

**Combined Synopsis/Solicitation for U.S. Citizenship and Immigration Services (USCIS),  
Field Operations Directorate (FOD), National Benefits Center (NBC) Records Operations  
Contract (ROC) Procurement.**

Action Code: N/A

Date: December 29

Year: 2020

Contracting Office Zip Code: 05403

Product or Service Code: R699 –Support: Administrative, Other

Contracting Office Address: USCIS Office of Contracting, 70 Kimball Ave, South Burlington,  
VT 05403

Subject: This is a combined synopsis/solicitation for commercial services prepared in accordance with the format in Subpart 12.6 as supplemented with additional information included in this notice. This announcement constitutes the only solicitation; proposals are being requested and a SF1449 will not be issued for this solicitation.

Proposed Solicitation Number: The solicitation number is 70SBUR21R00000009. The solicitation is issued as a Request for Proposals (RFP). The solicitation document and incorporated provisions and clauses are those in effect through Federal Acquisition Circular 2021-02, effective November 23, 2020

Closing Response Date: Phase 0 to be due January 19, 2021. Phase 1 to be due February 01, 2021. Phase II to be due February 25, 2021.

Contracting Officer: Eric Bishop, [Eric.M.Bishop@uscis.dhs.gov](mailto:Eric.M.Bishop@uscis.dhs.gov)

Contract Award: To be determined.

Line Item Number: This combined synopsis solicitation contains eighty (80) firm-fixed-price line items and eighty-five (85) time-and-materials line items in Attachment 3.5 – “Price Schedule and Staffing Proposal Model.

Contract Award Date: To be determined.

Contractor: To be determined.

Description: The requirements for this procurement involve administrative and clerical services to support USCIS in the processing of immigration applications and petitions. Tasks under this procurement include: courier services, receive, track and distribute correspondence and packages, perform timely, complete and accurate file room operations including file storage, maintenance and transaction processing, scanning and filing Freedom of Information Act requests, and Program Management.

Place of Contract Performance: The services will be performed at the NBC in Lee's Summit, Missouri, and Overland Park, Kansas.

Set-aside Status: This procurement is a total set-aside for small businesses. The NAICS code for this procurement is 561210 (Facility Support Services); the small business size standard is \$41.5M.

The provisions at 52.212-1, "Instructions to Offerors–Commercial Items," applies to this acquisition; an addenda to 52.212-1 is provided in the attached solicitation document.

The provision at 52.212-2, "Evaluation–Commercial Items," applies to this acquisition; an addenda to 52.212-2 is provided in the attached solicitation document.

Offerors shall include a completed copy of the provision at 52.212-3, "Offeror Representations and Certifications–Commercial Items," with its offer. If the offeror's annual representations and certifications are current in the U.S. Government beta.SAM.gov system, the offeror may merely state that the offeror's representations and certifications are available through SAM in lieu of submitting the annual representations and certifications as part of the offeror's proposals.

The clause 52.212-4, "Contract Terms and Conditions–Commercial Items," applies to this procurement. An addenda to 52.212-4 is provided in the attached solicitation document.

The clause 52.212-5, "Contract Terms and Conditions Required To Implement Statutes Or Executive Orders–Commercial Items," applies to this acquisition. Applicable FAR clauses cited in 52.212-5 are identified in Part II, "Contract Clauses," section 2.2.1, of this combined synopsis/solicitation.

Additional FAR, HSAR, and other terms and conditions are applicable to this procurement and are included in the attached solicitation documents.

Defense Priorities and Allocation System (DPAS) does not apply to this acquisition.

Questions and Proposals shall be submitted in electronic format to the contracting officer Eric M. Bishop at [Eric.M.Bishop@uscis.dhs.gov](mailto:Eric.M.Bishop@uscis.dhs.gov), 802-872-4696, as well as the contract specialist Sara Riordan at [Sara.Riordan@uscis.dhs.gov](mailto:Sara.Riordan@uscis.dhs.gov), 802-872-4126, at the dates and times specified in Section 4.3.5 and 4.3.6 of the solicitation.

## **PART I - SCHEDULE OF SERVICES**

### **1.1 SCHEDULE OF SERVICES**

The Department of Homeland Security (DHS), U.S. Citizenship & Immigration Services (USCIS) requires administrative records support for the National Benefits Center (NBC) for processing applications for immigration benefits in support of the Field Operations Directorate (FOD). Tasks under this solicitation include: courier services, receive, track and distribute correspondence and packages, perform timely, complete and accurate file room operations including file storage, maintenance and transaction processing, scanning and filing Freedom of Information Act requests, and Program Management.

The offeror shall prepare Attachment 3.5, "Price Schedule and Price Proposal Model," which will be used in the Government's evaluation of the offeror's price and will be used as the basis for the Continuation of Block 20 – "Schedule of Supplies/Services," in the awarded contract on the SF 1449. Further pricing instructions are found at Section 4.3, "ADDENDUM TO FAR 52.212-1 -- INSTRUCTIONS TO OFFERORS – COMMERCIAL ITEMS."

## PART II – CONTRACT CLAUSES

The following clauses and terms and conditions are hereby incorporated into this solicitation and any resulting contract.

### 2.1 FAR 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/these address(es):

FAR: <https://www.acquisition.gov/browse/index/far>

<u>FAR Number</u>	<u>Title</u>	<u>Date</u>
52.202-1	DEFINITIONS	NOV 2013
52.203-3	GRATUITIES	APR 1984
52.203-12	LIMITATION ON PAYMENTS TO INFLUENCE CERTAIN FEDERAL TRANSACTIONS	JUN 2020
52.203-17	CONTRACTOR EMPLOYEE WHISTLEBLOWER RIGHTS AND REQUIREMENTS TO INFORM EMPLOYEES OF WHISTLEBLOWER RIGHTS	JUN 2020
52.204-4	PRINTED OR COPIED DOUBLE-SIDED ON POSTCONSUMER FIBER CONTENT PAPER	MAY 2011
52.204-9	PERSONAL IDENTITY VERIFICATION OF CONTRACTOR PERSONNEL	JAN 2011
52.204-13	SYSTEM FOR AWARD MANAGEMENT MAINTENANCE	OCT 2018
52.204-18	COMMERCIAL AND GOVERNMENT ENTITY CODE MAINTENANCE	JUL 2016
52.204-19	INCORPORATION BY REFERENCE OF REPRESENTATIONS AND CERTIFICATIONS	DEC 2014
52.212-4	CONTRACT TERMS AND CONDITIONS – COMMERCIAL ITEMS	OCT 2018
	CONTRACT TERMS AND CONDITIONS – COMMERCIAL ITEMS (OCT 2018). ALTERNATE I. <b>FILL-INS:</b>	JAN 2017
	(a)(4) – <b>10%</b>	
	(e)(1)(iii)(D) - <b>None</b>	
	(i)(1)(ii)(D)(1) - Other Direct Costs: <b>File Facility Operation lease</b>	
	(i)(1)(ii)(D)(2) - Indirect Costs: <b>None</b>	
52.223-10	WASTE REDUCTION PROGRAM	MAY 2011
52.223-19	COMPLIANCE WITH ENVIRONMENTAL MANAGEMENT SYSTEMS	MAY 2011
52.224-1	PRIVACY ACT NOTIFICATION	APR 1984



52.224-2	PRIVACY ACT	APR 1984
52.227-16	ADDITIONAL DATA REQUIREMENTS	JUN 1987
52.227-17	RIGHTS IN DATA – SPECIAL WORKS	DEC2007
52.228-5	INSURANCE – WORK ON GOVERNMENT INSTALLATION	JAN 1997
52.232-18	AVAILABILITY OF FUNDS	APR 1984
52.232-39	UNENFORCEABILITY OF UNAUTHORIZED OBLIGATIONS	JUN 2013
52.237-2	PROTECTION OF GOVERNMENT BUILDINGS, EQUIPMENT, AND VEGETATION	APR 1984
52.237-3	CONTINUITY OF SERVICES	JAN 1991
52.242-13	BANKRUPTCY	JUL 1995
52.242-15	STOP-WORK ORDER	AUG 1989

**2.2 FAR CLAUSES INCORPORATED IN FULL TEXT**

**2.2.1 FAR 52.204-25 – PROHIBITION ON CONTRACTING FOR CERTAIN TELECOMMUNICATIONS AND VIDEO SURVEILLANCE SERVICES OR EQUIPMENT (DEVIATION 20-05\_(AUG 2020))**

(a) *Definitions.* As used in this clause—

“Backhaul” means intermediate links between the core network, or backbone network, and the small subnetworks at the edge of the network (e.g., connecting cell phones/towers to the core telephone network). Backhaul can be wireless (e.g., microwave) or wired (e.g., fiber optic, coaxial cable, Ethernet).

“Covered foreign country” means The People’s Republic of China.

“Covered telecommunications equipment or services” means—

(1) Telecommunications equipment produced by Huawei Technologies Company or ZTE Corporation (or any subsidiary or affiliate of such entities);

(2) For the purpose of public safety, security of Government facilities, physical security surveillance of critical infrastructure, and other national security purposes, video surveillance and telecommunications equipment produced by Hytera Communications Corporation, Hangzhou Hikvision Digital Technology Company, or Dahua Technology Company (or any subsidiary or affiliate of such entities);

(3) Telecommunications or video surveillance services provided by such entities or using such equipment; or

(4) Telecommunications or video surveillance equipment or services produced or provided by an entity that the Secretary of Defense, in consultation with the Director of National Intelligence or the Director of the Federal Bureau of Investigation, reasonably

believes to be an entity owned or controlled by, or otherwise connected to, the government of a covered foreign country.

“Critical technology” means—

(1) Defense articles or defense services included on the United States Munitions List set forth in the International Traffic in Arms Regulations under subchapter M of chapter I of title 22, Code of Federal Regulations;

(2) Items included on the Commerce Control List set forth in Supplement No. 1 to part 774 of the Export Administration Regulations under subchapter C of chapter VII of title 15, Code of Federal Regulations, and controlled-

(i) Pursuant to multilateral regimes, including for reasons relating to national security, chemical and biological weapons proliferation, nuclear nonproliferation, or missile technology; or

(ii) For reasons relating to regional stability or surreptitious listening;

(3) Specially designed and prepared nuclear equipment, parts and components, materials, software, and technology covered by part 810 of title 10, Code of Federal Regulations (relating to assistance to foreign atomic energy activities);

(4) Nuclear facilities, equipment, and material covered by part 110 of title 10, Code of Federal Regulations (relating to export and import of nuclear equipment and material);

(5) Select agents and toxins covered by part 331 of title 7, Code of Federal Regulations, part 121 of title 9 of such Code, or part 73 of title 42 of such Code; or

(6) Emerging and foundational technologies controlled pursuant to section 1758 of the Export Control Reform Act of 2018 (50 U.S.C. 4817).

“Interconnection arrangements” means arrangements governing the physical connection of two or more networks to allow the use of another’s network to hand off traffic where it is ultimately delivered (e.g., connection of a customer of telephone provider A to a customer of telephone company B) or sharing data and other information resources.

“Reasonable inquiry” means an inquiry designed to uncover any information in the entity’s possession about the identity of the producer or provider of covered telecommunications equipment or services used by the entity that excludes the need to include an internal or third-party audit.

“Roaming” means cellular communications services (e.g., voice, video, data) received from a visited network when unable to connect to the facilities of the home network either because signal coverage is too weak or because traffic is too high.

“Substantial or essential component” means any component necessary for the proper function or performance of a piece of equipment, system, or service.

(b) *Prohibition.*

(1) Section 889(a)(1)(A) of the John S. McCain National Defense Authorization Act for Fiscal Year 2019 (Pub. L. 115–232) prohibits the head of an executive agency on or after August 13, 2019, from procuring or obtaining, or extending or renewing a contract to procure or obtain, any equipment, system, or service that uses covered telecommunications equipment or services as a substantial or essential component of any system, or as critical technology as part of any system. The Contractor is prohibited from providing to the Government any equipment, system, or service that uses covered telecommunications equipment or services as a substantial or essential component of any system, or as critical technology as part of any system, unless an exception at paragraph (c) of this clause applies or the covered telecommunication equipment or services are covered by a waiver described in FAR 4.2104.

(2) Section 889(a)(1)(B) of the John S. McCain National Defense Authorization Act for Fiscal Year 2019 (Pub. L. 115–232) prohibits the head of an executive agency on or after August 13, 2020, from entering into a contract, or extending or renewing a contract, with an entity that uses any equipment, system, or service that uses covered telecommunications equipment or services as a substantial or essential component of any system, or as critical technology as part of any system, unless an exception at paragraph (c) of this clause applies or the covered telecommunication equipment or services are covered by a waiver described in FAR 4.2104. This prohibition applies to the use of covered telecommunications equipment or services, regardless of whether that use is in performance of work under a Federal contract.

(c) *Exceptions.* This clause does not prohibit contractors from providing—

(1) A service that connects to the facilities of a third-party, such as backhaul, roaming, or interconnection arrangements; or

(2) Telecommunications equipment that cannot route or redirect user data traffic or permit visibility into any user data or packets that such equipment transmits or otherwise handles.

(d) *Reporting requirement.*

(1) In the event the Contractor identifies covered telecommunications equipment or services used as a substantial or essential component of any system, or as critical technology as part of any system, during contract performance, or the Contractor is notified of such by a subcontractor at any tier or by any other source, the Contractor shall report the information in paragraph (d)(2) of this clause in writing via email to the Contracting Officer, Contracting Officer’s Representative, and the Enterprise Security Operations Center (SOC) at [NDAA\\_Incidents@hq.dhs.gov](mailto:NDAA_Incidents@hq.dhs.gov), with required information in

the body of the email. In the case of the Department of Defense, the Contractor shall report to the website at <https://dibnet.dod.mil>. For indefinite delivery contracts, the Contractor shall report to the Enterprise SOC, Contracting Officer for the indefinite delivery contract and the Contracting Officer(s) and Contracting Officer's Representative(s) for any affected order or, in the case of the Department of Defense, identify both the indefinite delivery contract and any affected orders in the report provided at <https://dibnet.dod.mil>.

(2) The Contractor shall report the following information pursuant to paragraph (d)(1) of this clause

(i) Within one business day from the date of such identification or notification: the contract number; the order number(s), if applicable; supplier name; supplier unique entity identifier (if known); supplier Commercial and Government Entity (CAGE) code (if known); brand; model number (original equipment manufacturer number, manufacturer part number, or wholesaler number); item description; and any readily available information about mitigation actions undertaken or recommended.

(ii) Within 10 business days of submitting the information in paragraph (d)(2)(i) of this clause: any further available information about mitigation actions undertaken or recommended. In addition, the Contractor shall describe the efforts it undertook to prevent use or submission of covered telecommunications equipment or services, and any additional efforts that will be incorporated to prevent future use or submission of covered telecommunications equipment or services.

(e) *Subcontracts*. The Contractor shall insert the substance of this clause, including this paragraph (e), in all subcontracts and other contractual instruments, including subcontracts for the acquisition of commercial items.

(End of clause)

## **2.2.2 FAR 52.212-5 -- CONTRACT TERMS AND CONDITIONS REQUIRED TO IMPLEMENT STATUTES OR EXECUTIVE ORDERS-COMMERCIAL ITEMS (NOV2020)**

(a) The Contractor shall comply with the following Federal Acquisition Regulation (FAR) clauses, which are incorporated in this contract by reference, to implement provisions of law or Executive orders applicable to acquisitions of commercial items:

(1) [52.203-19](#), Prohibition on Requiring Certain Internal Confidentiality Agreements or Statements (JAN 2017) (section 743 of Division E, Title VII, of the Consolidated and Further Continuing Appropriations Act, 2015 (Pub. L. 113-235) and its successor provisions in subsequent appropriations acts (and as extended in continuing resolutions)).

(2) [52.204-23](#), Prohibition on Contracting for Hardware, Software, and Services Developed or Provided by Kaspersky Lab and Other Covered Entities (JUL 2018) (Section 1634 of Pub. L. 115-91).



- (3) [52.204-25](#), Prohibition on Contracting for Certain Telecommunications and Video Surveillance Services or Equipment. (AUG 2020) (Section 889(a)(1)(A) of Pub. L. 115-232).
- (4) [52.209-10](#), Prohibition on Contracting with Inverted Domestic Corporations (NOV 2015).
- (5) [52.233-3](#), Protest After Award (AUG 1996) ([31 U.S.C. 3553](#)).
- (6) [52.233-4](#), Applicable Law for Breach of Contract Claim (OCT 2004) (Public Laws 108-77 and 108-78 ( [19 U.S.C. 3805 note](#))).
- (b) The Contractor shall comply with the FAR clauses in this paragraph (b) that the Contracting Officer has indicated as being incorporated in this contract by reference to implement provisions of law or Executive orders applicable to acquisitions of commercial items:  
[Contracting Officer check as appropriate.]
- (1) [52.203-6](#), Restrictions on Subcontractor Sales to the Government (JUNE 2020), with *Alternate I* (OCT 1995) ([41 U.S.C. 4704](#) and [10 U.S.C. 2402](#)).
- (2) [52.203-13](#), Contractor Code of Business Ethics and Conduct (JUN 2020) ([41 U.S.C. 3509](#))).
- (3) [52.203-15](#), Whistleblower Protections under the American Recovery and Reinvestment Act of 2009 (JUN 2010) (Section 1553 of Pub. L. 111-5). (Applies to contracts funded by the American Recovery and Reinvestment Act of 2009.)
- (4) [52.204-10](#), Reporting Executive Compensation and First-Tier Subcontract Awards (JUN 2020) (Pub. L. 109-282) ( [31 U.S.C. 6101 note](#)).
- (5) [Reserved].
- (6) [52.204-14](#), Service Contract Reporting Requirements (OCT 2016) (Pub. L. 111-117, section 743 of Div. C).
- (7) [52.204-15](#), Service Contract Reporting Requirements for Indefinite-Delivery Contracts (OCT 2016) (Pub. L. 111-117, section 743 of Div. C).
- (8) [52.209-6](#), Protecting the Government's Interest When Subcontracting with Contractors Debarred, Suspended, or Proposed for Debarment. (JUN 2020) ([31 U.S.C. 6101 note](#)).
- (9) [52.209-9](#), Updates of Publicly Available Information Regarding Responsibility Matters (OCT 2018) ([41 U.S.C. 2313](#)).
- (10) [Reserved].
- (11) (i) [52.219-3](#), Notice of HUBZone Set-Aside or Sole-Source Award (MAR 2020) ([15 U.S.C. 657a](#)).
- (ii) Alternate I (MAR 2020) of [52.219-3](#).
- (12) (i) [52.219-4](#), Notice of Price Evaluation Preference for HUBZone Small Business Concerns (MAR 2020) (if the offeror elects to waive the preference, it shall so indicate in its offer) ([15 U.S.C. 657a](#)).
- (ii) Alternate I (MAR 2020) of [52.219-4](#).
- (13) [Reserved]
- (14) (i) [52.219-6](#), Notice of Total Small Business Set-Aside (MAR 2020) ([15 U.S.C. 644](#)).
- (ii) Alternate I (MAR 2020) of [52.219-6](#).
- (15) (i) [52.219-7](#), Notice of Partial Small Business Set-Aside (MAR 2020) ([15 U.S.C. 644](#)).
- (ii) Alternate I (MAR 2020) of [52.219-7](#).
- (16) [52.219-8](#), Utilization of Small Business Concerns (OCT 2018) ([15 U.S.C. 637\(d\)\(2\)](#) and (3)).
- (17) (i) [52.219-9](#), Small Business Subcontracting Plan (JUN 2020) ([15 U.S.C. 637\(d\)\(4\)](#)).

