)

52.203-8 Cancellation, Rescission, and Recovery of Funds for Illegal
or Improper Activity. (JAN 1997)

52.203-10 Price or Fee Adjustment for Illegal or Improper Activity.
(JAN 1997)

52.203-12 Limitation on Payments to Influence Certain Federal Trans-
actions. (JUN 2003)

52.204-4 Printed or Copied Double-Sided on Recycled Paper (AUG 2000)

52.204-7 Central Contractor Registration. (OCT 2003)

52.209-6 Protecting the Government's Interest When Subcontracting
with Contractors Debarred, Suspended, or Proposed for De-
barment. (JAN 2005)

52.214-26 Audit and Records - Sealed Bidding. (OCT 1997)

52.214-27 Price Reduction for Defective Cost or Pricing Data - Modi-
fications - Sealed Bidding. (OCT 1997)

52.214-28 Subcontractor Cost or Pricing Data - Modifications - Sealed
Bidding. (OCT 1997)

52.214-29 Order of Precedence - Sealed Bidding. (JAN 1986)

52.215-14 Integrity of Unit Prices (OCT 1997)

52.217-8 Option to Extend Services (NOV 1999)

52.217-9 Option to Extend the Term of the Contract (MAR 2000)

52.222-3 Convict Labor. (JUN 2003)

52.222-20 Walsh Healey Public Contracts Act. (DEC 1996)

52.222-21 Prohibition of Segregated Facilities. (FEB 1999)

52.222-26 Equal Opportunity. (APR 2002)

52.222-35 Equal Opportunity for Special Disabled Veterans, of the
Vietnam Era, and Other Eligible Veterans (DEC 2001)

52.222-36 Affirmative Action for Workers with Disabilities (JUN 1998)

52.223-6 Drug-Free Workplace. (MAY 2001)

52.223-14 Toxic Chemical Release Reporting. (AUG 2003)

52.224-1 Privacy Act Notification. (APR 1984)

52.224-2 Privacy Act. (APR 1984)

52.225-1 Buy American Act - Supplies. (JUN 2003)

52.225-13 Restrictions on Certain Foreign Purchases (DEC 2003)

52.227-1 Authorization and Consent. (JUL 1995)

52.227-3 Patent Indemnity. (APR 1984)

52.227-14 Rights in Data - General. (JUN 1987)

52.227-17 Rights in Data - Special Works. (JUN 1987)

52.227-19 Commercial Computer Software - Restricted Rights (JUN 1987)

52.227-23 Rights to Proposal Data (Technical). (JUN 1987)

52.229-3 Federal, State, and Local Taxes. (APR 2003)

52.232-1 Payments. (APR 1984)

52.232-8 Discounts for Prompt Payment. (FEB 2002)

52.232-9 Limitation on Withholding of Payments. (APR 1984)

52.232-11 Extras. (APR 1984)

52.232-17 Interest. (JUN 1996)

52.232-19 Availability of Funds for the Next Fiscal Year (APR 1984)

52.232-23 Assignment of Claims. (JAN 1986)

52.232-25 Prompt Payment. (OCT 2003)

52.232-33 Payment by Electronic Funds Transfer - Central Contractor
Registration. (OCT 2003)

52.233-1 Disputes. (JUL 2002) *Alternate 1 (DEC 1991)*

52.233-3 Protest after Award. (AUG 1996)

52.233-4 Applicable Law for Breach of Contract Claim (OCT 2004)

52.239-1 Privacy or Security Safeguards (AUG 1996)

- 52.242-13 Bankruptcy. (JUL 1995)
- 52.243-1 Changes - Fixed Price. (AUG 1987) *Alternate II (APR 1984)*
- 52.244-6 Subcontracts for Commercial Items. (DEC 2004)
- 52.246-25 Limitation of Liability - Services. (FEB 1997)
- 52.249-2 Termination for Convenience of the Government (Fixed-Price)
(MAY 2004)
- 52.249-8 Default (Fixed-Price Supply and Service) (APR 1984)
- 52.251-1 Government Supply Sources (APR 1984)
- 52.253-1 Computer Generated Forms. (JAN 1991)

- 52.222-39 Notification of Employee Rights Concerning
Payment of Union Dues or Fees.

(a) Definition. As used in this clause—

"United States" means the 50 States, the District of Columbia, Puerto Rico, the Northern Mariana Islands, American Samoa, Guam, the U.S. Virgin Islands, and Wake Island.