- \_\_\_ (ii) Alternate I (Nov 2016) of [52.219-9](#).
- \_\_\_ (iii) Alternate II (Nov 2016) of [52.219-9](#).
- \_\_\_ (iv) Alternate III (JUN 2020) of [52.219-9](#).
- \_\_\_ (v) Alternate IV (JUN 2020) of [52.219-9](#).
- \_\_\_ (18) (i) [52.219-13](#), Notice of Set-Aside of Orders (MAR 2020) ([15 U.S.C. 644\(r\)](#)).
- \_\_\_ (ii) Alternate I (MAR 2020) of [52.219-13](#).
- \_\_\_ (19) [52.219-14](#), Limitations on Subcontracting (MAR 2020) ([15 U.S.C. 637\(a\)\(14\)](#)).
- \_\_\_ (20) [52.219-16](#), Liquidated Damages-Subcontracting Plan (JAN 1999) ([15 U.S.C. 637\(d\)\(4\)\(F\)\(i\)](#)).
- \_\_\_ (21) [52.219-27](#), Notice of Service-Disabled Veteran-Owned Small Business Set-Aside (MAR 2020) ([15 U.S.C. 657f](#)).
- (22) (i) [52.219-28](#), Post Award Small Business Program Rerepresentation (MAY 2020) ([15 U.S.C. 632\(a\)\(2\)](#)).
- \_\_\_ (ii) Alternate I (MAR 2020) of [52.219-28](#).
- \_\_\_ (23) [52.219-29](#), Notice of Set-Aside for, or Sole Source Award to, Economically Disadvantaged Women-Owned Small Business Concerns (MAR 2020) ([15 U.S.C. 637\(m\)](#)).
- \_\_\_ (24) [52.219-30](#), Notice of Set-Aside for, or Sole Source Award to, Women-Owned Small Business Concerns Eligible Under the Women-Owned Small Business Program (Mar2020) ([15 U.S.C. 637\(m\)](#)).
- \_\_\_ (25) [52.219-32](#), Orders Issued Directly Under Small Business Reserves (MAR 2020) ([15 U.S.C. 644\(r\)](#)).
- \_\_\_ (26) [52.219-33](#), Nonmanufacturer Rule (MAR 2020) ([15U.S.C. 637\(a\)\(17\)](#)).
- (27) [52.222-3](#), Convict Labor (JUN 2003) (E.O.11755).
- \_\_\_ (28) [52.222-19](#), Child Labor-Cooperation with Authorities and Remedies (JAN2020) (E.O.13126).
- (29) [52.222-21](#), Prohibition of Segregated Facilities (APR 2015).
- (30) (i) [52.222-26](#), Equal Opportunity (SEP 2016) (E.O.11246).
- \_\_\_ (ii) Alternate I (FEB 1999) of [52.222-26](#).
- (31) (i) [52.222-35](#), Equal Opportunity for Veterans (JUN 2020) ([38 U.S.C. 4212](#)).
- \_\_\_ (ii) Alternate I (JUL 2014) of [52.222-35](#).
- (32) (i) [52.222-36](#), Equal Opportunity for Workers with Disabilities (JUN 2020) ([29 U.S.C. 793](#)).
- \_\_\_ (ii) Alternate I (JUL 2014) of [52.222-36](#).
- (33) [52.222-37](#), Employment Reports on Veterans (JUN 2020) ([38 U.S.C. 4212](#)).
- (34) [52.222-40](#), Notification of Employee Rights Under the National Labor Relations Act (DEC 2010) (E.O. 13496).
- (35) (i) [52.222-50](#), Combating Trafficking in Persons (OCT 2020) ([22 U.S.C. chapter 78](#) and E.O. 13627).
- \_\_\_ (ii) Alternate I (MAR 2015) of [52.222-50](#) ([22 U.S.C. chapter 78](#) and E.O. 13627).
- (36) [52.222-54](#), Employment Eligibility Verification (OCT 2015). (Executive Order 12989). (Not applicable to the acquisition of commercially available off-the-shelf items or certain other types of commercial items as prescribed in [22.1803](#).)
- \_\_\_ (37) (i) [52.223-9](#), Estimate of Percentage of Recovered Material Content for EPA–Designated Items (May 2008) ( [42 U.S.C. 6962\(c\)\(3\)\(A\)\(ii\)](#)). (Not applicable to the acquisition of commercially available off-the-shelf items.)

- \_\_\_ (ii) Alternate I (MAY 2008) of [52.223-9](#) ([42 U.S.C. 6962\(i\)\(2\)\(C\)](#)). (Not applicable to the acquisition of commercially available off-the-shelf items.)
- \_\_\_ (38) [52.223-11](#), Ozone-Depleting Substances and High Global Warming Potential Hydrofluorocarbons (Jun 2016) (E.O. 13693).
- \_\_\_ (39) [52.223-12](#), Maintenance, Service, Repair, or Disposal of Refrigeration Equipment and Air Conditioners (JUN 2016) (E.O. 13693).
- \_\_\_ (40) (i) [52.223-13](#), Acquisition of EPEAT®-Registered Imaging Equipment (JUN 2014) (E.O.s 13423 and 13514).
- \_\_\_ (ii) Alternate I (OCT 2015) of [52.223-13](#).
- \_\_\_ (41) (i) [52.223-14](#), Acquisition of EPEAT®-Registered Televisions (JUN 2014) (E.O.s 13423 and 13514).
- \_\_\_ (ii) Alternate I (Jun2014) of [52.223-14](#).
- \_\_\_ (42) [52.223-15](#), Energy Efficiency in Energy-Consuming Products (MAY 2020) ([42 U.S.C. 8259b](#)).
- \_\_\_ (43) (i) [52.223-16](#), Acquisition of EPEAT®-Registered Personal Computer Products (OCT 2015) (E.O.s 13423 and 13514).
- \_\_\_ (ii) Alternate I (JUN 2014) of [52.223-16](#).
- X (44) [52.223-18](#), Encouraging Contractor Policies to Ban Text Messaging While Driving (JUN 2020) (E.O. 13513).
- \_\_\_ (45) [52.223-20](#), Aerosols (JUN 2016) (E.O. 13693).
- \_\_\_ (46) [52.223-21](#), Foams (Jun2016) (E.O. 13693).
- X (47) (i) [52.224-3](#) Privacy Training (JAN 2017) (5 U.S.C. 552 a).
- \_\_\_ (ii) Alternate I (JAN 2017) of [52.224-3](#).
- \_\_\_ (48) [52.225-1](#), Buy American-Supplies (May 2014) ([41 U.S.C. chapter 83](#)).
- \_\_\_ (49) (i) [52.225-3](#), Buy American-Free Trade Agreements-Israeli Trade Act (MAY 2014) ([41 U.S.C. chapter 83](#), [19 U.S.C. 3301](#) note, [19 U.S.C. 2112](#) note, [19 U.S.C. 3805](#) note, [19 U.S.C. 4001](#) note, Pub. L. 103-182, 108-77, 108-78, 108-286, 108-302, 109-53, 109-169, 109-283, 110-138, 112-41, 112-42, and 112-43).
- \_\_\_ (ii) Alternate I (MAY 2014) of [52.225-3](#).
- \_\_\_ (iii) Alternate II (MAY 2014) of [52.225-3](#).
- \_\_\_ (iv) Alternate III (MAY 2014) of [52.225-3](#).
- \_\_\_ (50) [52.225-5](#), Trade Agreements (OCT 2019) ([19 U.S.C. 2501](#), *et seq.*, [19 U.S.C. 3301](#) note).
- X (51) [52.225-13](#), Restrictions on Certain Foreign Purchases (JUN 2008) (E.O.'s, proclamations, and statutes administered by the Office of Foreign Assets Control of the Department of the Treasury).
- \_\_\_ (52) [52.225-26](#), Contractors Performing Private Security Functions Outside the United States (Oct 2016) (Section 862, as amended, of the National Defense Authorization Act for Fiscal Year 2008; [10 U.S.C. 2302Note](#)).
- \_\_\_ (53) [52.226-4](#), Notice of Disaster or Emergency Area Set-Aside (Nov2007) ([42 U.S.C. 5150](#)).
- \_\_\_ (54) [52.226-5](#), Restrictions on Subcontracting Outside Disaster or Emergency Area (Nov2007) ([42 U.S.C. 5150](#)).
- \_\_\_ (55) [52.229-12](#), Tax on Certain Foreign Procurements (JUN 2020).
- \_\_\_ (56) [52.232-29](#), Terms for Financing of Purchases of Commercial Items (FEB 2002) ([41 U.S.C. 4505](#), [10 U.S.C. 2307\(f\)](#)).

(57) [52.232-30](#), Installment Payments for Commercial Items (Jan2017) ([41 U.S.C. 4505](#), [10 U.S.C. 2307\(f\)](#)).

(58) [52.232-33](#), Payment by Electronic Funds Transfer-System for Award Management (OCT2018) ([31 U.S.C. 3332](#)).

(59) [52.232-34](#), Payment by Electronic Funds Transfer-Other than System for Award Management (Jul 2013) ([31 U.S.C. 3332](#)).

(60) [52.232-36](#), Payment by Third Party (MAY 2014) ([31 U.S.C. 3332](#)).

(61) [52.239-1](#), Privacy or Security Safeguards (AUG 1996) ([5 U.S.C. 552a](#)).

(62) [52.242-5](#), Payments to Small Business Subcontractors (JAN 2017) ([15 U.S.C. 637\(d\)\(13\)](#)).

(63) (i) [52.247-64](#), Preference for Privately Owned U.S.-Flag Commercial Vessels (FEB 2006) ([46 U.S.C. Appx. 1241\(b\)](#) and [10 U.S.C. 2631](#)).

(ii) Alternate I (APR 2003) of [52.247-64](#).

(iii) Alternate II (FEB 2006) of [52.247-64](#).

(c) The Contractor shall comply with the FAR clauses in this paragraph (c), applicable to commercial services, that the Contracting Officer has indicated as being incorporated in this contract by reference to implement provisions of law or Executive orders applicable to acquisitions of commercial items:

[Contracting Officer check as appropriate.]

(1) [52.222-41](#), Service Contract Labor Standards (AUG 2018) ([41 U.S.C. chapter67](#)).

(2) [52.222-42](#), Statement of Equivalent Rates for Federal Hires (MAY 2014) ([29 U.S.C. 206](#) and [41 U.S.C. chapter 67](#)).

(3) [52.222-43](#), Fair Labor Standards Act and Service Contract Labor Standards-Price Adjustment (Multiple Year and Option Contracts) (AUG 2018) ([29 U.S.C. 206](#) and [41 U.S.C. chapter 67](#)).

(4) [52.222-44](#), Fair Labor Standards Act and Service Contract Labor Standards-Price Adjustment (May 2014) ([29 U.S.C. 206](#) and [41 U.S.C. chapter 67](#)).

(5) [52.222-51](#), Exemption from Application of the Service Contract Labor Standards to Contracts for Maintenance, Calibration, or Repair of Certain Equipment-Requirements (May 2014) ([41 U.S.C. chapter 67](#)).

(6) [52.222-53](#), Exemption from Application of the Service Contract Labor Standards to Contracts for Certain Services-Requirements (MAY 2014) ([41 U.S.C. chapter 67](#)).

(7) [52.222-55](#), Minimum Wages Under Executive Order 13658 (NOV 2020).

(8) [52.222-62](#), Paid Sick Leave Under Executive Order 13706 (JAN 2017) (E.O. 13706).

(9) [52.226-6](#), Promoting Excess Food Donation to Nonprofit Organizations (Jun 2020) ([42 U.S.C. 1792](#)).

(d) *Comptroller General Examination of Record*. The Contractor shall comply with the provisions of this paragraph (d) if this contract was awarded using other than sealed bid, is in excess of the simplified acquisition threshold, as defined in FAR [2.101](#), on the date of award of this contract, and does not contain the clause at [52.215-2](#), Audit and Records-Negotiation.

(1) The Comptroller General of the United States, or an authorized representative of the Comptroller General, shall have access to and right to examine any of the Contractor's directly pertinent records involving transactions related to this contract.

(2) The Contractor shall make available at its offices at all reasonable times the records, materials, and other evidence for examination, audit, or reproduction, until 3 years after final payment under this contract or for any shorter period specified in FAR subpart [4.7](#), Contractor

Records Retention, of the other clauses of this contract. If this contract is completely or partially terminated, the records relating to the work terminated shall be made available for 3 years after any resulting final termination settlement. Records relating to appeals under the disputes clause or to litigation or the settlement of claims arising under or relating to this contract shall be made available until such appeals, litigation, or claims are finally resolved.

(3) As used in this clause, records include books, documents, accounting procedures and practices, and other data, regardless of type and regardless of form. This does not require the Contractor to create or maintain any record that the Contractor does not maintain in the ordinary course of business or pursuant to a provision of law.

(e) (1) Notwithstanding the requirements of the clauses in paragraphs (a), (b), (c), and (d) of this clause, the Contractor is not required to flow down any FAR clause, other than those in this paragraph (e)(1) in a subcontract for commercial items. Unless otherwise indicated below, the extent of the flow down shall be as required by the clause-

(i) [52.203-13](#), Contractor Code of Business Ethics and Conduct (JUN 2020) ([41 U.S.C. 3509](#)).

(ii) [52.203-19](#), Prohibition on Requiring Certain Internal Confidentiality Agreements or Statements (Jan 2017) (section 743 of Division E, Title VII, of the Consolidated and Further Continuing Appropriations Act, 2015 (Pub. L. 113-235) and its successor provisions in subsequent appropriations acts (and as extended in continuing resolutions)).

(iii) [52.204-23](#), Prohibition on Contracting for Hardware, Software, and Services Developed or Provided by Kaspersky Lab and Other Covered Entities (JUL 2018) (Section 1634 of Pub. L. 115-91).

(iv) [52.204-25](#), Prohibition on Contracting for Certain Telecommunications and Video Surveillance Services or Equipment. (AUG 2020) (Section 889(a)(1)(A) of Pub. L. 115-232).

(v) [52.219-8](#), Utilization of Small Business Concerns (OCT 2018) ([15 U.S.C. 637\(d\)\(2\)](#) and (3)), in all subcontracts that offer further subcontracting opportunities. If the subcontract (except subcontracts to small business concerns) exceeds the applicable threshold specified in FAR [19.702\(a\)](#) on the date of subcontract award, the subcontractor must include [52.219-8](#) in lower tier subcontracts that offer subcontracting opportunities.

(vi) [52.222-21](#), Prohibition of Segregated Facilities (APR 2015).

(vii) [52.222-26](#), Equal Opportunity (SEP 2015) (E.O.11246).

(viii) [52.222-35](#), Equal Opportunity for Veterans (JUN 2020) ([38 U.S.C. 4212](#)).

(ix) [52.222-36](#), Equal Opportunity for Workers with Disabilities (JUN 2020) ([29 U.S.C. 793](#)).

(x) [52.222-37](#), Employment Reports on Veterans (JUN 2020) ([38 U.S.C. 4212](#)).

(xi) [52.222-40](#), Notification of Employee Rights Under the National Labor Relations Act (DEC 2010) (E.O. 13496). Flow down required in accordance with paragraph (f) of FAR clause [52.222-40](#).

(xii) [52.222-41](#), Service Contract Labor Standards (Aug2018) ([41 U.S.C. chapter 67](#)).

(xiii)

(A) [52.222-50](#), Combating Trafficking in Persons (OCT 2020) ([22 U.S.C. chapter 78](#) and E.O 13627).

(B) Alternate I (Mar2015) of [52.222-50](#) ([22 U.S.C. chapter 78 and E.O. 13627](#)).

(xiv) [52.222-51](#), Exemption from Application of the Service Contract Labor Standards to Contracts for Maintenance, Calibration, or Repair of Certain Equipment-Requirements (May2014) ([41 U.S.C. chapter 67](#)).

- (xv) [52.222-53](#), Exemption from Application of the Service Contract Labor Standards to Contracts for Certain Services-Requirements (MAY2014) ([41 U.S.C. chapter 67](#)).
  - (xvi) [52.222-54](#), Employment Eligibility Verification (OCT 2015) (E.O. 12989).
  - (xvii) [52.222-55](#), Minimum Wages Under Executive Order 13658 (NOV2015).
  - (xviii) [52.222-62](#), Paid Sick Leave Under Executive Order 13706 (JAN 2017) (E.O. 13706).
  - (xix)
  - (A) [52.224-3](#), Privacy Training (Jan 2017) ([5 U.S.C. 552a](#)).
  - (B) Alternate I (JAN 2017) of [52.224-3](#).
  - (xx) [52.225-26](#), Contractors Performing Private Security Functions Outside the United States (OCT 2016) (Section 862, as amended, of the National Defense Authorization Act for Fiscal Year 2008; [10 U.S.C. 2302 Note](#)).
  - (xxi) [52.226-6](#), Promoting Excess Food Donation to Nonprofit Organizations (JUN 2020) ([42 U.S.C. 1792](#)). Flow down required in accordance with paragraph (e) of FAR clause 52.226-6.
  - (xxii) [52.247-64](#), Preference for Privately Owned U.S.-Flag Commercial Vessels (FEB 2006) ([46 U.S.C. Appx. 1241\(b\)](#) and [10 U.S.C. 2631](#)). Flow down required in accordance with paragraph (d) of FAR clause 52.247-64.
- (2) While not required, the Contractor may include in its subcontracts for commercial items a minimal number of additional clauses necessary to satisfy its contractual obligations.

(End of clause)

### **2.2.3 FAR 52.217-8 -- OPTION TO EXTEND SERVICES (NOV 1999)**

The Government may require continued performance of any services within the limits and at the rates specified in the contract. These rates may be adjusted only as a result of revisions to prevailing labor rates provided by the Secretary of Labor. The option provision may be exercised more than once, but the total extension of performance hereunder shall not exceed 6 months. The Contracting Officer may exercise the option by written notice to the Contractor within **10 days** of contract end date.

(End of Clause)

### **2.2.4 FAR 52.217-9 -- OPTION TO EXTEND THE TERM OF THE CONTRACT (MAR 2000)**

(a) The Government may extend the term of this contract by written notice to the Contractor within **30 days**; provided that the Government gives the Contractor a preliminary written notice of its intent to extend at least **60 days** before the contract expires. The preliminary notice does not commit the Government to an extension.

(b) If the Government exercises this option, the extended contract shall be considered to include this option clause.

(c) The total duration of this contract, including the exercise of any options under this clause, shall not exceed **60 months**.

(End of clause)

### **2.2.5 FAR 52.219-14 – LIMITATIONS ON SUBCONTRACTING (DEVIATION 19-01)(AUG 2020)**

(a) This clause does not apply to the unrestricted portion of a partial set-aside.

(b) *Definition.* “Similarly situated entity,” as used in this clause, means a first-tier subcontractor, including an independent contractor, that—

(1) Has the same small business program status as that which qualified the prime contractor for the award (e.g., for a small business set-aside contract, any small business concern, without regard to its socioeconomic status); and

(2) Is considered small for the size standard under the North American Industry Classification System (NAICS) code the prime contractor assigned to the subcontract.

(c) *Applicability.* This clause applies only to—

(1) Contracts that have been set aside for any of the small business concerns identified in 19.000(a)(3);

(2) Part or parts of a multiple-award contract that have been set aside for any of the small business concerns identified in 19.000(a)(3);

(3) Contracts that have been awarded on a sole-source basis in accordance with subparts 19.8, 19.13, 19.14, and 19.15;

(4) Orders expected to exceed the simplified acquisition threshold and that are—  
(i) Set aside for small business concerns under multiple-award contracts, as described in 8.405-5 and 16.505(b)(2)(i)(F); or  
(ii) Issued directly to small business concerns under multiple-award contracts as described in 19.504(c)(1)(ii);

(5) Orders, regardless of dollar value, that are—

(i) Set aside in accordance with subparts 19.8, 19.13, 19.14, or 19.15 under multiple-award contracts, as described in 8.405-5 and 16.505(b)(2)(i)(F); or  
(ii) Issued directly to concerns that qualify for the programs described in subparts 19.8, 19.13, 19.14, or 19.15 under multiple-award contracts, as described in 19.504(c)(1)(ii); and

(6) Contracts using the HUBZone price evaluation preference to award to a HUBZone small business concern unless the concern waived the evaluation preference.

(d) *Independent contractors.* An independent contractor shall be considered a subcontractor.

(e) *Limitations on subcontracting.* By submission of an offer and execution of a contract, the Contractor agrees that, in performance of a contract assigned a North American Industry Classification System (NAICS) code for—

(1) Services (except construction), it will not pay more than 50 percent of the amount paid by the Government for contract performance to subcontractors that are not similarly situated entities. Any work that a similarly situated entity further subcontracts will count towards the prime contractor's 50 percent subcontract amount that cannot be exceeded. When a contract includes both services and supplies, the 50 percent limitation shall apply only to the service portion of the contract;

(2) Supplies (other than procurement from a non- manufacturer of such supplies), it will not pay more than 50 percent of the amount paid by the Government for contract performance, excluding the cost of materials, to subcontractors that are not similarly situated entities. Any work that a similarly situated entity further subcontracts will count towards the prime contractor's 50 percent subcontract amount that cannot be exceeded. When a contract includes both supplies and services, the 50 percent limitation shall apply only to the supply portion of the contract;

(3) General construction, it will not pay more than 85 percent of the amount paid by the Government for contract performance, excluding the cost of materials, to subcontractors that are not similarly situated entities. Any work that a similarly situated entity further subcontracts will count towards the prime contractor's 85 percent subcontract amount that cannot be exceeded; or

(4) Construction by special trade contractors, it will not pay more than 75 percent of the amount paid by the Government for contract performance, excluding the cost of materials, to subcontractors that are not similarly situated entities. Any work that a similarly situated entity further subcontracts will count towards the prime contractor's 75 percent subcontract amount that cannot be exceeded.

(f) The Contractor shall comply with the limitations on subcontracting as follows:

(1) For contracts, in accordance with paragraphs (c)(1), (2), (3), and (6) of this clause

            
*Contracting Officer check as appropriate.*

  X   By the end of the base term of the contract and then by the end of each subsequent option period; or

       By the end of the performance period for each order issued under the contract.



(2) For orders, in accordance with paragraphs (c)(4) and (5) of this clause, by the end of the performance period for the order.

(g) A joint venture agrees that, in the performance of the contract, the applicable percentage specified in paragraph (e) of this clause will be performed by the aggregate of the joint venture participants.

(End of clause)

**2.2.6 FAR 52.222-42 -- STATEMENT OF EQUIVALENT RATES FOR FEDERAL HIRES (MAY 2014)**

In compliance with the Service Contract Labor Standards statute and the regulations of the Secretary of Labor (29 CFR part 4), this clause identifies the classes of service employees expected to be employed under the contract and states the wages and fringe benefits payable to each if they were employed by the contracting agency subject to the provisions of 5 U.S.C. 5341 or 5332.

This Statement is for Information Only:  
It is not a Wage Determination

<b>Employee Class</b>	<b>Series / Grade / Wages / Fringe Benefits</b>
Data Entry Operator II	GS-0356-03 / \$13.46
General Clerk I	GS-0303-02 / \$12.33
General Clerk II	GS-0303-03 / \$13.46
General Clerk III	GS-0303-04 / \$15.11
Shipping Packer	WG-7002-04 / \$20.53
Driver Courier	GS-0302-02 / \$12.33
Material Handling Laborer	WG-6907-04 / \$20.53

(End of clause)

**2.2.7 FAR 52.232-40—PROVIDING ACCELERATED PAYMENTS TO SMALL BUSINESS SUBCONTRACTORS (DEC 2013) (DEVIATION APR 2020)**

(a)(1) In accordance with 31 U.S.C. 3903 and 10 U.S.C. 2307, upon receipt of accelerated payments from the Government, the Contractor shall make accelerated payments to its small business subcontractors under this contract in accordance with the accelerated payment date established, to the maximum extent practicable and prior to when such payment is otherwise required under the applicable contract or subcontract, with a goal of 15 days after receipt of a proper invoice and all other required documentation from the small business subcontractor if a specific payment date is not established by contract.

- (2) The Contractor agrees to make such payments to its small business subcontractors without any further consideration from or fees charged to the subcontractor.
- (b) The acceleration of payments under this clause does not provide any new rights under the Prompt Payment Act.
- (c) Include the substance of this clause, including this paragraph (c), in all subcontracts with small business concerns, including subcontracts with small business concerns for the acquisition of commercial items.

(End of clause)

### 2.3 HSAR CLAUSES INCORPORATED BY REFERENCE

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/these address(es):

HSAR: <https://www.acquisition.gov/content/supplemental-regulations>

<u>HSAR Number</u>	<u>Title</u>	<u>Date</u>
3052.222-70	STRIKES OR PICKETING AFFECTING TIMELY COMPLETION OF THE CONTRACT WORK	DEC 2003
3052.222-71	STRIKES OR PICKETING AFFECTING ACCESS TO A DHS FACILITY	DEC 2003

### 2.4 HSAR CLAUSES INCORPORATED IN FULL TEXT

#### 2.4.1 HSAR 3052.212-70 -- CONTRACT TERMS AND CONDITIONS APPLICABLE TO DHS ACQUISITION OF COMMERCIAL ITEMS (SEP 2012)

The Contractor agrees to comply with any provision or clause that is incorporated herein by reference to implement agency policy applicable to acquisition of commercial items or components. The provision or clause in effect based on the applicable regulation cited on the date the solicitation is issued applies unless otherwise stated herein. The following provisions and clauses are incorporated by reference:

(a) Provisions.

3052.209-72 Organizational Conflicts of Interest.

3052.216-70 Evaluation of Offers Subject to An Economic Price Adjustment Clause.

3052.219-72 Evaluation of Prime Contractor Participation in the DHS Mentor Protégé Program.

(b) Clauses.

- 3052.203-70 Instructions for Contractor Disclosure of Violations.
- 3052.204-70 Security Requirements for Unclassified Information Technology Resources.
- 3052.204-71 Contractor Employee Access.
- Alternate I
- 3052.205-70 Advertisement, Publicizing Awards, and Releases.
- 3052.209-73 Limitation on Future Contracting.
- 3052.215-70 Key Personnel or Facilities.
- 3052.216-71 Determination of Award Fee.
- 3052.216-72 Performance Evaluation Plan.
- 3052.216-73 Distribution of Award Fee.
- 3052.217-91 Performance. (USCG)
- 3052.217-92 Inspection and Manner of Doing Work. (USCG)
- 3052.217-93 Subcontracts. (USCG)
- 3052.217-94 Lay Days. (USCG)
- 3052.217-95 Liability and Insurance. (USCG)
- 3052.217-96 Title. (USCG)
- 3052.217-97 Discharge of Liens. (USCG)
- 3052.217-98 Delays. (USCG)
- 3052.217-99 Department of Labor Safety and Health Regulations for Ship Repair. (USCG)
- 3052.217-100 Guarantee. (USCG)
- 3052.219-70 Small Business Subcontracting Plan Reporting.
- 3052.219-71 DHS Mentor Protégé Program.
- 3052.228-70 Insurance.
- 3052.228-90 Notification of Miller Act Payment Bond Protection. (USCG)
- 3052.228-91 Loss of or Damage to Leased Aircraft. (USCG)
- 3052.228-92 Fair Market Value of Aircraft. (USCG)
- 3052.228-93 Risk and Indemnities. (USCG)
- 3052.236-70 Special Provisions for Work at Operating Airports.
- 3052.242-72 Contracting Officer's Technical Representative.
- 3052.247-70 F.o.B. Origin Information.
- Alternate I
- Alternate II
- 3052.247-71 F.o.B. Origin Only.
- 3052.247-72 F.o.B. Destination Only.

(End of clause)

#### **2.4.2 3052.215-70 -- KEY PERSONNEL OR FACILITIES (DEC 2003)**

(a) The personnel or facilities specified below are considered essential to the work being performed under this contract and may, with the consent of the contracting parties, be changed

from time to time during the course of the contract by adding or deleting personnel or facilities, as appropriate.

(b) Before replacing any of the specified individuals or facilities, the contractor shall notify the contracting officer, in writing, before the change becomes effective. The contractor shall submit sufficient information to support the proposed action and to enable the contracting officer to evaluate the potential impact of the change on this contract. The contractor shall not remove or replace personnel or facilities until the contracting officer approves the change on this contract. The Key Personnel under this contract are as follows:

- **Program Manager**
- **Deputy Program Manager**

(End of clause)

#### **2.4.3 3052.222-72 – COMBATING RACE AND SEX STEREOTYPING (DEVIATION 2021-01) (NOV 2020)**

(a) *Definition.* As used in this clause-

*Race or sex stereotyping* means ascribing character traits, values, moral and ethical codes, privileges, status, or beliefs to a race or sex, or to an individual because of his or her race or sex.

*Race or sex scapegoating* means assigning fault, blame, or bias to a race or sex, or to members of a race or sex because of their race or sex.

(b) *Exemptions.* The exemptions that apply to Executive Order (E.O.) 11246 (see FAR 22.807) also apply to E.O. 13950 and the requirements of this clause.

(c) *Compliance with E.O. 13950 Combating Race and Sex Stereotyping.* Unless exempted under paragraph (b) of this clause, the Contractor shall not use any workplace training that inculcates in its employees any form of race or sex stereotyping or any form of race or sex scapegoating, including the concepts that—

- (1) One race or sex is inherently superior to another race or sex;
- (2) An individual, by virtue of his or her race or sex, is inherently racist, sexist, or oppressive, whether consciously or unconsciously;
- (3) An individual should be discriminated against or receive adverse treatment solely or partly because of his or her race or sex;
- (4) Members of one race or sex cannot and should not attempt to treat others without respect to race or sex;
- (5) An individual's moral character is necessarily determined by his or her race or sex;
- (6) An individual, by virtue of his or her race or sex, bears responsibility for actions committed in the past by other members of the same race or sex;



(7) Any individual should feel discomfort, guilt, anguish, or any other form of psychological distress on account of his or her race or sex; or

(8) Meritocracy or traits such as a hard work ethic are racist or sexist, or were created by a particular race to oppress another race.

(d) *Notice.* The Contractor shall send, to each labor union or representative of workers with which it has a collective bargaining agreement or other contract or understanding, the notice provided below advising the labor union or workers' representative of the Contractor's commitments under this clause, and post copies of the notice in conspicuous places available to employees and applicants for employment.

## NOTICE

### **E.O. 13950, Combating Race and Sex Stereotyping**

#### **Employers Holding Federal Contracts or Subcontracts**

Contractors shall not use any workplace training that inculcates in its employees any form of race or sex stereotyping or any form of race or sex scapegoating, including the following concepts that—

- (1) One race or sex is inherently superior to another race or sex;
- (2) An individual, by virtue of his or her race or sex, is inherently racist, sexist, or oppressive, whether consciously or unconsciously;
- (3) An individual should be discriminated against or receive adverse treatment solely or partly because of his or her race or sex;
- (4) Members of one race or sex cannot and should not attempt to treat others without respect to race or sex;
- (5) An individual's moral character is necessarily determined by his or her race or sex;
- (6) An individual, by virtue of his or her race or sex, bears responsibility for actions committed in the past by other members of the same race or sex;
- (7) Any individual should feel discomfort, guilt, anguish, or any other form of psychological distress on account of his or her race or sex; or
- (8) Meritocracy or traits such as a hard work ethic are racist or sexist, or were created by a particular race to oppress another race.

For use in this notice—

“Race or sex scapegoating” means assigning fault, blame, or bias to a race or sex, or to members of a race or sex because of their race or sex; and

“Race or sex stereotyping” means ascribing character traits, values, moral and ethical codes, privileges, status, or beliefs to a race or sex, or to an individual because of his or her race or sex.

Any person who believes a contractor has violated its nondiscrimination or affirmative action obligations under this notice should immediately contact the Office of Federal Contract Compliance Programs (OFCCP) Complaint Hotline to Combat Race and Sex Stereotyping at 202-343-2008 or via email at [OFCCPComplaintHotline@dol.gov](mailto:OFCCPComplaintHotline@dol.gov).

(End of notice)

(e) *Noncompliance.* In the event it is determined that the Contractor is not in compliance with this clause or any rule, regulation, or order of the Secretary of Labor, this contract may be canceled, terminated, or suspended in whole or in part, and the Contractor may be declared ineligible for further Government contracts, under the procedures authorized in E.O. 11246, as amended. In addition, sanctions may be imposed and remedies invoked against the Contractor as provided in E.O. 11246, as amended; in the rules, regulations, and orders of the Secretary of Labor; or as otherwise provided by law.

(f) *Subcontracts.* (1) The Contractor shall include the substance of this clause, including this paragraph (f), in all subcontracts that exceed \$10,000 and are not exempted by the rules, regulations, or orders of the Secretary of Labor issued under E.O. 11246, as amended, so that these terms and conditions will be binding upon each subcontractor.

(2) The Contractor shall take such action with respect to any subcontract as the Director of OFCCP may direct as a means of enforcing these terms and conditions, including sanctions for noncompliance, provided, that if the Contractor becomes involved in, or is threatened with, litigation with a subcontractor as a result of such direction, the Contractor may request the United States to enter into the litigation to protect the interests of the United States.

(End of Clause)

#### **2.4.4 HSAR CLASS DEVIATION 15-01 -- SAFEGUARDING OF SENSITIVE INFORMATION (MAR 2015)**

(a) *Applicability.* This clause applies to the Contractor, its subcontractors, and Contractor employees (hereafter referred to collectively as “Contractor”). The Contractor shall insert the substance of this clause in all subcontracts.

(b) *Definitions.* As used in this clause—

“Personally Identifiable Information (PII)” means information that can be used to distinguish or trace an individual's identity, such as name, social security number, or biometric records, either alone, or when combined with other personal or identifying information that is linked or linkable to a specific individual, such as date and place of birth, or mother's maiden name. The definition of PII is not anchored to any single category of information or technology. Rather, it requires a case-by-case assessment of the specific risk that an individual can be identified. In performing this assessment, it is important for an agency to recognize that non-personally identifiable information can become personally identifiable information whenever additional information is made publicly available—in any medium and from any source—that, combined with other available information, could be used to identify an individual.

PII is a subset of sensitive information. Examples of PII include, but are not limited to: name, date of birth, mailing address, telephone number, Social Security number (SSN), email address, zip code, account numbers, certificate/license numbers, vehicle identifiers including license

plates, uniform resource locators (URLs), static Internet protocol addresses, biometric identifiers such as fingerprint, voiceprint, iris scan, photographic facial images, or any other unique identifying number or characteristic, and any information where it is reasonably foreseeable that the information will be linked with other information to identify the individual. “Sensitive Information” is defined in HSAR clause 3052.204-71, Contractor Employee Access, as any information, which if lost, misused, disclosed, or, without authorization is accessed, or modified, could adversely affect the national or homeland security interest, the conduct of Federal programs, or the privacy to which individuals are entitled under section 552a of Title 5, United States Code (the Privacy Act), but which has not been specifically authorized under criteria established by an Executive Order or an Act of Congress to be kept secret in the interest of national defense, homeland security or foreign policy. This definition includes the following categories of information:

(1) Protected Critical Infrastructure Information (PCII) as set out in the Critical Infrastructure Information Act of 2002 (Title II, Subtitle B, of the Homeland Security Act, Public Law 107-296, 196 Stat. 2135), as amended, the implementing regulations thereto (Title 6, Code of Federal Regulations, Part 29) as amended, the applicable PCII Procedures Manual, as amended, and any supplementary guidance officially communicated by an authorized official of the Department of Homeland Security (including the PCII Program Manager or his/her designee);

(2) Sensitive Security Information (SSI), as defined in Title 49, Code of Federal Regulations, Part 1520, as amended, “Policies and Procedures of Safeguarding and Control of SSI,” as amended, and any supplementary guidance officially communicated by an authorized official of the Department of Homeland Security (including the Assistant Secretary for the Transportation Security Administration or his/her designee);

(3) Information designated as “For Official Use Only,” which is unclassified information of a sensitive nature and the unauthorized disclosure of which could adversely impact a person’s privacy or welfare, the conduct of Federal programs, or other programs or operations essential to the national or homeland security interest; and

(4) Any information that is designated “sensitive” or subject to other controls, safeguards or protections in accordance with subsequently adopted homeland security information handling procedures.

“Sensitive Information Incident” is an incident that includes the known, potential, or suspected exposure, loss of control, compromise, unauthorized disclosure, unauthorized acquisition, or unauthorized access or attempted access of any Government system, Contractor system, or sensitive information.

“Sensitive Personally Identifiable Information (SPII)” is a subset of PII, which if lost, compromised or disclosed without authorization, could result in substantial harm, embarrassment, inconvenience, or unfairness to an individual. Some forms of PII are sensitive as stand-alone elements. Examples of such PII include: Social Security numbers (SSN), driver’s

license or state identification number, Alien Registration Numbers (A-number), financial account number, and biometric identifiers such as fingerprint, voiceprint, or iris scan. Additional examples include any groupings of information that contain an individual's name or other unique identifier plus one or more of the following elements:

- (1) Truncated SSN (such as last 4 digits)
- (2) Date of birth (month, day, and year)
- (3) Citizenship or immigration status
- (4) Ethnic or religious affiliation
- (5) Sexual orientation
- (6) Criminal History
- (7) Medical Information
- (8) System authentication information such as mother's maiden name, account passwords or personal identification numbers (PIN)

Other PII may be "sensitive" depending on its context, such as a list of employees and their performance ratings or an unlisted home address or phone number. In contrast, a business card or public telephone directory of agency employees contains PII but is not sensitive.