(b) Except as provided in paragraph (e) of this clause, during the term of this contract, the Contractor shall post a notice, in the form of a poster, informing employees of their rights concerning union membership and payment of union dues and fees, in conspicuous places in and about all its plants and offices, including all places where notices to employees are customarily posted. The notice shall include the following information (except that the information pertaining to National Labor Relations Board shall not be included in notices posted in the plants or offices of carriers subject to the Railway Labor Act, as amended (45 U.S.C. 151-188)).

Notice to Employees Under Federal law, employees cannot be required to join a union or maintain membership in a union in order to retain their jobs. Under certain conditions, the law permits a union and an employer to enter into a union-security agreement requiring employees to pay uniform periodic dues and initiation fees. However, employees who are not union members can object to the use of their payments for certain purposes and can only be required to pay their share of union costs relating to collective bargaining, contract administration, and grievance adjustment.

If you do not want to pay that portion of dues or fees used to support activities not related to collective bargaining, contract administration, or grievance adjustment, you are entitled to an appropriate reduction in your payment. If you believe that you have been required to pay dues or fees used in part to support activities not related to collective bargaining, contract administration, or grievance adjustment, you may be entitled to a refund and to an appropriate reduction in future payments.

For further information concerning your rights, you may wish to contact the National Labor Relations Board (NLRB) either at one of its Regional offices or at the following address or toll free number:

National Labor Relations Board
 Division of Information
 1099 14th Street, N.W.
 Washington, DC 20570
 1-866-667-6572
 1-866-316-6572 (TTY)

To locate the nearest NLRB office, see NLRB's website at <http://www.nlr.gov>.

(c) The Contractor shall comply with all provisions of Executive Order 13201 of February 17, 2001, and related implementing regulations at 29 CFR Part 470, and orders of the Secretary of Labor.

(d) In the event that the Contractor does not comply with any of the requirements set forth in paragraphs (b), (c), or (g), the Secretary may direct that this contract be cancelled, terminated, or suspended in whole or in part, and declare the Contractor ineligible for further Government contracts in accordance with procedures at 29 CFR Part 470, Subpart B—Compliance Evaluations, Complaint Investigations and Enforcement Procedures. Such other sanctions or remedies may be imposed as are provided by 29 CFR Part 470, which implements Executive Order 13201, or as are otherwise provided by law.

(e) The requirement to post the employee notice in paragraph (b) does not apply to—

(1) Contractors and subcontractors that employ fewer than 15 persons;
(2) Contractor establishments or construction work sites where no union has been formally recognized by the Contractor or certified as the exclusive bargaining representative of the Contractor's employees;
(3) Contractor establishments or construction work sites located in a jurisdiction named in the definition of the United States in which the law of that jurisdiction forbids enforcement of union-security agreements;

(4) Contractor facilities where upon the written request of the Contractor, the Department of Labor Deputy Assistant Secretary for Labor-Management Programs has waived the posting requirements with respect to any of the Contractor's facilities if the Deputy Assistant Secretary finds that the Contractor has demonstrated that—

(i) The facility is in all respects separate and distinct from activities of the Contractor related to the performance of a contract; and

(ii) Such a waiver will not interfere with or impede the effectuation of the Executive order; or

(5) Work outside the United States that does not involve the recruitment or employment of workers within the United States.

(f) The Department of Labor publishes the official employee notice in two variations; one for contractors covered by the Railway Labor Act and a second for all other contractors. The Contractor shall—

(1) Obtain the required employee notice poster from the Division of Interpretations and Standards, Office of Labor-Management Standards, U.S. Department of Labor, 200 Constitution Avenue, NW, Room N-5605, Washington, DC 20210, or from any field office of the Department's Office of Labor-Management Standards or Office of Federal Contract Compliance Programs;

(2) Download a copy of the poster from the Office of Labor-Management Standards website at <http://www.olms.dol.gov>; or

(3) Reproduce and use exact duplicate copies of the Department of Labor's official poster.

(g) The Contractor shall include the substance of this clause in every subcontract or purchase order that exceeds the simplified acquisition threshold, entered into in connection with this contract, unless exempted by the Department of Labor Deputy Assistant Secretary for Labor-Management Programs on account of special circumstances in the national interest under authority of 29 CFR 470.3(c). For indefinite quantity subcontracts, the Contractor shall include the substance of this clause if the value of orders in any calendar year of the subcontract is expected to exceed the simplified acquisition threshold. Pursuant to 29 CFR Part 470, Subpart B—Compliance Evaluations,

Complaint Investigations and Enforcement Procedures, the Secretary of Labor may direct the Contractor to take such action in the enforcement of these regulations, including the imposition of sanctions for noncompliance with respect to any such subcontract or purchase order. If the Contractor becomes involved in litigation with a subcontractor or vendor, or is threatened with such involvement, as a result of such direction, the Contractor may request the United States, through the Secretary of Labor, to enter into such litigation to protect the interests of the United States.