(c) *Authorities.* The Contractor shall follow all current versions of Government policies and guidance accessible at <http://www.dhs.gov/dhs-security-and-training-requirements-contractors>, or available upon request from the Contracting Officer, including but not limited to:

- (1) DHS Management Directive 11042.1 Safeguarding Sensitive But Unclassified (for Official Use Only) Information
- (2) DHS Sensitive Systems Policy Directive 4300A
- (3) DHS 4300A Sensitive Systems Handbook and Attachments
- (4) DHS Security Authorization Process Guide
- (5) DHS Handbook for Safeguarding Sensitive Personally Identifiable Information
  - (6) DHS Instruction Handbook 121-01-007 Department of Homeland Security Personnel Suitability and Security Program
- (7) DHS Information Security Performance Plan (current fiscal year)
- (8) DHS Privacy Incident Handling Guidance
- (9) Federal Information Processing Standard (FIPS) 140-2 Security Requirements for Cryptographic Modules accessible at <http://csrc.nist.gov/groups/STM/cmvp/standards.html>
- (10) National Institute of Standards and Technology (NIST) Special Publication 800-53 Security and Privacy Controls for Federal Information Systems and Organizations accessible at <http://csrc.nist.gov/publications/PubsSPs.html>
- (11) NIST Special Publication 800-88 Guidelines for Media Sanitization accessible at <http://csrc.nist.gov/publications/PubsSPs.html>

(d) *Handling of Sensitive Information.* Contractor compliance with this clause, as well as the policies and procedures described below, is required.



(1) Department of Homeland Security (DHS) policies and procedures on Contractor personnel security requirements are set forth in various Management Directives (MDs), Directives, and Instructions. *MD 11042.1, Safeguarding Sensitive But Unclassified (For Official Use Only) Information* describes how Contractors must handle sensitive but unclassified information. DHS uses the term “FOR OFFICIAL USE ONLY” to identify sensitive but unclassified information that is not otherwise categorized by statute or regulation. Examples of sensitive information that are categorized by statute or regulation are PCII, SSI, etc. The *DHS Sensitive Systems Policy Directive 4300A* and the *DHS 4300A Sensitive Systems Handbook* provide the policies and procedures on security for Information Technology (IT) resources. The *DHS Handbook for Safeguarding Sensitive Personally Identifiable Information* provides guidelines to help safeguard SPII in both paper and electronic form. *DHS Instruction Handbook 121-01-007 Department of Homeland Security Personnel Suitability and Security Program* establishes procedures, program responsibilities, minimum standards, and reporting protocols for the DHS Personnel Suitability and Security Program.

(2) The Contractor shall not use or redistribute any sensitive information processed, stored, and/or transmitted by the Contractor except as specified in the contract.

(3) All Contractor employees with access to sensitive information shall execute *DHS Form 11000-6, Department of Homeland Security Non-Disclosure Agreement (NDA)*, as a condition of access to such information. The Contractor shall maintain signed copies of the NDA for all employees as a record of compliance. The Contractor shall provide copies of the signed NDA to the Contracting Officer’s Representative (COR) no later than two (2) days after execution of the form.

(4) The Contractor’s invoicing, billing, and other recordkeeping systems maintained to support financial or other administrative functions shall not maintain SPII. It is acceptable to maintain in these systems the names, titles and contact information for the COR or other Government personnel associated with the administration of the contract, as needed.

(e) *Authority to Operate*. The Contractor shall not input, store, process, output, and/or transmit sensitive information within a Contractor IT system without an Authority to Operate (ATO) signed by the Headquarters or Component CIO, or designee, in consultation with the Headquarters or Component Privacy Officer. Unless otherwise specified in the ATO letter, the ATO is valid for three (3) years. The Contractor shall adhere to current Government policies, procedures, and guidance for the Security Authorization (SA) process as defined below.

(1) Complete the Security Authorization process. The SA process shall proceed according to the *DHS Sensitive Systems Policy Directive 4300A* (Version 11.0, April 30, 2014), or any successor publication, *DHS 4300A Sensitive Systems Handbook* (Version 9.1, July 24, 2012), or any successor publication, and the *Security Authorization Process Guide* including templates.

(i) Security Authorization Process Documentation. SA documentation shall be developed using the Government provided Requirements Traceability Matrix and Government security



documentation templates. SA documentation consists of the following: Security Plan, Contingency Plan, Contingency Plan Test Results, Configuration Management Plan, Security Assessment Plan, Security Assessment Report, and Authorization to Operate Letter. Additional documents that may be required include a Plan(s) of Action and Milestones and Interconnection Security Agreement(s). During the development of SA documentation, the Contractor shall submit a signed SA package, validated by an independent third party, to the COR for acceptance by the Headquarters or Component CIO, or designee, at least thirty (30) days prior to the date of operation of the IT system. The Government is the final authority on the compliance of the SA package and may limit the number of resubmissions of a modified SA package. Once the ATO has been accepted by the Headquarters or Component CIO, or designee, the Contracting Officer shall incorporate the ATO into the contract as a compliance document. The Government's acceptance of the ATO does not alleviate the Contractor's responsibility to ensure the IT system controls are implemented and operating effectively.

(ii) Independent Assessment. Contractors shall have an independent third party validate the security and privacy controls in place for the system(s). The independent third party shall review and analyze the SA package, and report on technical, operational, and management level deficiencies as outlined in *NIST Special Publication 800-53 Security and Privacy Controls for Federal Information Systems and Organizations*. The Contractor shall address all deficiencies before submitting the SA package to the Government for acceptance.

(iii) Support the completion of the Privacy Threshold Analysis (PTA) as needed. As part of the SA process, the Contractor may be required to support the Government in the completion of the PTA. The requirement to complete a PTA is triggered by the creation, use, modification, upgrade, or disposition of a Contractor IT system that will store, maintain and use PII, and must be renewed at least every three (3) years. Upon review of the PTA, the DHS Privacy Office determines whether a Privacy Impact Assessment (PIA) and/or Privacy Act System of Records Notice (SORN), or modifications thereto, are required. The Contractor shall provide all support necessary to assist the Department in completing the PIA in a timely manner and shall ensure that project management plans and schedules include time for the completion of the PTA, PIA, and SORN (to the extent required) as milestones. Support in this context includes responding timely to requests for information from the Government about the use, access, storage, and maintenance of PII on the Contractor's system, and providing timely review of relevant compliance documents for factual accuracy. Information on the DHS privacy compliance process, including PTAs, PIAs, and SORNs, is accessible at <http://www.dhs.gov/privacy-compliance>.

(2) *Renewal of ATO*. Unless otherwise specified in the ATO letter, the ATO shall be renewed every three (3) years. The Contractor is required to update its SA package as part of the ATO renewal process. The Contractor shall update its SA package by one of the following methods:

(1) Updating the SA documentation in the DHS automated information assurance tool for acceptance by the Headquarters or Component CIO, or designee, at least 90 days before the ATO expiration date for review and verification of security controls; or (2) Submitting an updated SA package directly to the COR for approval by the Headquarters or Component CIO,

or designee, at least 90 days before the ATO expiration date for review and verification of security controls. The 90 day review process is independent of the system production date and therefore it is important that the Contractor build the review into project schedules. The reviews may include onsite visits that involve physical or logical inspection of the Contractor environment to ensure controls are in place.

(3) *Security Review.* The Government may elect to conduct random periodic reviews to ensure that the security requirements contained in this contract are being implemented and enforced. The Contractor shall afford DHS, the Office of the Inspector General, and other Government organizations access to the Contractor's facilities, installations, operations, documentation, databases and personnel used in the performance of this contract. The Contractor shall, through the Contracting Officer and COR, contact the Headquarters or Component CIO, or designee, to coordinate and participate in review and inspection activity by Government organizations external to the DHS. Access shall be provided, to the extent necessary as determined by the Government, for the Government to carry out a program of inspection, investigation, and audit to safeguard against threats and hazards to the integrity, availability and confidentiality of Government data or the function of computer systems used in performance of this contract and to preserve evidence of computer crime.

(4) *Continuous Monitoring.* All Contractor-operated systems that input, store, process, output, and/or transmit sensitive information shall meet or exceed the continuous monitoring requirements identified in the *Fiscal Year 2014 DHS Information Security Performance Plan*, or successor publication. The plan is updated on an annual basis. The Contractor shall also store monthly continuous monitoring data at its location for a period not less than one year from the date the data is created. The data shall be encrypted in accordance with *FIPS 140-2 Security Requirements for Cryptographic Modules* and shall not be stored on systems that are shared with other commercial or Government entities. The Government may elect to perform continuous monitoring and IT security scanning of Contractor systems from Government tools and infrastructure.

(5) *Revocation of ATO.* In the event of a sensitive information incident, the Government may suspend or revoke an existing ATO (either in part or in whole). If an ATO is suspended or revoked in accordance with this provision, the Contracting Officer may direct the Contractor to take additional security measures to secure sensitive information. These measures may include restricting access to sensitive information on the Contractor IT system under this contract. Restricting access may include disconnecting the system processing, storing, or transmitting the sensitive information from the Internet or other networks or applying additional security controls.

(6) *Federal Reporting Requirements.* Contractors operating information systems on behalf of the Government or operating systems containing sensitive information shall comply with Federal reporting requirements. Annual and quarterly data collection will be coordinated by the Government. Contractors shall provide the COR with requested information within three (3) business days of receipt of the request. Reporting requirements are determined by the Government and are defined in the *Fiscal Year 2014 DHS Information Security Performance Plan*, or successor publication. The Contractor shall provide the Government with all information to fully satisfy Federal reporting requirements for Contractor systems.

*(f) Sensitive Information Incident Reporting Requirements.*

(1) All known or suspected sensitive information incidents shall be reported to the Headquarters or Component Security Operations Center (SOC) within one hour of discovery in accordance with *4300A Sensitive Systems Handbook Incident Response and Reporting* requirements. When notifying the Headquarters or Component SOC, the Contractor shall also notify the Contracting Officer, COR, Headquarters or Component Privacy Officer, and US-CERT using the contact information identified in the contract. If the incident is reported by phone or the Contracting Officer's email address is not immediately available, the Contractor shall contact the Contracting Officer immediately after reporting the incident to the Headquarters or Component SOC. The Contractor shall not include any sensitive information in the subject or body of any e-mail. To transmit sensitive information, the Contractor shall use *FIPS 140-2 Security Requirements for Cryptographic Modules* compliant encryption methods to protect sensitive information in attachments to email. Passwords shall not be communicated in the same email as the attachment. A sensitive information incident shall not, by itself, be interpreted as evidence that the Contractor has failed to provide adequate information security safeguards for sensitive information, or has otherwise failed to meet the requirements of the contract.

(2) If a sensitive information incident involves PII or SPII, in addition to the reporting requirements in *4300A Sensitive Systems Handbook Incident Response and Reporting*, Contractors shall also provide as many of the following data elements that are available at the time the incident is reported, with any remaining data elements provided within 24 hours of submission of the initial incident report:

- (i) Data Universal Numbering System (DUNS);
- (ii) Contract numbers affected unless all contracts by the company are affected;
- (iii) Facility CAGE code if the location of the event is different than the prime contractor location;
- (iv) Point of contact (POC) if different than the POC recorded in the System for Award Management (address, position, telephone, email);
- (v) Contracting Officer POC (address, telephone, email);
- (vi) Contract clearance level;
- (vii) Name of subcontractor and CAGE code if this was an incident on a subcontractor network;
- (viii) Government programs, platforms or systems involved;
- (ix) Location(s) of incident;
- (x) Date and time the incident was discovered;
- (xi) Server names where sensitive information resided at the time of the incident, both at the Contractor and subcontractor level;
- (xii) Description of the Government PII and/or SPII contained within the system;
- (xiii) Number of people potentially affected and the estimate or actual number of records exposed and/or contained within the system; and
- (xiv) Any additional information relevant to the incident.

*(g) Sensitive Information Incident Response Requirements.*

(1) All determinations related to sensitive information incidents, including response

activities, notifications to affected individuals and/or Federal agencies, and related services (e.g., credit monitoring) will be made in writing by the Contracting Officer in consultation with the Headquarters or Component CIO and Headquarters or Component Privacy Officer.

(2) The Contractor shall provide full access and cooperation for all activities determined by the Government to be required to ensure an effective incident response, including providing all requested images, log files, and event information to facilitate rapid resolution of sensitive information incidents.

(3) Incident response activities determined to be required by the Government may include, but are not limited to, the following:

- (i) Inspections,
- (ii) Investigations,
- (iii) Forensic reviews, and
- (iv) Data analyses and processing.

(4) The Government, at its sole discretion, may obtain the assistance from other Federal agencies and/or third-party firms to aid in incident response activities.

(h) *Additional PII and/or SPII Notification Requirements.*

(1) The Contractor shall have in place procedures and the capability to notify any individual whose PII resided in the Contractor IT system at the time of the sensitive information incident not later than 5 business days after being directed to notify individuals, unless otherwise approved by the Contracting Officer. The method and content of any notification by the Contractor shall be coordinated with, and subject to prior written approval by the Contracting Officer, in consultation with the Headquarters or Component Privacy Officer, utilizing the *DHS Privacy Incident Handling Guidance*. The Contractor shall not proceed with notification unless the Contracting Officer, in consultation with the Headquarters or Component Privacy Officer, has determined in writing that notification is appropriate.

(2) Subject to Government analysis of the incident and the terms of its instructions to the Contractor regarding any resulting notification, the notification method may consist of letters to affected individuals sent by first class mail, electronic means, or general public notice, as approved by the Government. Notification may require the Contractor's use of address verification and/or address location services. At a minimum, the notification shall include:

- (i) A brief description of the incident;
- (ii) A description of the types of PII and SPII involved;
- (iii) A statement as to whether the PII or SPII was encrypted or protected by other means;
- (iv) Steps individuals may take to protect themselves;
- (v) What the Contractor and/or the Government are doing to investigate the incident, to mitigate the incident, and to protect against any future incidents; and
- (vi) Information identifying who individuals may contact for additional information.

(i) *Credit Monitoring Requirements.* In the event that a sensitive information incident involves PII or SPII, the Contractor may be required to, as directed by the Contracting Officer:

(1) Provide notification to affected individuals as described above; and/or

(2) Provide credit monitoring services to individuals whose data was under the control of the Contractor or resided in the Contractor IT system at the time of the sensitive information incident for a period beginning the date of the incident and extending not less than 18 months from the date the individual is notified. Credit monitoring services shall be provided from a company with which the Contractor has no affiliation. At a minimum, credit monitoring services shall include:

- (i) Triple credit bureau monitoring;
- (ii) Daily customer service;
- (iii) Alerts provided to the individual for changes and fraud; and
- (iv) Assistance to the individual with enrollment in the services and the use of fraud alerts; and/or

(3) Establish a dedicated call center. Call center services shall include:

- (i) A dedicated telephone number to contact customer service within a fixed period;
- (ii) Information necessary for registrants/enrollees to access credit reports and credit scores;
- (iii) Weekly reports on call center volume, issue escalation (i.e., those calls that cannot be handled by call center staff and must be resolved by call center management or DHS, as appropriate), and other key metrics;
- (iv) Escalation of calls that cannot be handled by call center staff to call center management or DHS, as appropriate;
- (v) Customized FAQs, approved in writing by the Contracting Officer in coordination with the Headquarters or Component Chief Privacy Officer; and
- (vi) Information for registrants to contact customer service representatives and fraud resolution representatives for credit monitoring assistance.

(j) *Certification of Sanitization of Government and Government-Activity-Related Files and Information.* As part of contract closeout, the Contractor shall submit the certification to the COR and the Contracting Officer following the template provided in *NIST Special Publication 800-88 Guidelines for Media Sanitization*.

(End of clause)

#### **2.4.5 HSAR CLASS DEVIATION 15-01 -- INFORMATION TECHNOLOGY SECURITY AND PRIVACY TRAINING (MAR 2015)**

(a) *Applicability.* This clause applies to the Contractor, its subcontractors, and Contractor employees (hereafter referred to collectively as “Contractor”). The Contractor shall insert

the substance of this clause in all subcontracts.

(b) *Security Training Requirements.*

(1) All users of Federal information systems are required by Title 5, Code of Federal Regulations, Part 930.301, Subpart C, as amended, to be exposed to security awareness materials annually or whenever system security changes occur, or when the user's responsibilities change. The Department of Homeland Security (DHS) requires that Contractor employees take an annual Information Technology Security Awareness Training course before accessing sensitive information under the contract. Unless otherwise specified, the training shall be completed within thirty (30) days of contract award and be completed on an annual basis thereafter not later than October 31<sup>st</sup> of each year. Any new Contractor employees assigned to the contract shall complete the training before accessing sensitive information under the contract. The training is accessible at <http://www.dhs.gov/dhs-security-and-training-requirements-contractors>. The Contractor shall maintain copies of training certificates for all Contractor and subcontractor employees as a record of compliance. Unless otherwise specified, initial training certificates for each Contractor and subcontractor employee shall be provided to the Contracting Officer's Representative (COR) not later than thirty (30) days after contract award. Subsequent training certificates to satisfy the annual training requirement shall be submitted to the COR via e-mail notification not later than October 31<sup>st</sup> of each year. The e-mail notification shall state the required training has been completed for all Contractor and subcontractor employees.

(2) The DHS Rules of Behavior apply to every DHS employee, Contractor and subcontractor that will have access to DHS systems and sensitive information. The DHS Rules of Behavior shall be signed before accessing DHS systems and sensitive information. The DHS Rules of Behavior is a document that informs users of their responsibilities when accessing DHS systems and holds users accountable for actions taken while accessing DHS systems and using DHS Information Technology resources capable of inputting, storing, processing, outputting, and/or transmitting sensitive information. The DHS Rules of Behavior is accessible at <http://www.dhs.gov/dhs-security-and-training-requirements-contractors>. Unless otherwise specified, the DHS Rules of Behavior shall be signed within thirty (30) days of contract award. Any new Contractor employees assigned to the contract shall also sign the DHS Rules of Behavior before accessing DHS systems and sensitive information. The Contractor shall maintain signed copies of the DHS Rules of Behavior for all Contractor and subcontractor employees as a record of compliance. Unless otherwise specified, the Contractor shall e-mail copies of the signed DHS Rules of Behavior to the COR not later than thirty (30) days after contract award for each employee. The DHS Rules of Behavior will be reviewed annually and the COR will provide notification when a review is required.

(c) *Privacy Training Requirements.* All Contractor and subcontractor employees that will have access to Personally Identifiable Information (PII) and/or Sensitive PII (SPII) are required to take *Privacy at DHS: Protecting Personal Information* before accessing PII and/or SPII. The training is accessible at <http://www.dhs.gov/dhs-security-and-training-requirements-contractors>. Training shall be completed within thirty (30) days of contract award and be completed on an annual basis thereafter not later than October 31<sup>st</sup> of each year. Any new

Contractor employees assigned to the contract shall also complete the training before accessing PII and/or SPII. The Contractor shall maintain copies of training certificates for all Contractor and subcontractor employees as a record of compliance. Initial training certificates for each Contractor and subcontractor employee shall be provided to the COR not later than thirty (30) days after contract award. Subsequent training certificates to satisfy the annual training requirement shall be submitted to the COR via e-mail notification not later than October 31<sup>st</sup> of each year. The e-mail notification shall state the required training has been completed for all Contractor and subcontractor employees.

(End of Clause)

## **2.5 OTHER REQUIREMENTS**

### **2.5.1 SECURITY REQUIREMENTS (2S)**

#### **GENERAL**

U.S. Citizenship and Immigration Services (USCIS) has determined that performance of this contract requires that the Contractor, subcontractor(s), vendor(s), etc. (herein known as Contractor), requires access to classified National Security Information (herein known as classified information). Classified information is Government information which requires protection in accordance with Executive Order 13526, Classified National Security Information, and supplementing directives.

The Contractor shall abide by the requirements set forth in the DD Form 254, Contract Security Classification Specification, included in the contract, and the National Industrial Security Program Operating Manual (NISPOM) for the protection of classified information at its cleared facility, if applicable, as directed by the Defense Counterintelligence and Security Agency.

Any firm or business under contract with the Department of Homeland Security (DHS), which requires access to classified information, will require a Facility Security Clearance (FCL) commensurate with the level of access required. Firms that do not possess a FCL, or the requisite level FCL, will be sponsored by DHS to obtain one.

#### **FITNESS DETERMINATION**

USCIS shall have and exercise full control over granting, denying, withholding or terminating access of unescorted Contractor employees to government facilities and/or access of Contractor employees to sensitive but unclassified information based upon the results of a background investigation. USCIS may, as it deems appropriate, authorize and make a favorable entry on duty (EOD) decision based on preliminary security checks. The favorable EOD decision would allow the employees to commence work temporarily prior to the completion of the full investigation. The granting of a favorable EOD decision shall not be considered as assurance that a full employment Fitness authorization will follow as a result thereof. The granting of a favorable EOD decision or a full employment Fitness determination shall in no way prevent, preclude, or



bar the withdrawal or termination of any such access by USCIS, at any time during the term of the contract. No Contractor employee shall be allowed unescorted access to a Government facility without a favorable EOD decision or Fitness determination by the Office of Security & Integrity Personnel Security Division (OSI PSD).

### **BACKGROUND INVESTIGATIONS**

Contractor employees (to include applicants, temporaries, part-time and replacement employees) under the contract, needing access to sensitive but unclassified information and/or classified information, shall undergo a position sensitivity analysis based on the duties each individual will perform on the contract as outlined in the DHS Form 11000-25, Contractor Fitness/Security Screening Request Form and the USCIS Continuation Page to the DHS Form 11000-25. The results of the position sensitivity analysis shall identify the appropriate background investigation to be conducted. All background investigations will be processed through OSI PSD.

Completed packages must be submitted to OSI PSD for prospective Contractor employees no less than 30 days before the starting date of the contract or 30 days prior to EOD of any employees, whether a replacement, addition, subcontractor employee, or vendor. The Contractor shall follow guidelines for package submission as set forth by OSI PSD. A complete package will include the following forms, in conjunction with security questionnaire submission of the SF-85P, Security Questionnaire for Public Trust Positions via e-QIP:

1. DHS Form 11000-6, Conditional Access to Sensitive But Unclassified Information Non-Disclosure Agreement
2. FD Form 258, Fingerprint Card (**2 cards**)
3. DHS Form 11000-25, Contractor Fitness/Security Screening Request Form
4. USCIS Continuation Page to DHS Form 11000-25
5. OF 306, Declaration for Federal Employment (approved use for Federal Contract Employment)
6. Foreign National Relatives or Associates Statement

### **EMPLOYMENT ELIGIBILITY**

Be advised that unless an applicant requiring access to sensitive but unclassified information and/or classified information has resided in the U.S. for three of the past five years, OSIPSD may not be able to complete a satisfactory background investigation. In such cases, USCIS retains the right to deem an applicant as ineligible due to insufficient background information.

Only U.S. citizens are eligible for employment on contracts requiring access to Department of Homeland Security (DHS) Information Technology (IT) systems or involvement in the development, operation, management, or maintenance of DHS IT systems, unless a waiver

has been granted by the Director of USCIS, or designee, with the concurrence of both the DHS Chief Security Officer and the Chief Information Officer or their designees. In instances where non-IT requirements contained in the contract can be met by using Legal Permanent Residents, those requirements shall be clearly described.

### **VISIT AUTHORIZATION LETTER (VAL)**

The Contractor is required to submit a VAL for those individuals who require access to classified information during performance on this contract and who have an active Personnel Security Clearance (PCL). The letter will be valid for a period not to exceed one year. If the requirement to access classified information no longer exists, or if access eligibility changes, OSI PSD will be notified immediately. The VAL must be submitted to OSI PSD in accordance with, and contain information as required by, Chapter 6 of the NISPOM.

### **CONTINUED ELIGIBILITY**

If a prospective employee is found to be ineligible for access to USCIS facilities or information, the Contracting Officer's Representative (COR) will advise the Contractor that the employee shall not continue to work or to be assigned to work under the contract.

In accordance with USCIS policy, contractors are required to undergo a periodic reinvestigation every five years. Security documents will be submitted to OSI PSD within ten business days following notification of a contractor's reinvestigation requirement.

In support of the overall USCIS mission, Contractor employees are required to complete one-time or annual DHS/USCIS mandatory trainings. The Contractor shall certify annually, but no later than December 31<sup>st</sup> each year, or prior to any accelerated deadlines designated by USCIS, that required trainings have been completed. The certification of the completion of the trainings by all contractors shall be provided to both the COR and Contracting Officer.

- **USCIS Security Awareness Training** (required within 30 days of entry on duty for new contractors, and annually thereafter)
- **USCIS Integrity Training** (annually)
- **DHS Insider Threat Training** (annually)
- **DHS Continuity of Operations Awareness Training** (one-time training for contractors identified as providing an essential service)
- **Unauthorized Disclosure Training** (one time training for contractors who require access to USCIS information regardless if performance occurs within USCIS facilities or at a company owned and operated facility)
- **USCIS Fire Prevention and Safety Training** (one-time training for contractors working within USCIS facilities; contractor companies may substitute their own training)
- **USCIS PKI Initiative Training** (if supervisor determines the need for a PKI certificate)
- **Computer Security Awareness Training** (if contractor requires access to USCIS IT systems, training must be completed within 60 days of entry on duty for new contractors, and annually thereafter)

USCIS reserves the right and prerogative to deny and/or restrict the facility and information access of any Contractor employee whose actions are in conflict with the standards of conduct or whom USCIS determines to present a risk of compromising sensitive but unclassified information and/or classified information.

Contract employees will report any adverse information concerning their personal conduct to OSI PSD. The report shall include the contractor's name along with the adverse information being reported. Required reportable adverse information includes, but is not limited to, criminal charges and or arrests, negative change in financial circumstances, and any additional information that requires admission on the SF-85P security questionnaire or on any security form listed above.

In accordance with Homeland Security Presidential Directive-12 (HSPD-12) <http://www.dhs.gov/homeland-security-presidential-directive-12> contractor employees who require access to United States Citizenship and Immigration Services (USCIS) facilities and/or utilize USCIS Information Technology (IT) systems, must be issued and maintain a Personal Identity Verification (PIV) card throughout the period of performance on their contract.

Government-owned contractor- operated facilities are considered USCIS facilities.

After the Office of Security & Integrity, Personnel Security Division has notified the Contracting Officer's Representative that a favorable entry on duty (EOD) determination has been rendered, contractor employees will need to obtain a PIV card.

For new EODs, contractor employees have 10 business days from their EOD date to comply with HSPD-12. For existing EODs, contractor employees have 10 business days from the date this clause is incorporated into the contract to comply with HSPD-12.

Contractor employees who do not have a PIV card must schedule an appointment to have one issued. To schedule an appointment:

<http://ecn.uscis.dhs.gov/team/mgmt/Offices/osi/FSD/HSPD12/PIV/default.aspx>

Contractors who are unable to access the hyperlink above shall contact the Contracting Officer's Representative (COR) for assistance.

Contractor employees who do not have a PIV card will need to be escorted at all times by a government employee while at a USCIS facility and will not be allowed access to USCIS IT systems.

A contractor employee required to have a PIV card shall:

- Properly display the PIV card above the waist and below the neck with the photo facing out so that it is visible at all times while in a USCIS facility
- Keep their PIV card current

- Properly store the PIV card while not in use to prevent against loss or theft  
<http://ecn.uscis.dhs.gov/team/mgmt/Offices/osi/FSD/HSPD12/SIR/default.asp>

OSI PSD must be notified of all terminations/ resignations within five days of occurrence. The Contractor will return any expired USCIS issued identification cards and HSPD-12 card, or those of terminated employees to the COR. If an identification card or HSPD-12 card is not available to be returned, a report must be submitted to the COR, referencing the card number, name of individual to whom issued, the last known location and disposition of the card.

### **SECURITY MANAGEMENT**

The Contractor shall appoint a senior official to act as the Facility Security Officer. The individual will interface with OSI through the COR on all security matters, to include physical, personnel, and protection of all Government information and data accessed by the Contractor.

The COR and OSI shall have the right to inspect the procedures, methods, and facilities utilized by the Contractor in complying with the security requirements under this contract. Should the COR determine that the Contractor is not complying with the security requirements of this contract the Contractor will be informed in writing by the Contracting Officer of the proper action to be taken in order to effect compliance with such requirements.

In the event classified information is inadvertently received by a contractor who does not hold an active security clearance at the Secret level, a Government employee or Contractor with the appropriate security clearance equal to or higher than the classified information received, will take possession of the material and shall safeguard and store the information in accordance with standards set forth in the NISPOM. The inadvertent disclosure will be immediately reported to their supervisor and then to the designated OSI Local Security Officer or OSI Field Security Manager for action as appropriate.

### **2.5.2 ENTRY ON DUTY AND TRANSITION PROCESS**

Full contract performance shall begin 2-months after contract award. The Government intends to have a 2-month EOD period between the contract award and full contract performance beginning. During the 2-month EOD period, the contractor will be responsible for submitting EOD packages in a timely manner as described below. The contractor will also be responsible for completing necessary EOD package paperwork for the transfer of incumbent employees to the new contract. After the 2-month EOD period, the contractor will assume full responsibility as performance begins. The first 30 days of full performance will include a transition period between the awardee and the incumbent.

(a) The Contractor is responsible for submitting packages from employees, who will receive favorable entry-on-duty (EOD) decisions and suitability determinations, within 5 days of contract award. A Government decision not to grant a favorable EOD decision or suitability

determination, or to later withdraw or terminate such decision or termination, shall not excuse the Contractor from performance of obligations under this contract.

(b) This contract does not provide for direct payment to the Contractor for EOD efforts. Work for which direct payment is not provided is a subsidiary obligation of the Contractor.

### **2.5.3 FINAL PAYMENT**

As a condition precedent to final payment, a release discharging the Government, its officers, agents and employees of and from all liabilities, obligations, and claims arising out of or under this order shall be completed. A release of claims will be forwarded to the contractor at the end of this order for contractor completion as soon thereafter as practicable.

### **2.5.4. OUTSOURCING NONCRIMINAL JUSTICE ADMINISTRATIVE FUNCTIONS**

The purpose of the following clause is to provide the contractor with required information as one or more task areas identified in this requirement require access to Criminal History Information Records.

USCIS, referred to as the Authorized Recipient, is outsourcing to the Contractor the performance of noncriminal justice administrative functions involving the handling of criminal history record information (CHRI) pursuant to Title 28, Code of Federal Regulations, Part 906 and the relevant Security and Management Control Outsourcing Standard (Outsourcing Standard). The most current version of the Outsourcing Standard is incorporated into this contract and included as Attachment A.

The Authorized Recipient's authority to submit fingerprints for noncriminal justice purposes and obtain the results of the fingerprint search, which may contain CHRI, is provided below:

- Executive Order 12829, *National Industrial Security Program*, January 6, 1993
- Executive Order 12958, *Classified National Security Information*, as amended
- Executive Order 12968, *Access to Classified Information*, August 2, 1995
- Executive Order 13231, *Critical Infrastructure Protection in the Information Age*, October 16, 2001
- National Industrial Security Program Operating Manual (NISPOM), February 2001
- DHS *Sensitive Systems Policy Publication 4300A* v2.1, July 26, 2004
- DHS *Sensitive Systems Policy Publication 4300B* v2.1, July 26, 2004
- [http://www.fbi.gov/about-us/cjis/cc/library/11032010\\_nonchanneler\\_os.pdf](http://www.fbi.gov/about-us/cjis/cc/library/11032010_nonchanneler_os.pdf)
- *Criminal Justice Information Services (CJIS) Security Policy, Version 5.0, 02/09/2011, CJISD-ITS-DOC-08140-5.0*

This authority requires or authorizes fingerprint-based background checks of all applicants as required by the USCIS benefit desired and for potential USCIS employees as part of their background determination/adjudication prior to “entry on duty”. The contractor agrees to keep

all CHRI information private and not publish, use or disclose to any other individual or entity, either directly or indirectly.

The specific noncriminal justice administrative function to be performed by the Contractor that involves access to CHRI on behalf of the Authorized Recipient is direct or indirect access to files or data (via systems access) that may include CHRI. The contractor shall comply with the Outsourcing Standard requirements and other legal authorities to ensure adequate privacy and security of personally identifiable information (PII) and CHRI results related to this contract, and will ensure that all such data is returned to the Authorized Recipient as soon as no longer needed for the performance of contractual duties.

The contractor must utilize the “Statement of Understanding” (Attachment B) for all employees that are determined to have CHRI access as described above and maintain accurate/complete records to demonstrate compliance. The signed Statement of Understanding must be completed prior to the employee’s entry on duty and annual thereafter. The contractor must certify annually on December 31<sup>st</sup> that they have complied with requirements as stated above and is subject to audit/review to ensure full compliance.

## **SECURITY and MANAGEMENT CONTROL OUTSOURCING STANDARD for NON-CHANNELERS (Attachment A)**

The goal of this document is to provide adequate security and integrity for criminal history record information (CHRI) while under the control or management of an outsourced third party, the Contractor. Adequate security is defined in Office of Management and Budget Circular A-130 as “security commensurate with the risk and magnitude of harm resulting from the loss, misuse, or unauthorized access to or modification of information.”

The intent of this Security and Management Control Outsourcing Standard (Outsourcing Standard) is to require that the Contractor maintain a security program consistent with federal and state laws, regulations, and standards (including the FBI Criminal Justice Information Services (CJIS) Security Policy) as well as with rules, procedures, and standards established by the Compact Council and the United States Attorney General.

This Outsourcing Standard identifies the duties and responsibilities with respect to adequate internal controls within the contractual relationship so that the security and integrity of the Interstate Identification Index (III) System and CHRI are not compromised. The standard security program shall include consideration of site security, dissemination restrictions, personnel security, system security, and data security.

The provisions of this Outsourcing Standard are established by the Compact Council pursuant to 28 CFR Part 906 and are subject to the scope of that rule. They apply to all personnel, systems, networks, and facilities supporting and/or acting on behalf of the Authorized Recipient to perform noncriminal justice administrative functions requiring access to CHRI without a direct connection to the FBI CJIS Wide Area Network (WAN).

### 1.0 *Definitions*

#### 1.01 *Access to CHRI* means to view or make use of CHRI obtained from the III

System but excludes direct access to the III System by computer terminal or other automated means by Contractors other than those that may be contracted by the FBI or state criminal history record repositories or as provided by Title 34, United States Code (U.S.C.), Section 40314 (b), (formally cited as 42 U.S.C. § 14614(b)).

- 1.02 *Authorized Recipient* means (1) a nongovernmental entity authorized by federal statute or federal executive order to receive CHRI for noncriminal justice purposes, or (2) a government agency authorized by federal statute, federal executive order, or state statute which has been approved by the United States Attorney General to receive CHRI for noncriminal justice purposes.
- 1.03 *Chief Administrator* means the primary administrator of a Nonparty State's criminal history record repository or a designee of such administrator who is a regular full-time employee of the repository, which is also referred to as the State Identification Bureau (SIB) Chief.
- 1.04 *CHRI*, as referred to in Article I(4) of the Compact, means information collected by criminal justice agencies on individuals consisting of identifiable descriptions and notations of arrests, detentions, indictments, or other formal criminal charges, and any disposition arising therefrom, including acquittal, sentencing, correctional supervision, or release; but does not include identification information such as fingerprint records if such information does not indicate involvement of the individual with the criminal justice system.
- 1.05 *Criminal History Record Check*, for purposes of this Outsourcing Standard only, means an authorized noncriminal justice fingerprint-based search of a state criminal history record repository and/or the FBI system.
- 1.06 *Compact Officer*, as provided in Article I(2) of the Compact, means (A) with respect to the Federal Government, an official [FBI Compact Officer] so designated by the Director of the FBI [to administer and enforce the compact among federal agencies], or (B) with respect to a Party State, the chief administrator of the State's criminal history record repository or a designee of the chief administrator who is a regular full-time employee of the repository.
- 1.07 *Contractor* means a government agency, a private business, non-profit organization or individual, that is not itself an Authorized Recipient with respect to the particular noncriminal justice purpose, who has entered into a contract with an Authorized Recipient to perform noncriminal justice administrative functions requiring access to CHRI.
- 1.08 *Dissemination* means the disclosure of III CHRI by an Authorized Recipient to an authorized Contractor, or by the Contractor to another Authorized Recipient consistent with the Contractor's responsibilities and with limitations imposed by federal and state laws, regulations, and standards as well as rules, procedures, and standards established by the Compact Council and the United States Attorney General.
- 1.09 *Identity History Summary (IdHS)*, for the purposes of this Outsourcing Standard, means the report of all identification, demographic, and event

information (criminal and/or civil) within a Next Generation Identification (NGI) Identity record which may be disseminated to an Authorized Recipient contingent upon legislation and federal regulations. The IdHS contains the criminal justice information associated with criminal fingerprint (i.e., “rap sheets”) and/or noncriminal justice information associated with the civil fingerprints, therefore the existence of an IdHS alone does not reflect criminal history events on that NGI Identity. This term is unique to NGI and is not intended to affect other agencies’ use of the term “rap sheet” to describe reports of information in their identification repositories.