SECTION J - LIST OF ATTACHMENTS

- ATTACHMENT A - QUARTERLY STATEMENTS, CURRENT PROCESS
- ATTACHMENT B - QUARTERLY STATEMENT ESTIMATED VOLUME
- ATTACHMENT C - 1099-R, CURRENT PROCESS
- ATTACHMENT D - QUESTIONNAIRE FOR BUSINESS COMMUNICATIONS (PRINTING AND MAILING) SERVICES

**SECTION K - REPRESENTATIONS, CERTIFICATIONS, AND OTHER
STATEMENTS OF OFFERORS**

K.1. 52.252-1 Solicitation Provisions Incorporated by Reference
(Feb 1998)

This solicitation incorporates one or more solicitation provisions by reference, with the same force and effect as if they were given in full text. Upon request, the Contracting Officer will make their full text available. The Offeror is cautioned that the listed provisions may include blocks that must be completed by the Offeror and submitted with its quotation or offer. In lieu of submitting the full text of those provisions, the Offeror may identify the provision by paragraph identifier and provide the appropriate information with its quotation or offer. Also, the full text of a solicitation provision may be accessed electronically at this address:

<http://www.acqnet.gov/far/>

- 52.203-11 Certification and Disclosure Regarding Payments to Influence Certain Federal Transactions. (APR 1991)
- 52.204-5 Women-Owned Business (Other Than Small Business) (MAY 1999)
- 52.203-2 Certificate of Independent Price Determination (APR 1985)

(a) The offeror certifies that-

(1) The prices in this offer have been arrived at independently, without, for the purpose of restricting competition, any consultation, communication, or agreement with any other offeror or competitor relating to-

(i) Those prices;

(ii) The intention to submit an offer; or

(iii) The methods or factors used to calculate the prices offered.

(2) The prices in this offer have not been and will not be knowingly disclosed by the offeror, directly or indirectly, to any other offeror or competitor before bid opening (in the case of a sealed bid solicitation) or contract award (in the case of a negotiated solicitation) unless otherwise required by law; and

(3) No attempt has been made or will be made by the offeror to induce any other concern to submit or not to submit an offer for the purpose of restricting competition.

(b) Each signature on the offer is considered to be a certification by the signatory that the signatory-

(1) Is the person in the offeror's organization responsible for determining the prices being offered in this bid or proposal, and that the signatory has not participated and will not participate in any action contrary to paragraphs (a)(1) through (a)(3) of this provision; or

(2)(i) Has been authorized, in writing, to act as agent for the following principals in certifying that those principals have not participated, and will not participate in any action contrary to paragraphs (a)(1) through (a)(3) of this provision _____

[insert full name of person(s) in the offeror's organization responsible for determining the prices offered in this bid or proposal, and the title of his or her position in the offeror's organization];

- (ii) As an authorized agent, does certify that the principals named in subdivision (b)(2)(i) of this provision have not participated, and will not participate, in any action contrary to paragraphs (a)(1) through (a)(3) of this provision; and
- (iii) As an agent, has not personally participated, and will not participate, in any action contrary to paragraphs (a)(1) through (a)(3) of this provision.
- (c) If the offeror deletes or modifies paragraph (a)(2) of this provision, the offeror must furnish with its offer a signed statement setting forth in detail the circumstances of the disclosure.

52.204-8 Annual Representations and Certifications (OCT 2003)

As prescribed in 4.1202, insert the following provision:

Annual Representations and Certifications (Jan 2005)

- (a)(1) If the clause at 52.204-7, Central Contractor Registration, is included in this solicitation, paragraph (b) of this provision applies.
- (2) If the clause at 52.204-7 is not included in this solicitation, and the offeror is currently registered in CCR, and has completed the ORCA electronically, the offeror may choose to use paragraph (b) instead of completing the corresponding individual representations and certifications in the solicitation. The offeror shall indicate which option applies by checking one of the following boxes:

- (i) Paragraph (b) applies.
- (ii) Paragraph (b) does not apply and the offeror has completed the individual representations and certifications in the solicitation.
- (b) The offeror has completed the annual representations and certifications electronically via the Online Representations and Certifications Application (ORCA) website at <http://orca.bpn.gov>. After reviewing the ORCA database information, the offeror verifies by submission of the offer that the representations and certifications currently posted electronically have been entered or updated within the last 12 months, are current, accurate, complete, and applicable to this solicitation (including the business size standard applicable to the NAICS code referenced for this solicitation), as of the date of this offer and are incorporated in this offer by reference (see FAR 4.1201); except for the changes identified below [offeror to insert changes, identifying change by clause number, title, date]. These amended representation(s) and/or certification(s) are also incorporated in this offer and are current, accurate, and complete as of the date of this offer.

FAR Clause #	Title	Date	Change
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Any changes provided by the offeror are applicable to this solicitation only, and do not result in an update to the representations and certifications posted on ORCA.

SECTION L - INSTRUCTIONS, CONDITIONS, AND NOTICES TO OFFERORS

L.1. SUBMISSION OF PROPOSAL. The Offeror must provide an original and five (5) copies of the technical proposal and an original and three (3) copies of the price proposal. Audited financial statements for the last three years must be submitted with each copy of the technical proposal. Cost/price data shall not be included in the technical pro-

posal. The price proposal must be submitted under a separate cover. This will be a best value award.

a. Technical Proposal. The technical proposal must be limited to 30 pages (text to be single spaced, no less than 10-pitch font), 8-1/2" X 11" white paper (no less than 20 lb. copy paper). Any pages beyond the 31st will not be reviewed. Further, proposals not meeting the minimum 10-pitch font requirement shall be deemed non-compliant.

Attachment D provides all the questions you are required to answer in your technical proposal. Present your comprehensive response to the questions based on information contained in this Statement of Work. Explain your approach to establishing all aspects of the capabilities required in the SOW, as well as location(s) where these services will be provided. All questions should be addressed completely and concisely and in the order presented in Attachment A. If an alternative method is proposed to a requirement, provide the proposed change and the rationale. Appendices should be used prudently and only when a detailed response is impractical. Ambiguous statements such as "all reasonable efforts..." will not be acceptable.

b. Cost/Price Proposal. Must be limited to 20 pages (see further specifications in paragraph a. above).

1. Identify the schedule of fees as it relates to the services to be provided. The cost structure should indicate cost of services and include a cost breakout for any optional program components available.

2. Provide all prices (start-up and ongoing) associated with your services. List any and all costs and provide an explanation for the basis of the cost (e.g., if the charge is "per hour", explain exactly how an hour is calculated, what is included in the charge, and where the information provided in your experience comes from). Provide the costs for years one through six of the project, along with any projected start-up costs.

3. Include a table listing your best estimate of overall costs by month for the first two years of this contract.

4. Include travel and related charges that may be incurred during this project. All travel must be approved by the COTR in advance and will be reimbursed in accordance with Government travel regulations.

L.2. Due Date. The proposal packages should be received by the Agency no later than 3:30 PM Eastern Time, December 9, 2005. Address the package as follows:

Federal Retirement Thrift Investment Board
Attn: Mr. Robert Battersby
1250 H Street, NW
Washington, DC 20005-3952

To ensure the proposal packages arrives at the proper place on time and to prevent opening by unauthorized individuals, your proposal package must be identified on the wrapper as follows:

Proposal Submitted in Response to Solicitation
No. TIB-06-R-XXX
Package No. ____ of ____
Date: _____

L.3. Bid and Proposal Costs. The Board will not reimburse Offerors for any expenses incurred in the preparation of proposals submitted in response to this RFP.

L.4. Billing. The successful Offeror will be permitted to submit invoices monthly for incurred costs.

L.5. RFP Questions. All inquiries pertaining to this RFP must be made in writing via e-mail or letter and must be received by 3:30 PM on November 18, 2005. No other method will be accepted. The point of contact for all RFP inquiries is Robert Battersby, 202-942-1693, fax 202-942-1674, email rbatter@tsp.gov.

L.6. Other Considerations. The Board may conduct on-site visits during the evaluation process. The purpose of the on-site visits would be to:

- a. Substantiate proposal representations.
- b. Supplement information obtained through the proposal questionnaire.
- c. Increase the understanding of the services and operations of Offeror.
- d. Meet the key personnel who will have a significant role in this contract.
- e. Review systems capabilities and security.