- 1.10 *Noncriminal Justice Administrative Functions* means the routine noncriminal justice administrative functions relating to the processing of CHRI, to include but not limited to the following:
1. Making fitness determinations/recommendations
  2. Obtaining missing dispositions
  3. Disseminating CHRI as authorized by Federal statute, Federal Executive Order, or State statute approved by the United States Attorney General
  4. Other authorized activities relating to the general handling, use, and storage of CHRI
- 1.11 *Noncriminal Justice Purposes*, as provided in Article I(18) of the Compact, means uses of criminal history records for purposes authorized by federal or state law other than purposes relating to criminal justice activities, including employment suitability, licensing determinations, immigration and naturalization matters, and national security clearances.
- 1.12 *Outsourcing Standard* means a document approved by the Compact Council after consultation with the United States Attorney General which is to be incorporated by reference into a contract between an Authorized Recipient and a Contractor. This Outsourcing Standard authorizes access to CHRI for noncriminal justice purposes, limits the use of the information to the purposes for which it is provided, prohibits retention and/or dissemination except as specifically authorized, ensures the security and confidentiality of the information, provides for audits and sanctions, provides conditions for termination of the contract, and contains such other provisions as the Compact Council may require.
- 1.13 *Personally Identifiable Information (PII)* means information which can be used to distinguish or trace an individual’s identity, such as name, social security number, or biometric records, alone or when combined with other personal or identifying information which is linked or linkable to a specific individual, such as date and place of birth, or mother’s maiden name.
- 1.14 *Physically Secure Location* means a facility or an area, a room, or a group of rooms, within a facility with both the physical and personnel security controls sufficient to protect CHRI and associated information systems.
- 1.15 *PII Breach* means the loss of control, compromise, unauthorized disclosure, unauthorized acquisition, unauthorized access or any similar term referring to situations where persons other than the authorized users,



and for other than authorized purposes, have access or potential access to PII, whether physical or electronic.

- 1.16 *Positive Identification*, as provided in Article I(20) of the Compact, means a determination, based upon a comparison of fingerprints<sup>1</sup> or other equally reliable biometric identification techniques, that the subject of a record search is the same person as the subject of a criminal history record or records indexed in the III System. Identifications based solely upon a comparison of subjects' names or other non-unique identification characteristics or numbers, or combinations thereof, shall not constitute positive identification.
- 1.17 *Public Carrier Network* means a telecommunications infrastructure consisting of network components that are not owned, operated, and managed solely by the agency using that network, i.e., any telecommunications infrastructure which supports public users other than those of the agency using that network. Examples of a public carrier network include but are not limited to the following: Dial-up and Internet connections, network connections to Verizon, network connections to AT&T, ATM Frame Relay clouds, wireless networks, wireless links, and cellular telephones. A public carrier network provides network services to the public; not just to the single agency using that network.
- 1.18 *Security Violation* means the failure to prevent or failure to institute safeguards to prevent access, use, retention, or dissemination of CHRI in violation of: (A) Federal or state law, regulation, or Executive Order; or (B) a rule, procedure, or standard established by the Compact Council and the United States Attorney General.

## 2.0 *Responsibilities of the Authorized Recipient*

- 2.01 Prior to engaging in outsourcing any noncriminal justice administrative functions, the Authorized Recipient shall: (a) Request and receive written permission from (1) the State Compact Officer/Chief Administrator<sup>2</sup> or (2)

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<sup>1</sup> The Compact Council currently defines positive identification for noncriminal justice purposes as identification based upon a qualifying ten-rolled or qualifying ten-flat fingerprint submission. Further information concerning positive identification may be obtained from the FBI Compact Council office.

<sup>2</sup>The Compact Officer/Chief Administrator may not grant such permission unless he/she has implemented a combined state/federal audit program to, at a minimum, triennially audit a representative sample of the Contractors and Authorized Recipients engaging in outsourcing with the first of such audits to be conducted within one

year of the date the Contractor first receives CHRI under the approved outsourcing agreement. A representative sample will be based on generally accepted statistical sampling methods.

the FBI Compact Officer<sup>3</sup>; and (b) provide the State Compact Officer/Chief Administrator or the FBI Compact Officer copies of the specific authority for the outsourced work, criminal history record check requirements, and/or a copy of relevant portions of the contract as requested.

- 2.02 The Authorized Recipient shall execute a contract or agreement prior to providing a Contractor access to CHRI. The contract shall, at a minimum, incorporate by reference and have appended thereto this Outsourcing Standard.
- 2.03 The Authorized Recipient shall, in those instances when the Contractor is to perform duties requiring access to CHRI, specify the terms and conditions of such access; limit the use of such information to the purposes for which it is provided; limit retention of the information to a period of time not to exceed that period of time the Authorized Recipient is permitted to retain such information; prohibit dissemination of the information except as specifically authorized by federal and state laws, regulations, and standards as well as with rules, procedures, and standards established by the Compact Council and the United States Attorney General; ensure the security and confidentiality of the information to include confirmation that the intended recipient is authorized to receive CHRI; provide for audits and sanctions; provide conditions for termination of the contract; and ensure that Contractor personnel comply with this Outsourcing Standard.
  - a. The Authorized Recipient shall conduct criminal history record checks of Contractor personnel having access to CHRI if such checks of the Authorized Recipient's personnel are required or authorized under an existing federal statute, executive order, or state statute approved by the United States Attorney General under Public Law 92-544.<sup>4</sup> The Authorized Recipient shall maintain updated records of Contractor personnel who have access to CHRI and update those records within 24 hours when changes to that access

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<sup>3</sup>State or local Authorized Recipients based on State or Federal Statutes shall contact the State Compact Officer/Chief Administrator. Federal or Regulatory Agency Authorized Recipients shall contact the FBI Compact Officer.

<sup>4</sup>If a national criminal history record check of Authorized Recipient personnel having access to CHRI is mandated or authorized by a federal statute, executive order, or state statute

approved by the United States Attorney General under Public Law 92-544, the State Compact Officer/Chief Administrator and/or the FBI Compact Officer must ensure Contractor personnel accessing CHRI are either covered by the existing law or that the existing law is amended to include such Contractor personnel prior to authorizing outsourcing initiatives. The national criminal history record checks of Contractor personnel with access to CHRI cannot be outsourced and must be performed by the Authorized Recipient.

occur and, if a criminal history record check is required, the Authorized Recipient shall maintain a list of Contractor personnel who successfully completed the criminal history record check.

- b. The Authorized Recipient shall ensure that the Contractor maintains site security. (See the current CJIS Security Policy [[www.fbi.gov/about-us/cjis/cjis-security-policy-resource-center/view](http://www.fbi.gov/about-us/cjis/cjis-security-policy-resource-center/view)])
  - c. The State Compact Officer/Chief Administrator or the FBI Compact Officer shall make available the most current versions of both the Outsourcing Standard and the CJIS Security Policy to the Authorized Recipient within 60 calendar days (unless otherwise directed) of notification of successor versions of the Outsourcing Standard and/or the CJIS Security Policy. The Authorized Recipient shall notify the Contractor within 60 calendar days of the FBI/state notification regarding changes or updates to the Outsourcing Standard and/or the CJIS Security Policy. The Authorized Recipient shall be responsible to ensure the most updated versions are incorporated by reference at the time of contract, contract renewal, or within the 60 calendar day notification period, whichever is sooner.
  - d. The Authorized Recipient and/or Contractor shall make available to the State Compact Officer/Chief Administrator or the FBI Compact Officer the relevant portions of the current and approved contract relating to CHRI, upon request.
- 2.04 The Authorized Recipient shall understand the communications and record capabilities of the Contractor which has access to federal or state records through, or because of, its outsourcing relationship with the Authorized Recipient. The Authorized Recipient shall request and approve a topological drawing which depicts the interconnectivity of the Contractor's network configuration as it relates to the outsourced function(s). The Authorized Recipient shall understand and approve any modifications to the Contractor's network configuration as it relates to the outsourced function(s). For approvals granted through the State Compact Officer/Chief Administrator, the Authorized Recipient, if required, shall coordinate the approvals with the State Compact Officer/Chief Administrator.
- 2.05 The Authorized Recipient is responsible for the actions of the Contractor and shall monitor the Contractor's compliance to the terms and conditions of the

Outsourcing Standard. For approvals granted through the FBI Compact Officer, the Authorized Recipient shall certify to the FBI Compact Officer that an audit was conducted with the Contractor within 90 days of the date the Contractor first receives CHRI under the approved outsourcing agreement. For approvals granted through the State Compact Officer/Chief Administrator, the Authorized Recipient, in conjunction with the State Compact Officer/Chief Administrator, will conduct an audit of the Contractor within 90 days of the date the Contractor first receives CHRI under the approved outsourcing agreement. The Authorized Recipient shall certify to the State Compact Officer/Chief Administrator that the audit was conducted.

- 2.06 The Authorized Recipient shall provide written notice of any early voluntary termination of the contract to the Compact Officer/Chief Administrator or the FBI Compact Officer.
- 2.07 The Authorized Recipient shall appoint an Information Security Officer. The Authorized Recipient's Information Security Officer shall:
- a. Serve as the security POC for the FBI CJIS Division Information Security Officer.
  - b. Document technical compliance with this Outsourcing Standard.
  - c. Establish a security incident response and reporting procedure to discover, investigate, document, and report on major incidents that significantly endanger the security or integrity of the noncriminal justice agency systems to the CJIS Systems Officer, State Compact Officer/Chief Administrator and the FBI CJIS Division Information Security Officer.
- 2.08 The Authorized Recipient shall immediately (within one hour) notify the State Compact Officer/Chief Administrator or the FBI of any PII breach. The Authorized Recipient shall also provide a written report of any PII breach (to include unauthorized access to CHRI by the Contractor) to the State Compact Officer/Chief Administrator or the FBI within five calendar days of receipt of the initial report of the PII breach. The written report must include corrective actions taken by the Authorized Recipient and, if necessary, the Contractor to resolve such PII breach.

### 3.0 *Responsibilities of the Contractor*

- 3.01 The Contractor and its employees shall comply with all federal and state laws, regulations, and standards (including the CJIS Security Policy) as well as with rules, procedures, and standards established by the Compact Council and the United States Attorney General.
- 3.02 The Contractor shall develop, document, administer, and maintain a Security Program (Physical, Personnel, and Information Technology) to comply with the most current Outsourcing Standard and the most current CJIS Security Policy. The Security Program shall describe the implementation of the security requirements outlined in this Outsourcing Standard and the CJIS Security Policy. In addition, the Contractor is also responsible to set, maintain, and enforce the standards for the selection, supervision, and

separation of personnel who have access to CHRI. The Authorized Recipient shall provide the written approval to the State Compact Officer/Chief Administrator or the FBI Compact Officer of a Contractor's Security Program. For approvals granted through the State Compact Officer/Chief Administrator, it is the responsibility of the State Compact Officer/Chief Administrator to ensure the Authorized Recipient is in compliance with the CJIS Security Policy.

- 3.03 The requirements for a Security Program should include, at a minimum:
- a) Description of the implementation of the security requirements described in this Outsourcing Standard and the CJIS Security Policy.
  - b) Security Training.
  - c) Guidelines for documentation of security violations to include:
    - i) Develop and maintain a written incident reporting plan to address security events, to include violations and incidents. (See the CJIS Security Policy {[www.fbi.gov/about-us/cjis/cjis-security-policy-resource-center/ view](http://www.fbi.gov/about-us/cjis/cjis-security-policy-resource-center/view)}).
    - ii) A process in place for reporting security violations.
  - d) Standards for the selection, supervision, and separation of personnel with access to CHRI.

\*\*If the Contractor is using a corporate policy, it must meet the requirements outlined in this Outsourcing Standard and the CJIS Security Policy. If the corporate policy is not this specific, it must flow down to a level where the documentation supports these requirements.

- 3.04 Except when the training requirement is retained by the Authorized Recipient, the Contractor shall develop a Security Training Program for all Contractor personnel with access to CHRI prior to their appointment/assignment. The Authorized Recipient shall review and provide to the Contractor written approval of the Security Training Program. Training shall be provided upon receipt of notice from the Compact Officer/Chief Administrator on any changes to federal and state laws, regulations, and standards as well as with rules, procedures, and standards established by the Compact Council and the United States Attorney General. Annual refresher training shall also be provided. The Contractor shall annually, not later than the anniversary date of the contract, certify in writing to the Authorized Recipient that annual refresher training was completed for those Contractor personnel with access to CHRI.
- 3.05 The Contractor shall make its facilities available for announced and unannounced audits and security inspections performed by the Authorized Recipient, the state, or the FBI on behalf of the Compact Council.
- 3.06 The Contractor's Security Program is subject to review by the Authorized Recipient, the Compact Officer/Chief Administrator, and the FBI CJIS Division. During this review, provision will be made to update the Security Program to address security violations and to ensure changes in policies and standards as well as changes in federal and state law are incorporated.

- 3.07 The Contractor shall maintain CHRI only for the period of time necessary to fulfill its contractual obligations but not to exceed the period of time that the Authorized Recipient is authorized to maintain and does maintain the CHRI.
- 3.08 The Contractor shall maintain a log of any dissemination of CHRI, for a minimum of 365 days.
- 3.09 The Authorized Recipient and/or Contractor shall make available to the State Compact Officer/Chief Administrator or the FBI Compact Officer the relevant portions of the current and approved contract relating to CHRI, upon request.

#### 4.0 *Site Security*

- 4.01 The Authorized Recipient shall ensure that the Contractor site(s) is a physically secure location to protect against any unauthorized access to CHRI.

#### 5.0 *Dissemination*

- 5.01 The Contractor shall not disseminate CHRI without the consent of the Authorized Recipient, and as specifically authorized by federal and state laws, regulations, and standards as well as with rules, procedures, and standards established by the Compact Council and the United States Attorney General.
- 5.02 An up-to-date log concerning dissemination of CHRI shall be maintained by the Contractor for a minimum one year retention period. This log must clearly identify: (A) the Authorized Recipient with unique identifiers to include the FBI assigned Originating Agency Identifiers to include the FBI assigned Originating Agency Identifier (ORI)/Originating Agency Case (OCA) number, (B) the Transaction Control Number (TCN), (C) the date of dissemination, (D) the statutory authority for dissemination, and (E) the means of dissemination.
- 5.03 If CHRI is stored or disseminated in an electronic format, the Contractor shall protect against unauthorized access to the equipment and any of the data. In no event shall responses containing CHRI be disseminated other than as governed by this Outsourcing Standard or more stringent contract requirements.

#### 6.0 *Personnel Security*

- 6.01 If a local, state, or federal written standard requires or authorizes a criminal history record check of the Authorized Recipient's personnel with access to CHRI, then a criminal history record check shall be required of the Contractor's (and approved Sub-Contractor's) employees having access to CHRI. Criminal history record checks of Contractor and approved Sub-Contractor employees, at a minimum, will be no less stringent than criminal history record checks that are performed on the Authorized Recipient's personnel performing similar functions. Criminal history record checks must be completed prior to accessing CHRI under the contract.

- 6.02 The Contractor shall ensure that each employee performing work under the contract is aware of the requirements of the Outsourcing Standard and the state and federal laws governing the security and integrity of CHRI. The Contractor shall confirm in writing that each employee has certified in writing that he/she understands the Outsourcing Standard requirements and laws that apply to his/her responsibilities. The Contractor shall maintain the employee certifications in a file that is subject to review during audits. Employees shall make such certification prior to performing work under the contract.
- 6.03 The Contractor shall maintain updated records of personnel who have access to CHRI, update those records within 24 hours when changes to that access occur, and if a criminal history record check is required, maintain a list of personnel who have successfully completed criminal history record checks. The Contractor shall notify Authorized Recipients within 24 hours when additions or deletions occur.

## 7.0 *System Security*

- 7.01 The Contractor's security system shall comply with the CJIS Security Policy in effect at the time the Outsourcing Standard is incorporated into the contract and with successor versions of the CJIS Security Policy.
- a. Devices shall be implemented to provide a point of defense and a controlled and audited access to CHRI, both from inside and outside the networks.
  - b. Data encryption shall be required for data in transit pursuant to the requirements in the CJIS Security Policy.
- 7.02 The Contractor shall provide for the secure storage and disposal of all hard copy and media associated with the system to prevent access by unauthorized personnel.

See the current CJIS Security Policy to address:

[[www.fbi.gov/about-us/cjis/cjis-security-policy-resource-center/view](http://www.fbi.gov/about-us/cjis/cjis-security-policy-resource-center/view)]

- a. Physically secure location.
  - b. Sanitization procedures for all fixed and non-fixed storage media.
  - c. Storage procedures for all fixed and non-fixed storage media.
- 7.03 To prevent and/or detect unauthorized access to CHRI in transmission or storage, each Authorized Recipient, Contractor, or Sub-Contractor must be assigned a unique identifying number.

## 8.0 *Security Violations*

- 8.01 Duties of the Authorized Recipient and Contractor
- a. The Authorized Recipient shall develop and maintain a written policy for discipline of Contractor employees who violate the security provisions of the contract, which includes this Outsourcing Standard that is incorporated by reference. The Authorized

Recipient shall develop and maintain a written incident reporting plan for security events, to include violations and incidents. (See also Sections 2.07 and 3.03)

- b. Pending investigation, the Contractor shall, upon detection or awareness, suspend any employee who commits a security violation from assignments in which he/she has access to CHRI under the contract.
- c. The Contractor shall immediately (within one hour of discovery) notify the Authorized Recipient, the State Compact Officer/Chief Administrator, or the FBI of any security violation to include unauthorized access to CHRI. Within five calendar days of such discovery, the Contractor shall provide the Authorized Recipient, the State Compact Officer/Chief Administrator or the FBI a written report documenting such security violation, corrective actions taken by the Contractor to resolve such violation, and the date, time, and summary of the violation.
- d. The Authorized Recipient shall immediately (within four hours) notify the State Compact Officer/Chief Administrator and the FBI Compact Officer of any security violation or termination of the contract, to include unauthorized access to CHRI made available pursuant to the contract. The Authorized Recipient shall provide a written report of any security violation (to include unauthorized access to CHRI by the Contractor) to the State Compact Officer/Chief Administrator, if applicable, and the FBI Compact Officer, within five calendar days of receipt of the written report from the Contractor. The written report must include any corrective actions taken by the Contractor and the Authorized Recipient to resolve such security violation.

#### 8.02 Termination of the contract by the Authorized Recipient for security violations

- a. The contract is subject to termination by the Authorized Recipient for security violations involving CHRI obtained pursuant to the contract.
- b. The contract is subject to termination by the Authorized Recipient for the Contractor's failure to notify the Authorized Recipient of any security violation or to provide a written report concerning such violation.
- c. If the Contractor refuses to or is incapable of taking corrective actions to successfully resolve a security violation, the Authorized Recipient shall terminate the contract.

#### 8.03 Suspension or termination of the exchange of CHRI for security violations

- a. Notwithstanding the actions taken by the State Compact Officer, if the Authorized Recipient fails to provide a written report notifying the State Compact Officer/Chief Administrator or the FBI Compact



Officer of a security violation, or refuses to or is incapable of taking corrective action to successfully resolve a security violation, the Compact Council or the United States Attorney General may suspend or terminate the exchange of CHRI with the Authorized Recipient pursuant to 28 CFR §906.2(d).

- b. If the exchange of CHRI is suspended, it may be reinstated after satisfactory written assurances have been provided to the Compact Council Chairman or the United States Attorney General by the Compact Officer/Chief Administrator, the Authorized Recipient and the Contractor that the security violation has been resolved. If the exchange of CHRI is terminated, the Contractor's records (including media) containing CHRI shall be deleted or returned in accordance with the provisions and time frame as specified by the Authorized Recipient.

8.04 The Authorized Recipient and Contractor shall provide written notice (through the State Compact Officer/Chief Administrator if applicable) to the FBI Compact Officer of the following:

- a. The termination of a contract for security violations.
- b. Security violations involving the unauthorized access to CHRI.
- c. The Contractor's name and unique identification number, the nature of the security violation, whether the violation was intentional, and the number of times the violation occurred.