L.7. THE FEDERAL RETIREMENT THRIFT INVESTMENT BOARD MAY, BY WRITTEN NOTICE TO THE OFFEROR, TERMINATE THE RIGHT OF THE OFFEROR TO PROCEED UNDER ANY CONTRACT THAT ARISES AS A RESULT OF THIS SOLICITATION IF IT IS FOUND THAT GRATUITIES, IN THE FORM OF ENTERTAINMENT, GIFTS OR OTHERWISE, WERE OFFERED OR GIVEN BY THE OFFEROR, OR ANY AGENT OR REPRESENTATIVE OF THE OFFEROR, TO ANY OFFICER OR EMPLOYEE OF THE FEDERAL RETIREMENT THRIFT INVESTMENT BOARD WITH THE INTENT TO SECURE FAVORABLE TREATMENT.

L.8. 52.252-1 Solicitation Provisions Incorporated by Reference
(Feb 1998)

This solicitation incorporates one or more solicitation provisions by reference, with the same force and effect as if they were given in full text. Upon request, the Contracting Officer will make their full text available. The Offeror is cautioned that the listed provisions may include blocks that must be completed by the Offeror and submitted with its quotation or offer. In lieu of submitting the full text of those

provisions, the Offeror may identify the provision by paragraph identifier and provide the appropriate information with its quotation or offer. Also, the full text of a solicitation provision may be accessed electronically at this address:

<http://www.acqnet.gov/far/>

- 52.214-3 Amendments to Invitations for Bids. (DEC 1989)
- 52.214-4 False Statements in Bids. (APR 1984)
- 52.214-5 Submission of Bids. (MAR 1997)
- 52.214-6 Explanation to Prospective Bidders. (APR 1984)
- 52.214-7 Late Submissions, Modifications, and Withdrawals of Bids. (NOV 1999)
- 52.214-10 Contract Award - Sealed Bidding. (JUL 1990)
- 52.214-12 Preparation of Bids. (APR 1984)
- 52.215-1 Instructions to Offerors - Competitive. (JAN 2004)
- 52.222-46 Evaluation of Compensation for Professional Employees. (FEB 1993)
- 52.237-10 Identification of Uncompensated Overtime. (OCT 1997)

- 52.216-1 Type of Contract (Apr 1984)

The Government contemplates award of a firm fixed-price contract resulting from this solicitation.

- 52.233-2 Service of Protest (Aug 1996)

(a) Protests, as defined in section 33.101 of the Federal Acquisition Regulation, that are filed directly with an agency, and copies of any protests that are filed with the General Accounting Office (GAO), shall be served on the Contracting Officer (addressed as follows) by obtaining written and dated acknowledgment of receipt from Federal Retirement Thrift Investment Board, 1250 H Street N.W., Suite 200, Washington, D.C. 20005.

(b) The copy of any protest shall be received in the office designated above within one day of filing a protest with the GAO.

SECTION M - EVALUATION FACTORS FOR AWARD

M.1. EVALUATION OF OFFERS. This section sets forth the criteria that will be used for the evaluation of each timely offer to determine the successful Offeror. The evaluation of offers will consist of a technical and cost evaluation. Only proposals deemed to be technically acceptable will receive further consideration. The Agency is committed to providing the highest level of customer service and satisfaction. Offerors should be aware of the fact that only the highest caliber of quality and service will be accepted. This commitment to customer satisfaction and service will serve as a significant evaluation factor as well as the justification for exercising the options.

M.2. Procedure. The Agency will select an Offeror for award in accordance with the guidance in FAR Part 15, the Agency's Directive No. 12A, and the terms of this solicitation.

M.3. Minimum Technical Requirements. The technical proposal must demonstrate compliance with the minimum technical factors listed below in

order to be considered for award. Proposals which do not conform to the technical requirements of this section will be rejected by the Technical Evaluation Panel (TEP) before technical evaluation.

a. Minimum Qualifications

Offers must meet the following minimum qualifications to be considered for further evaluation. Those offers that do not meet minimum criteria will be eliminated from the competition. These criteria are:

1. Any and all sites used to perform the elements of this SOW are within the continental United States.
2. The offeror has prior experience in bulk mailing and printing in support of large customer bases (i.e., 1 million+).

b. Evaluation Criteria

1. The following criteria will be used in selecting an awardee from those proposals that meet the minimum qualifications (above). These criteria represent those elements are considered to be vital to the success of the project. The evaluation team may elect to conduct site visit(s) at those Offeror sites deemed to be within competitive range prior to award.

1. Operational Management Capability (70 points)

The successful vendor must be able to demonstrate the ability and past experience in employing commercial best practices in support of large volume printing and mailing services, and must have a track record of applying these practices in their operations.

a. Technology Management (35 points)

We will assess whether the contractor has proposed a solution that is technically feasible and achievable within the guidelines of the SOW, and which reflects the application of commercial best practices and continuous improvement. We will evaluate the following components of the vendor's technology management approach:

- i. Printing/Mailing capabilities and expertise (20). We will review the type of printing and mailing equipment in use at the operating site(s) to determine capability levels relative to the Agency's printing and mailing volume and technical requirements.
- ii. System Security (10). We will review control and audit procedures in place to ensure quality and system security. Automated and physical security controls will be reviewed to ensure that sensitive Agency and participant data is safeguarded against theft or compromise.
- iii. Disaster recovery and backup procedures (5). We will review the vendors' operations, and the systems and procedures they have in place to keep their operation up and

running under all conditions. Included in this review will be an assessment of the vendor's plans/capabilities to partner with other similar, capable firms and/or other company locations to ensure continuity of operations in the event of a disaster.

b. Understanding the Requirements (20 points)

We will assess whether the contractor has given sufficient evidence of having thoroughly understood and responded to the requirements stated in the SOW.

c. Process Management (15 points)

i. Quality assurance (10). We will assess whether the contractor has a process of addressing quality of performance and a plan for ensuring that deliverables for this requirement will meet the quality standards addressed in the process. Specifically, we will assess the processes used by each vendor to ensure quality of all printed output, integrity and efficiency of the inserting process, and the offeror's plans/capabilities for ensuring the Agency benefits from maximum available bulk mailing discounts.

ii. Reporting (5). Our review will include an assessment of vendors' reporting plans to ensure that they will provide the key metrics that produce a complete picture of performance. Reporting requirements will include typical call center metrics as well as performance indicators for written correspondence.

2. Account Management Capability (30 points)

Proposals will be evaluated to ensure the contractor names an account manager or account management team to act as the interface with the Agency. We will review the following items to gauge the level of account management expertise offered by vendors.

a. Program implementation (15). We will assess vendors' capabilities and implementation plans in terms of not only the timeliness of their tasks but in the amount of communication/interaction they expect to provide throughout the process. We will also evaluate proposed site locations to ensure they provide adequate disaster recovery capabilities/arrangements to ensure continuity of operations.

b. Communication (10). We will assess vendors' meeting and communication plans, the processes they have in place for responding to client requests, and the accessibility of key staff members. The clarity, neatness, completeness, presentation, lack of errors, etc., of the proposal will also reflect on the effectiveness of the vendor's communication abilities.

c. Past performance (5). We will assess vendors' past and current contracts for the ability to provide similar services as sought in this statement of work.

We will assess customer satisfaction with the vendor on prior projects, including satisfactory performance regarding schedules, meeting/reducing costs, working well with other vendors (i.e. problem solving) and success in performing the work. We will contact past customers for input on vendors' performance, communications, responsiveness, billings, and ability to meet deadlines/schedules.

M.4. Cost/Price Evaluation. The Agency will make its award to the responsible Offeror whose offer conforms to the solicitation and is most advantageous to the Board, cost/price and other factors considered. For this solicitation, technical quality is more important than price. As proposals become more equal in their technical merit, cost/price becomes more important.

M.5. Award.

a. The Agency may reject any or all offers, accept other than the lowest cost/price offer, and waive informalities and minor irregularities in offers received.

b. The Agency may award a contract on the basis of initial offers received, without discussions. Therefore, each initial offer should contain the Offeror's best terms from a cost/price and technical standpoint.

M.6. 52.252-1 Solicitation Provisions Incorporated by Reference
(Feb 1998)

This solicitation incorporates one or more solicitation provisions by reference, with the same force and effect as if they were given in full text. Upon request, the Contracting Officer will make their full text available. The Offeror is cautioned that the listed provisions may include blocks that must be completed by the Offeror and submitted with its quotation or offer. In lieu of submitting the full text of those provisions, the Offeror may identify the provision by paragraph identifier and provide the appropriate information with its quotation or offer. Also, the full text of a solicitation provision may be accessed electronically at this address:

<http://www.acqnet.gov/far/>

52.217-5 Evaluation of Options (JUL 1990)

52.232-15 Progress Payments Not Included (APR 1984)