8.05 The Compact Officer/Chief Administrator, Compact Council and the United States Attorney General reserve the right to investigate or decline to investigate any report of unauthorized access to CHRI.

8.06 The Compact Officer/Chief Administrator, Compact Council, and the United States Attorney General reserve the right to audit the Authorized Recipient and the Contractor's operations and procedures at scheduled or unscheduled times. The Compact Council, the United States Attorney General, and the state are authorized to perform a final audit of the Contractor's systems after termination of the contract.

## 9.0 PII

9.01 The Contractor is responsible for protecting all PII in its possession and control when handling, using, or storing CHRI.

9.02 The Contractor shall notify authorized individuals of their right to report PII breaches directly to the FBI should they believe their information has been mishandled or compromised.

9.03 The Contractor shall immediately (within one hour of discovery) notify the Authorized Recipient, the State Compact Officer/Chief Administrator, or the FBI of any PII breach or potential PII breach. Within five calendar days of such discovery, the Contractor shall provide the Authorized Recipient, the State Compact Officer/Chief Administrator, or the FBI a written report documenting such violation and corrective actions taken to resolve such

violation, to include the date, time, and summary of the notification to resolve such breach.

#### 10.0 *Miscellaneous Provisions*

- 10.01 This Outsourcing Standard does not confer, grant, or authorize any rights, privileges, or obligations to any persons other than the Contractor, the Authorized Recipient, Compact Officer/Chief Administrator (where applicable), and the FBI.
- 10.02 The following document is incorporated by reference and made part of this Outsourcing Standard: (1) The CJIS Security Policy.
- 10.03 The terms set forth in this document do not constitute the sole understanding by and between the parties hereto; rather they provide a minimum basis for the security of the system and the CHRI accessed therefrom and it is understood that there may be terms and conditions of the appended contract which impose more stringent requirements upon the Contractor.<sup>5</sup>

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<sup>5</sup>Such conditions could include additional audits, fees, or security requirements. The Compact Council, Authorized Recipients, and the Compact Officer/Chief Administrator have the explicit authority to require more stringent standards than those contained in the Outsourcing Standard.

- 10.04 The minimum security measures as outlined in this Outsourcing Standard may only be modified by the Compact Council. Conformance to such security measures may not be less stringent than stated in this Outsourcing Standard without the consent of the Compact Council in consultation with the United States Attorney General.
- 10.05 This Outsourcing Standard may only be modified by the Compact Council and may not be modified by the parties to the appended contract without the consent of the Compact Council.
- 10.06 Appropriate notices, assurances, and correspondence to the FBI Compact Officer, Compact Council, and the United States Attorney General required by Section 8.0 of this Outsourcing Standard shall be forwarded by First Class Mail to:
  - FBI Compact Officer
  - 1000 Custer Hollow
  - Road Module D-3
  - Clarksburg, WV 26306

#### 11.0 *Exemption from Above Provisions*

11.01 An Information Technology (IT) contract need only include Sections 1.0, 2.01, 2.02, 2.03, 3.01, 6.0, 8.0, and 9.0 of this Outsourcing Standard for Non-Channelers when all of the following conditions exist:

1. Access to CHRI by the IT contractor's personnel is limited solely for the development and/or maintenance of the Authorized Recipient's computer system;
2. Access to CHRI is incidental, but necessary, to the duties being performed by the IT contractor;
3. The computer system resides within the Authorized Recipient's facility;
4. The Authorized Recipient's personnel supervise or work directly with the IT contractor personnel;
5. The Authorized Recipient maintains complete, positive control of the IT contractor's access to the computer system and CHRI contained therein; and
6. The Authorized Recipient retains all of the duties and responsibilities for the performance of its authorized noncriminal justice administrative functions, unless it executes a separate contract to perform such noncriminal justice administrative functions, subject to all applicable requirements, including the Outsourcing Standard.

11.02 An Authorized Recipient's contract where access to CHRI is limited solely for the purposes of: (A) storage (referred to as archiving in some states) of the CHRI at the Contractor's facility; (B) retrieval of the CHRI by Contractor personnel on behalf of the Authorized Recipient with appropriate security measures in place to protect the CHRI; and/or (C) destruction of the CHRI by Contractor personnel when not observed by the Authorized Recipient need only include Sections 1.0, 2.01, 2.02, 2.03, 3.01, 4.0, 6.0, 8.0, and 9.0 of this Outsourcing Standard for Non-Channelers when all of the following conditions exist:

1. Access to CHRI by the Contractor is limited solely for the purposes of: (A) storage (referred to as archiving in some states) of the CHRI at the Contractor's facility; (B) retrieval of the CHRI by Contractor personnel on behalf of the Authorized Recipient with appropriate security measures in place to protect the CHRI; and/or (C) destruction of the CHRI by Contractor personnel when not observed by the Authorized Recipient;
2. Access to CHRI is incidental, but necessary, to the duties being performed by the Contractor;
3. The Contractor is not authorized to disseminate CHRI to any other agency or contractor on behalf of the Authorized Recipient;
4. The Contractor's personnel are subject to the same criminal history record checks as the Authorized Recipient's

- personnel;
5. The criminal history record checks of the Contractor personnel are completed prior to work on the contract or agreement;
  6. The Authorized Recipient retains all other duties and responsibilities for the performance of its authorized noncriminal justice administrative functions, unless it executes a separate contract to perform such noncriminal justice administrative functions, subject to all applicable requirements, including the Outsourcing Standard; and
  7. The Contractor stores the CHRI in a physically secure location.

## 12.0 *Duties of the State Compact Officer/Chief Administrator*

12.01 The State Compact Officer/Chief Administrator shall review legal authority and respond in writing to the Authorized Recipient's request to outsource noncriminal justice administrative functions.

12.02 The State Compact Officer/Chief Administrator reserves the right to review relevant portions of the outsourcing contract relating to CHRI throughout the duration of the contract approval.

12.03 The State Compact Officer/Chief Administrator must ensure criminal history record checks on approved Contractor and Sub-Contractor employees with access to CHRI are completed by the Authorized Recipient, if such checks are required or authorized of the Authorized Recipient personnel by federal statute, executive order, or state statute approved by

the United States Attorney General under Public Law 92-544. Criminal history record checks should be no less stringent than the checks performed on the Authorized Recipient personnel. Criminal history record checks must be completed prior to accessing CHRI under the contract.

12.04 Coordinate with the Authorized Recipient for the review and approval of the Contractor's Topological drawing which depicts the interconnectivity of the Contractor's network configuration as it relates to the outsourcing function(s).

### 12.05 90 Day Compliance Review

- a. The State Compact Officer/Chief Administrator shall work in coordination with the Authorized Recipient to conduct an audit of the Contractor within 90 days of the date the Contractor first receives CHRI under the approved outsourcing agreement.
- b. The State Compact Officer/Chief Administrator shall review the Authorized Recipient's audit certification to ensure compliance with the Outsourcing Standard.
  - i) The State Compact Officer/Chief Administrator shall address concerns with the Authorized Recipient resulting in non-compliance with the 90 day audit of the Contractor.
  - ii) The State Compact Officer/Chief Administrator shall have the right

- to terminate an Authorized Recipient's Outsourcing approval to a Contractor(s) for failure or refusal to correct a non-compliance issue(s).
- 12.06 The State Compact Officer/Chief Administrator shall coordinate with the Authorized Recipient to review the Contractor's Security Program. The program shall describe the implementation of the security requirements outlined in this Outsourcing Standard and the CJIS Security Policy. During the review, provisions will be made to update the Security Program to address security events and to ensure changes in policies and standards, as well as changes in federal and state law, are incorporated.
- 12.07 The State Compact Officer/Chief Administrator shall audit the Authorized Recipient and/or Contractor's operations and procedures. This may be done at scheduled and unscheduled times.
- 12.08 The State Compact Officer/Chief Administrator shall assign a unique identifying number to each Authorized Recipient, Contractor, or Sub-Contractor to ensure system security.
- 12.09 The State Compact Officer/Chief Administrator shall require immediate (within four hours) notification by the Authorized Recipient of any security event, to include security violations and incidents or termination of the contract, to include unauthorized access to CHRI made available pursuant to the contract. The State Compact Officer/Chief Administrator shall receive a written report from the Authorized Recipient of any security event (to include unauthorized access to CHRI by the Contractor) within five calendar days of receipt of the written report from the Contractor, that must include any corrective actions taken by the Contractor and Authorized Recipient to resolve such security event. (See the CJIS Security Policy {[www.fbi.gov/about-us/cjis/cjis-security-policy-resource-center/view](http://www.fbi.gov/about-us/cjis/cjis-security-policy-resource-center/view)})
- 12.10 Suspension or termination of the exchange of CHRI for security events.
- a. The State Compact Officer/Chief Administrator may suspend or terminate the exchange of CHRI for security events or refusal or incapability to take corrective action to successfully resolve a security event.
  - b. The State Compact Officer/Chief Administrator may reinstate access to CHRI between the Authorized Recipient and the Contractor after receiving written assurance(s) of corrective action(s) from the Authorized Recipient and/or the Contractor.
- 12.11 The State Compact Officer/Chief Administrator shall provide written notification to the FBI Compact Officer of the termination of a contract for security events to include the security events involving access to CHRI; the Contractor's name and unique identification number; the nature of the security event; whether the event was intentional; and the number of times the event occurred.
- 12.12 The State Compact Officer/Chief Administrator reserves the right to investigate or decline to investigate any report of unauthorized access to

CHRI.

- 12.13 The State Compact Officer/Chief Administrator is authorized to perform a final audit of the Contractor's system following termination of contract.

To be provided at the request of the Government after award

Statement of Understanding (Attachment B)

I, \_\_\_\_\_, understand the requirements of the Federal Bureau of Investigations' Outsourcing Standards. I understand my responsibility for maintaining the security and integrity for criminal history record information (CHRI) pursuant to 28 CFR Part 906.

*28 CFR 906.2 - Third party handling of criminal history record information*

*(a) Except as prohibited in paragraph (b) of this section, criminal history record information obtained from the III System for noncriminal justice purposes may be made available:*

*(1) To a governmental agency pursuant to a contract or agreement under which the agency performs activities or functions for another governmental agency that is authorized to obtain criminal history record information by a federal statute, federal executive order or a state statute that has been approved by the United States Attorney General; and*

*(2) To a private contractor, or other nongovernmental entity or organization, pursuant to a contractual agreement under which the entity or organization performs activities or functions for a governmental agency authorized to obtain criminal history record information as identified in paragraph (a)(1) of this section or for a nongovernmental entity authorized to obtain such information by federal statute or executive order.*

*(b) Criminal history record information provided in response to fingerprint-based III System record requests initiated by authorized governmental agencies or nongovernmental entities for noncriminal justice purposes may be made available to contracting agencies or organizations manually or electronically for such authorized purposes. Such contractors, agencies, or organizations shall not be permitted to have direct access to the III System by computer terminal or other automated means which would enable them to initiate record requests, provided however, the foregoing restriction shall not apply with respect to: (1) Persons, agencies, or organizations that may enter into contracts with the FBI or State criminal history record repositories for the performance of authorized functions requiring direct access to criminal history record information; and (2) any direct access to records covered by [42 U.S.C. 14614\(b\)](#).*

*(c) The contracts or agreements authorized by paragraphs (a)(1) and (a)(2) of this section shall specifically describe the purposes for which criminal history record information may be made available to the contractor and shall incorporate by reference a security and management control outsourcing standard approved by the Compact Council after consultation with the United States Attorney General. The security and management control outsourcing standard shall specifically authorize access to criminal history record information; limit the use of the information to the purposes for which it is provided; prohibit retention and/or dissemination of the information except as specifically authorized in the security and management control outsourcing standard; ensure the security and confidentiality of the information; provide for audits and sanctions; provide conditions for termination of the contractual agreement; and contain such other provisions as the Compact Council, after consultation with the United States Attorney General, may require.*

*(d) The exchange of criminal history record information with an authorized governmental or nongovernmental entity or contractor pursuant to this part is subject to cancellation for use, retention or dissemination of the information in violation of federal statute, regulation or executive order, or rule, procedure or standard established by the Compact Council in consultation with the United States Attorney General.*

I understand that a *Criminal History Record Check* means I am authorized to perform noncriminal justice fingerprint-based searches in the United States Citizenship and Immigration Services' (USCIS) national systems in order to obtain and incorporate information into the Alien file.

I understand that misuse of the information obtained may result in disciplinary actions.

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*Contractor Signature*

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*Contractor Supervisor Signature*

### **PART III – DOCUMENTS, EXHIBITS OR ATTACHMENTS**

- 3.1 PERFORMANCE WORK STATEMENT (PWS)**
- 3.2 PERFORMANCE REQUIREMENT SUMMARY (PRS)**
- 3.3 QUALITY ASSURANCE SURVEILLANCE PLAN (QASP) (TO BE PROVIDED TO AWARDEE AT CONTRACT KICK OFF MEETING)**
- 3.4 WAGE DETERMINATION**
- 3.5 PRICE SCHEDULE AND STAFFING MODEL (EXCEL)**
- 3.6 PAST PERFORMANCE QUESTIONNAIRE**
- 3.7 QUESTION AND ANSWER FORM (EXCEL)**
- 3.8 ADDENDUM TO INVOICING INSTRUCTIONS**

**THE FOLLOWING ATTACHMENTS ARE PDF VERSIONS OF THE HYPERLINKS FOUND IN PWS APPENDIX C:**

- 3.9 RECORDS OPERATION MANUAL (RPM)**
- 3.10 IMMIGRATION AND NATIONALITY ACT (INA)**
- 3.11 NATIONAL INDUSTRIAL SECURITY PROGRAM OPERATING MANUAL (NIPSOM)**
- 3.12 SAFEGUARDING CLASSIFIED NATIONAL SECURITY INFORMATION**
- 3.13 NATIONAL BACKGROUND IDENTITY AND SECURITY CHECKS OPERATING PROCEDURES (NABIS COP)**
- 3.14 INFORMATION AND TECHNOLOGY MANAGEMENT SECURITY PROGRAM**
- 3.15 DEPARTMENT OF LABOR SERVICE CONTRACTS**
- 3.16 MAIL MANAGEMENT PAGES**
- 3.17 OSI SUSPICIOUS PACKAGES AND MAIL**
- 3.18 PRIVACY FUNDAMENTALS**
- 3.19 SAFEGUARDING PII**
- 3.20 USCIS POLICY MANUAL**



## PART IV – SOLICITATION PROVISIONS/INSTRUCTIONS/EVALUATION

### 4.1 FAR 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/these address(es):

FAR: <https://www.acquisition.gov/browse/index/far>

<u>FAR Number</u>	<u>Title</u>	<u>Date</u>
52.203-18	PROHIBITION ON CONTRACTING WITH ENTITIES THAT REQUIRE CERTAIN INTERNAL CONFIDENTIALITY AGREEMENTS OR STATEMENTS --REPRESENTATION	JAN 2017
52.204-7	SYSTEM FOR AWARD MANAGEMENT	OCT 2018
52.204-22	ALTERNATIVE LINE ITEM PROPOSAL	JAN 2017
52.212-1	INSTRUCTIONS TO OFFERORS-COMMERCIAL ITEMS	JUN 2020
52.216-31	TIME-AND-MATERIALS/LABOR-HOUR PROPOSAL REQUIREMENTS-COMMERCIAL ITEM ACQUISITION	FEB 2007
52.217-5	EVALUATION OF OPTIONS	JUL 1990
52.222-24	PREAWARD ON-SITE EQUAL OPPORTUNITY COMPLIANCE EVALUATION	FEB 1999
52.222-25	PROHIBITION ON CONTRACTING WITH ENTITIES ENGAGING IN CERTAIN ACTIVITIES OR TRANSACTIONS RELATING TO IRAN—REPRESENTATION AND CERTIFICATIONS	JUN 2020

### 4.2 SOLICITATION PROVISIONS INCORPORATED IN FULL TEXT

#### 4.2.1 FAR 52.204-24—REPRESENTATION REGARDING CERTAIN TELECOMMUNICATIONS AND VIDEO SURVEILLANCE SERVICES OR EQUIPMENT (AUG 2020)

The Offeror shall not complete the representation at paragraph (d)(1) of this provision if the Offeror has represented that it “does not provide covered telecommunications equipment or

services as a part of its offered products or services to the Government in the performance of any contract, subcontract, or other contractual instrument” in the provision at [52.204-26](#), Covered Telecommunications Equipment or Services—Representation, or in paragraph (v) of the provision at [52.212-3](#), Offeror Representations and Certifications-Commercial Items.

(a) *Definitions.* As used in this provision—

*Backhaul, covered telecommunications equipment or services, critical technology, interconnection arrangements, reasonable inquiry, roaming, and substantial or essential component* have the meanings provided in the clause [52.204-25](#), Prohibition on Contracting for Certain Telecommunications and Video Surveillance Services or Equipment.

(b) *Prohibition.*

(1) Section 889(a)(1)(A) of the John S. McCain National Defense Authorization Act for Fiscal Year 2019 (Pub. L. 115-232) prohibits the head of an executive agency on or after August 13, 2019, from procuring or obtaining, or extending or renewing a contract to procure or obtain, any equipment, system, or service that uses covered telecommunications equipment or services as a substantial or essential component of any system, or as critical technology as part of any system. Nothing in the prohibition shall be construed to—

(i) Prohibit the head of an executive agency from procuring with an entity to provide a service that connects to the facilities of a third-party, such as backhaul, roaming, or interconnection arrangements; or

(ii) Cover telecommunications equipment that cannot route or redirect user data traffic or cannot permit visibility into any user data or packets that such equipment transmits or otherwise handles.

(2) Section 889(a)(1)(B) of the John S. McCain National Defense Authorization Act for Fiscal Year 2019 (Pub. L. 115-232) prohibits the head of an executive agency on or after August 13, 2020, from entering into a contract or extending or renewing a contract with an entity that uses any equipment, system, or service that uses covered telecommunications equipment or services as a substantial or essential component of any system, or as critical technology as part of any system. This prohibition applies to the use of covered telecommunications equipment or services, regardless of whether that use is in performance of work under a Federal contract. Nothing in the prohibition shall be construed to—

(i) Prohibit the head of an executive agency from procuring with an entity to provide a service that connects to the facilities of a third-party, such as backhaul, roaming, or interconnection arrangements; or

(ii) Cover telecommunications equipment that cannot route or redirect user data traffic or cannot permit visibility into any user data or packets that such equipment transmits or otherwise handles.

(c) *Procedures.* The Offeror shall review the list of excluded parties in the System for Award Management (SAM) (<https://www.sam.gov>) for entities excluded from receiving federal awards for “covered telecommunications equipment or services”.

(d) *Representation.* The Offeror represents that—

(1) It  will,  will not provide covered telecommunications equipment or services to the Government in the performance of any contract, subcontract or other contractual instrument resulting from this solicitation. The Offeror shall provide the additional disclosure information

required at paragraph (e)(1) of this section if the Offeror responds “will” in paragraph (d)(1) of this section; and

(2) After conducting a reasonable inquiry, for purposes of this representation, the Offeror represents that—

It  does,  does not use covered telecommunications equipment or services, or use any equipment, system, or service that uses covered telecommunications equipment or services. The Offeror shall provide the additional disclosure information required at paragraph (e)(2) of this section if the Offeror responds “does” in paragraph (d)(2) of this section.