ATTACHMENT A - QUARTERLY STATEMENTS, CURRENT PROCESS

Task #	Task Description	Responsible Resource
1	Forward Preliminary "Statements to Print" file to vendor	FRTIB
2	Process file thru USPS <i>FastForward</i> ® and return results to FRTIB	Vendor
3	Forward Final "Statements to Print" file to vendor (excludes change of address statements)	FRTIB
4	Process file thru Printers	Vendor
5	FRTIB Quality Review	FRTIB
6	Process printed statements thru mailing equipment (fold, insert, stuff and stack in trays)	Vendor
7	FRTIB Quality Review (if required)	FRTIB
8	Deliver trays (along w/ appropriate USPS Bulk Mailing Reports) to USPS	Vendor
9	Final Reports to FRTIB	Vendor

ATTACHMENT B - QUARTERLY STATEMENT

ESTIMATED VOLUME

Q3 2004 Participant Statement Mailing and Printing						
Pages	Sheets	Weight (oz.)	Weight (lb.)	Civilian	Uniform Services	Total Statements Mailed
1	1	0.6	0.0375	29,575	36,482	66,057
2	1	0.6	0.0375	264,101	22,260	286,361
3	2	0.8	0.05	3,204	2,335	5,539
4	2	0.8	0.05	138,830	10,038	148,868
5	3	0.9	0.05625	14	2	16
6	3	0.9	0.05625	15,696	55	15,751
7	4	1.1	0.06875	1	0	1
8	4	1.1	0.06875	149	1	150
9	5	1.2	0.075	0	0	0
10	5	1.2	0.075	0	0	0
11	6	1.4	0.0875	0	0	0
12	6	1.4	0.0875	12	0	12
				451,582	71,173	522,755
Overflows (> 12 pages)				28	0	28
BadZips				9,002	8,128	17,130
Forwarding Addresses				2,150	1,957	4,107
Totals				462,762	81,258	544,020*

* In addition to this quarterly total, approximately 75,000 new participants are added each quarter, and receive their first statement in hardcopy via mail. It is anticipated that the majority (~85%) of new participants will receive subsequent statements electronically, leaving quarterly growth at approximately 11,000 hardcopy statements.

ATTACHMENT C - 1099-R, CURRENT PROCESS

Task #	Task Description	Responsible Resource
1	Send 1099-R print file to Vendor for <i>FastForward</i> processing	FRTIB
2	Process Extract File against <i>FastForward</i>	Vendor
3	Send <i>FastForward</i> results to FRTIB	Vendor
4	Update 1099R table with <i>FastForward</i> results	FRTIB
5	Process 1099Rs to Print file thru Mailer's Choice (Sort File into optimal mailing sequence w/ bar code, Segment file into 20k units)	FRTIB
6	Process segmented files thru 1099R Print program (Output file contained DJDE cmds) Repeated for each 20,000 1099R file segment	FRTIB
7	Send print files to Vendor	FRTIB
8	Process file thru Printers	Vendor
9	Process printed forms (as appropriate fold, insert, stuff and stack in trays)	Vendor
10	Deliver trays (along w/ USPS Reports) to USPS	Vendor
11	Final Reports to FRTIB	Vendor

ATTACHMENT D.

QUESTIONNAIRE FOR BUSINESS COMMUNICATIONS (PRINTING AND MAILING) SERVICES

1. Confirm that you are prepared to work within all the parameters outlined in the Statement of Work. Explain how the core competency of your organization supports the requirements of this SOW. If any parameters present a problem, please explain.

2. How do you propose to communicate progress during program implementation? What processes do you follow to identify key issues and to notify clients when a problem occurs that could jeopardize timelines or other aspects of the start-up? What communication will take place during the first few days of start-up? What activities, if any, will occur in the time between contract and start-up?

3. Describe how you handle communication with your customers. Will there be dedicated account management (meaning that the contact works exclusively on the FRTIB contract)? Will the Federal Retirement Thrift Investment Board have access to operational contacts? Will we have access to our contact person during all hours that the operation is open?

4. Please confirm that you will be able to comply with the following customer service levels and provide the process/calculation you intend to use to derive the following metrics:

- Printing and mailing (USPS Drop) of all quarterly participant statements within 5 business days of receipt of final print file.
- Printing and mailing (USPS Drop) of all PIN Mailers by close of next business day (based on expected receipt of final print file NLT 11:59 PM previous day).
- Printing and mailing (USPS Drop) of all notices by close of next business day (based on expected receipt of final print file NLT 11:59 PM previous day).
- FastForward® processing (output file returned to FRTIB) within 24 hours of receipt.

Identify how you can improve upon these metrics/deliverables, if applicable. Further metrics such as quality, return mail rates and others may be added to the requirements later in the project.

5. Please fill out the table below providing information for at least two, but not more than three, current or past clients. You should choose those clients that most clearly exemplify past experience similar to those outlined in the statement of work in the financial services industry (investment services/401k), and that are representative of large-volume, high-quality, customized communications tasks or programs.

	Client #1	Client #2	Client #3
Name of Organization			
Industry			
Contact Name, Phone Number, and e-mail			

	Client #1	Client #2	Client #3
address			
Main printing and mailing types (i.e. envelope w/ insert, self-mailer, etc.)			
Type of business communications services being provided (i.e. statements, documents, PIN Mailers, etc.)			
Average # products mailed per month			

6. Identify any industry certifications in place (e.g. ISO 9001, etc.)

7. Identify and explain situations where you have used innovative approaches or technology to solve client business communications tasks.

8. Explain how you would ensure against identity theft and compromise of confidential client/participant data, including, but not limited to:

- Employee training/awareness programs
- Employee background checks (and bonding)
- Management oversight
- Documented corporate procedures

9. Explain your response and customer notification process in the event of a suspected loss/misplacement of customer data.

10. Describe your processes for managing service levels, efficiency, cost, schedule and configuration control.

11. Identify any postal certifications in place (or required) to support the SOW.

12. Explain the methodology and tools you will employ to ensure the lowest possible (bulk mail) postage costs are incurred.

13. Explain how your equipment and technology capabilities (printers, electronic imaging, inserting platforms, barcode matching, data receipt & delivery, black and white/color imaging solutions, USPS arrangements) support the requirements of the SOW.

14. What value-added capabilities and technologies would you bring to this business relationship (e.g. digital and offset services, Pantone color management, variable data printing, UV finishing, 4 and 6-color process, etc.)

15. Outline your problem resolution/escalation procedures, your procedures for handling customer complaints about service, and other general customer complaints about the program.
16. Provide examples of how you would propose providing operational performance reports to the FRTIB on volume, quality, costs, timelines, etc.
17. Describe how you plan to use these operational performance reports to help manage this contract. What other reports will you utilize internally (other than those mentioned in the attachments) to maximize performance results? Who typically looks at performance reports in your organization, and how are results communicated to customer service representatives?
18. What are your system and network back-up procedures?
19. Please describe your disaster avoidance procedures for mailing and computer systems. How would you handle a long-term disaster (i.e., 48 hours or more) at your site? Will your key personnel or staff have experience in business continuity/disaster recovery planning?
20. Explain how you will ensure availability, capacity and throughput of hardware (e.g., fax machines, workstation, scanners) required to support this SOW. How will you handle technology refreshment?
21. What policies, procedures, and controls are in place to ensure high quality and security in your systems and data management? How will you provide physical and data/system security?
22. Describe your audit trails, your reconciliation procedures, data protection, security, etc. How do you maintain data integrity and quality overall?
23. How do you plan to isolate FRTIB data and printed products from any other operations? If so, please explain. If not, explain how you will ensure that FRTIB products and information will remain separated from other data/operations.
24. Describe your communications plan. How do you propose to communicate progress, problems, account management information, etc. with the FRTIB? What processes do you follow to identify key issues and to notify clients when a problem occurs that could jeopardize timelines or other aspects of the SOW?
25. How flexible are you in accommodating impromptu changes to the services you are providing? For example, if the Federal Retirement Thrift Investment Board decides to add new inserts or delete existing ones, what kind of turnaround time is involved in do this?
26. What distinguishes you from other Offerors and how will that translate to exceptional performance under the terms of this SOW?
27. Describe the inventory controls you would anticipate using on this project.

Pricing

28. Please provide all costs associated with your services under this SOW. List any and all costs, and provide an explanation for the basis of the cost. (Example, if the charge is "per hour", explain exactly how an hour is calculated, what is included in the cost, and where the information comes from.) Provide the costs for years one through five of the contract, along with any projected start-up costs.

29. Include a table listing your best estimate of overall costs by month for the first year of this contract.

30. Please indicate whether or not the prices in question 28 include travel and related charges that may be incurred during this project. If not, please provide estimates for those charges as well as an outline of your expense reimbursement policies.

31. How do you review your service costs? Do you typically have annual increases? How do you determine/justify the increases?

32. Explain how the Agency will be charged (and invoiced) for services.

Contractual

33. Identify any subcontractors or subcontracting arrangements you intend to use to perform any functions under the services of the agreement. Describe their roles and responsibilities. Explain the management processes and workload management processes to be employed. Verify your understanding that any subcontractors used for this contract are subject to any and all terms of the contract.