(e) *Disclosures.*

(1) Disclosure for the representation in paragraph (d)(1) of this provision. If the Offeror has responded “will” in the representation in paragraph (d)(1) of this provision, the Offeror shall provide the following information as part of the offer:

(i) For covered equipment—

(A) The entity that produced the covered telecommunications equipment (include entity name, unique entity identifier, CAGE code, and whether the entity was the original equipment manufacturer (OEM) or a distributor, if known);

(B) A description of all covered telecommunications equipment offered (include brand; model number, such as OEM number, manufacturer part number, or wholesaler number; and item description, as applicable); and

(C) Explanation of the proposed use of covered telecommunications equipment and any factors relevant to determining if such use would be permissible under the prohibition in paragraph (b)(1) of this provision.

(ii) For covered services—

(A) If the service is related to item maintenance: A description of all covered telecommunications services offered (include on the item being maintained: Brand; model number, such as OEM number, manufacturer part number, or wholesaler number; and item description, as applicable); or

(B) If not associated with maintenance, the Product Service Code (PSC) of the service being provided; and explanation of the proposed use of covered telecommunications services and any factors relevant to determining if such use would be permissible under the prohibition in paragraph (b)(1) of this provision.

(2) Disclosure for the representation in paragraph (d)(2) of this provision. If the Offeror has responded “does” in the representation in paragraph (d)(2) of this provision, the Offeror shall provide the following information as part of the offer:

(i) For covered equipment—

(A) The entity that produced the covered telecommunications equipment (include entity name, unique entity identifier, CAGE code, and whether the entity was the OEM or a distributor, if known);

(B) A description of all covered telecommunications equipment offered (include brand; model number, such as OEM number, manufacturer part number, or wholesaler number; and item description, as applicable); and

(C) Explanation of the proposed use of covered telecommunications equipment and any factors relevant to determining if such use would be permissible under the prohibition in paragraph (b)(2) of this provision.

(ii) For covered services—

(A) If the service is related to item maintenance: A description of all covered telecommunications services offered (include on the item being maintained: Brand; model number, such as OEM number, manufacturer part number, or wholesaler number; and item description, as applicable); or

(B) If not associated with maintenance, the PSC of the service being provided; and explanation of the proposed use of covered telecommunications services and any factors relevant to determining if such use would be permissible under the prohibition in paragraph (b)(2) of this provision.

(End of provision)

#### **4.2.2 FAR 52.216-1 -- TYPE OF CONTRACT (APR 1984)**

The Government contemplates award of a Time-and-Materials (T&M) and Firm-Fixed Price (FFP) contract resulting from this solicitation.

#### **4.2.3 FAR 52.233-2 – SERVICE OF PROTEST (SEPT 2006)**

(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 Government Accountability Office (GAO), shall be served on the Contracting Officer (addressed as follows) by obtaining written and dated acknowledgment of receipt from Eric M. Bishop, USCIS Contracting Officer at [Eric.M.Bishop@uscis.dhs.gov](mailto:Eric.M.Bishop@uscis.dhs.gov), or at USCIS Contracting Office, 70 Kimball Avenue, So. Burlington, VT 05403

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

(End of provision)

#### **4.3 ADDENDUM TO FAR 52.212-1 -- INSTRUCTIONS TO OFFERORS – COMMERCIAL ITEMS**

Proposals will be submitted in three phases. The Phase 0 submission will consist of the offeror's facility clearance assertion and will be a firm down select. The Phase I proposal submission will consist of a single Volume 1 -Technical Proposal volume. The Phase II proposal submission will include a Volume 2 - Technical Proposal, and a Volume 3 - Business Proposal. The technical proposal shall not include any cost or pricing information. One or more aspects of an Offeror's proposal may be incorporated into the contract resulting from this solicitation. Note to offerors: the contract award resulting from this solicitation is contingent upon the Contracting Officer receiving funding for the requirement.

Proposals volumes shall be organized and divided by the following sections:

Table 4.3 -- Proposal Sections

<b>Volume</b>	<b>Proposal Section</b>	<b>Page Limitations</b>	<b>Phase Due Date</b>
<b>Phase 0 – Facility Clearance Documentation</b>	Material Requirement – Facility Clearance Assertion and Supporting Documentation	No Page Limit	Evaluated on a pass/fail basis. Phase 0 submissions due January 19, 2021 at 12:00pm ET.
<b>Phase I - Volume 1: Technical Proposal</b>	Cover Letter and Table of Contents	No Page Limit	Government will conduct an advisory down select. Phase I submissions due February 01, 2021 at 12:00pm ET
	Factor 1– Staffing Recruitment and Retention	10 Pages	
	Factor 2– Corporate Experience	10 Pages	
<b>Phase II – Volume 2 – Technical Proposal</b>	Cover Letter and Table of Contents	No Limit	Phase II submissions due February 25, 2021 at 12:00pm ET
	Factor 3– Management Approach (to include Key Personnel resumes)	26 pages	
	Material Requirement– Staffing Model Submission (part of Attachment 3.5 Price Schedule and Staffing Model)	No Page Limit	
<b>Phase II - Volume 3: Business Proposal</b>	Cover Letter and Table of Contents	No Page Limit	
	Factor 4– Records of Past Performance	10 Pages	
	Factor 5– Price  To Include; Attachment 3.5 – Price Schedule and Staffing Model (Excel File), Accounting System Documentation, and Offeror Representations and Certifications.	No Page Limit	

**Proposal Formatting**

The proposals shall be submitted on 8 ½" x 11" pages, using Times New Roman font with no less than ten (10) point font character size, and no less than a ¾" around each page for margins. Page numbers shall have no less than a ⅜" margin from the page edge. Tables and figures shall use no smaller than ten (10) point character size and must be clear and readable. Excel file submissions are not required to adhere to the page margins previously noted. **Offerors are required to adhere to all of the page limitations identified in Table 4.3.** Cover pages and table of contents are not included in the page count limitation. All pages in excess of the page limits specified in this solicitation will NOT be evaluated. The proposals shall be readable by the software in use by the Government (i.e., Microsoft Office Suite and Adobe Acrobat).

#### **4.3.1 PHASE 0 – FACILITY CLEARANCE DOCUMENTATION**

In their proposals, offerors must include an assertion that they have an existing final facility clearance as of the due date for Phase 0 submissions. The offeror shall provide the name of the Facility Security Officer, legal entity, address and their cage code associated with the facility clearance. This information will be validated by the USCIS Office of Security and Integrity in the Defense Security Service (DSS) system. Notwithstanding the Security Requirement (2S), USCIS will not be sponsoring any offeror for a facility clearance. If the offeror is part of a joint venture, the government will accept facility clearance information from either the joint venture itself or the lead small business partner to the joint venture. Affiliate facility clearance information will not be accepted.

#### **4.3.2 PHASE I – VOLUME 1: TECHNICAL PROPOSAL INSTRUCTIONS**

##### **I. COVER LETTER AND TABLE OF CONTENTS**

The cover letters for each volume shall include the following information:

- Offering contractor's name
- Solicitation number
- Phase and Volume Title
- Date of Submission
- Company name, address, CAGE, DUNS, and TIN
- Offeror's point of contact information (name, address, phone number, and email address)
- Major subcontractors or teaming partners, defined as completing at least 25% of the overall proposed work, must be listed to include their DUNS and TIN.
- An affirmative statement acknowledging all amendments made to the solicitation.

##### **II. STAFFING RECRUITMENT AND RETENTION**

The offeror's proposal shall include a response to the below scenarios. In responding to the scenarios the offerors shall provide innovative solutions to recruitment and retention of staff specific to the Kansas City Metro area labor market.



- Six months into full performance you have been notified that the NBC will be receiving a new form type and process that will start in 12 weeks. An additional 100 FTEs (General Clerk I and II) would be required. How would you ensure an expeditious and smooth recruitment, including onboarding the 100 FTEs within the 12 week period?
- A large distribution center operates in the Lee's Summit area starting at a comparable rate, offering three shifts with flexible hours, and are anticipating hiring an additional 250 FTEs; how you would overcome attrition and retain staff?

### III. CORPORATE EXPERIENCE

The offeror shall provide specific recent and relevant corporate experience examples. "Recent" is defined as relevant experience performed within three (3) years from the date of the issuance of this RFP. "Relevant" is defined as file operations and services work similar to that described in the PWS and must include labor management (managing, recruiting, hiring, retaining, and training that staff), be valued at or above a total value of \$25M, and include the management of a staff of at least 250 FTEs. Examples may include federal, state, local government, and private customers. Note: The term, "the offeror", applies to a joint venture as well. If an offeror is proposing as a joint venture, references shall be for experience that the joint venture has had as a joint venture.

At a minimum, the Offeror shall provide the following information for each example of corporate experience proposed:

- The name and DUNS number of the legal entity/contractor performing the contract/order;
- Contract/order number;
- Contract/order title;
- Performance dates;
- A brief description of the type of work performed on the contract/order;
- A discussion of how the contract work is similar to the work in the PWS;
- An explanation of the labor management performed;
- Annual dollar value;
- Number of FTEs;
- Government organization or company that issued the contract; and
- The name, title, and contact information for a point of contact whom the Government may contact if it desires additional information.
- "Included" or "not included" in Contractor Performance Assessment Reporting System (CPARS)?

The offeror shall provide no less than one (1) example of relevant corporate experience performed by either the prime offeror or a major subcontractor, defined as performing 25% of more of the proposed work, for which it performed as the prime contractor. In addition, the Offeror shall not provide more than five (5) total examples of corporate experience in its proposal. Each example shall be no longer than 2 pages in length. In addition, the Government may seek additional information from the points of contact provided.

### **4.3.3 PHASE II – VOLUME 2 – TECHNICAL PROPOSAL**

#### **I. COVER LETTER AND TABLE OF CONTENTS**

The cover letters for this volume should follow the same format described in PHASE I – VOLUME 1: TECHNICAL PROPOSAL, I. Cover Letter and Table of Contents.

#### **II. MANAGEMENT APPROACH**

The offeror shall provide all the necessary information to facilitate the Government’s consideration of Factor 3—Management Approach, including completion of Attachment 3.5, “Price Schedule and Staffing Model” (Excel File), worksheets titled “Price & Staff Model CLIN x0xx,” to submit its staffing model.

- The offeror shall include the proposed labor categories and level of effort (hours and FTEs) for each labor category in the staffing model at Attachment 3.5. Offerors shall highlight any proposed alternate or additional labor categories and/or hours that differ from the estimates in the tab titled, “2. Estimated FTE”, on Attachment 3.5.
- Within the written section of the proposal, the Offeror shall describe any assumptions used for developing the proposed staffing model. Offerors shall also include an explanation of any proposed alternative or additional labor categories to the suggested categories and hours provided by the Government in Attachment 3.5, “Price Schedule and Staffing Model”. As necessary, Offerors shall link labor categories back to the wage determination labor categories. The government has used 1824 hours when calculating an FTE. If an offeror chooses to use an alternative number of hours for an FTE, they must state so. Note: the use of the term, “FTE”, is purely for administrative convenience is intended to be used to gauge the scope of effort as a means to understand whether the offeror is resourced sufficiently to execute the PWS tasks.
- The offeror shall provide information detailing their payroll and real time production data systems showing the following:
  - The offeror’s ability to accurately account for personnel time and labor rates;
  - The offeror’s ability to track and manage staff moving between FFP and T&M CLINs, and;
  - The offeror’s ability to provide routine and accurate production data with clear and concise coding for completion of task units by PWS task area.
  - The offeror’s ability to extract and link production data to what is being invoiced.
- The offeror’s written submission shall also include a response to the following scenario:
  - (Scenario 1 – Quality Control) Your company has achieved an 87% AQL for the past three months, when the requirement is 98% AQL for the task of Case Preparation for Family Base (FB). While adhering to the processes in the PWS, how would you address and rectify the unacceptable quality level? Additionally, how would you ensure the acceptable quality level is maintained after it has been rectified? In your response, please state the various personnel who may be involved.



- (Scenario 2 – Overall Management Approach) You have just been notified that the NBC will be receiving the I-765 Premium Processing form that will be implemented in 12 weeks. How would you ensure a smooth transition to NBC? What steps will you take to ensure that all the necessary pre and post adjudication processing steps are put in place and that your staff are adequately prepared and trained to process the form. In response to this scenario, please incorporate your management philosophy, approach, and strategy to successfully complete this task and meet the performance standards in the PWS. In addition to receipting monetary instruments and applying required security requirements, please provide any other constraints that you anticipate.
- (Scenario 3 – Short Term Growth/Managing Resources) Your company has been notified that the workload for I-485 Adjustment of Status Employment and Family Based cases has increased significantly. Taking into consideration unplanned surges in workload, describe your approach and strategy to balance priorities across multiple facilities while ensuring that other AQLs/PRs don't fall below the contract requirements.
- (Scenario 4 - Communication) There has been a recent increase in missing files both physically and electronically. How would your company communicate file room management, determine root cause for missing files, document risk mitigation applied, and how would this be communicated to the government, contractor staff, and sub-contractors?
- The draft Transition-in plan to include a timeline, roles and responsibilities, and strategy to ensure a smooth and seamless EOD process for the transfer of employees as well as new employees.
- The offeror shall provide the resume for each proposed Key Personnel. Each resume shall not exceed three (3) pages in length. The offeror's key personnel must meet the requirements found in Attachment 3.1, "Performance Work Statement," Section O., "Key Personnel."

#### **4.3.4 PHASE II – VOLUME 3: BUSINESS PROPOSAL**

##### **I. COVER LETTER AND TABLE OF CONTENTS**

The cover letters for this volume should follow the same format described in PHASE I – VOLUME 1: TECHNICAL PROPOSAL, I. Cover Letter and Table of Contents.

##### **II. RECORDS OF PAST PERFORMANCE**

Offerors need not include any additional information for this Factor unless the offeror has no recent and relevant past performance. The past performance evaluation will be based on the information submitted in Factor 2, Corporate Experience.

If the offeror has no recent or relevant past performance, the offeror shall certify to the CO the offeror has no past performance.

##### **III. PRICE PROPOSAL**

The Offeror shall provide a Time-and-Materials (T&M) and Firm-Fixed Price (FFP) proposal that reflects its proposed solution to the Government's requirement. The Government has provided the estimated Full Time Equivalent (FTE) under the tab titled, "2. Estimated FTE". Additionally, the Government has provided production data information under the tab titled, "3. Production Data Information". As part of the Price Proposal submission, the Offeror shall provide:

- A completed copy of Attachment 3.5, "Price Schedule and Staffing Model" (Excel Format). The Excel file shall be unlocked and contain all formulas. The offeror is responsible for ensuring that all formulas are unlocked and contain formulas in the Excel file submission. **All proposed prices on the CLIN subtotals shall be rounded to the nearest dollar amount with no cents;** and
- For all line items, with the exception of CLIN x009 and CLIN x010, the offeror shall provide the basis for the price model worksheets (all titled, "Price&Staff Model CLIN xxxx") in Attachment 3.5, "Price Schedule and Staffing Model" (Excel Format), to include: proposed labor categories from Phase I, fully burdened labor rates, and number of FTE. Price model tabs associated with the appropriate price schedule are broken down by each task area within the CLIN. The base period and option periods are to be priced left to right. The funded line items and unfunded optional line items are to be priced top to bottom. Offerors shall provide the subtotal price for each task area as well as the subtotal for each line item (both funded and optional line items) for all option periods. Lastly, the offeror shall provide the total for each option period. The offeror shall ensure that each subtotal proposed price matches the associated line item on the appropriate associated price schedule tab. For example, in tab, "5. Price&Staff model CLIN x001", the CLIN 0001AA subtotal in cell G46 should match the price input in cell G10 in the associated tab titled, "4. Price Schedule CLIN x001". Then, the monthly price for the 12-month period shall be calculated in cell F10. Finally, the offeror shall complete the "Price Proposal Summary" worksheet and ensure all proposed pricing in the summary sheet matches the CLIN subtotals on all other worksheets.
- For CLIN x009, the offeror shall complete the tab titled, "21. Price&Staff Model CLIN x009" by providing the overtime labor categories, subtracting the health and welfare rate from the full burdened labor rate, and applying the overtime multiplier to the subtotal value for a final overtime rate. In the associated price schedule tab titled, "20. Price Schedule CLIN x009", the Government has provided a lump sum amount of overtime that may become funded during contract performance. These values listed in column F shall not be changed by the offeror.
- For CLIN x0010, the offeror shall provide a price for the actual cost of assumed contractor space lease with no profit and indirect costs included that the offeror can reasonably expect to incur.
- For the SCLS labor categories, offerors shall price the option periods using the same base labor rates and Health and Welfare (H&W) rates used for the Base Period (i.e. no escalation in the base labor rate or H&W). In the event the option(s) is exercised, the

contract price(s) will be subject to adjustment in accordance with FAR 52.222-43 (Fair Labor Standards Act and Service Contract Act Price Adjustment (Multiple Year and Option Contracts)). If non-exempt SCLS fully burdened labor rates are not flat-lined each period, provide detail of the calculation of the proposed fully burdened labor rates in order for the government to verify that SCLS base labor rates and H&W rates have been flat-lined. For all SCLS applicable labor categories the offeror shall provide the unburdened labor rate in the price proposal summary tab.

- The Offeror shall provide a narrative of all the assumptions it used in developing its price proposal.

#### IV. ACCOUNTING SYSTEM DOCUMENTATION

In order to qualify for the award of a non-fixed price contract, or perform non-fixed price work during performance, the offeror (prime or joint venture), must have an accounting system adequate for the contract type in accordance with FAR 16.104(i). The offeror, and any subcontractors or joint venture partners with a non-fixed price contract, or performing non-fixed price work during performance, shall provide evidence of an adequate accounting system. Offerors not providing the evidence below will be found ineligible for award. Self-certification is NOT acceptable. A document not expressing an opinion (as described below) on an adequate accounting system, such as recommended billing rates, is not acceptable. The only evidence that is acceptable for an adequate accounting system expresses an opinion on an adequate accounting system and is:

1. A written opinion or other statement from the cognizant federal auditor (CFA) or the cognizant federal agency official (CFAO); or
2. An unqualified opinion by a certified public accounting (CPA) firm. If the offeror provides an opinion from a CPA firm, the opinion shall be on the CPA's letterhead and state:
  - a. That the accounting system complies with requirements applicable to the contract type;
  - b. That the accounting system complies with Generally Accepted Accounting Standards (GAAP);
  - c. That the accounting system complies with the Federal Acquisition Regulations (FAR);
  - d. That the accounting system complies with the criteria in the DCAA PRE-AWARD SURVEY OF PROSPECTIVE CONTRACTOR ACCOUNTING SYSTEM (Standard Form 1408); **and**
  - e. That the examination was conducted in accordance Generally Accepted Government Auditing Standards (GAGAS).

**Note to Offeror:** The anticipated total value for this requirement is approximately \$390 Million - \$460 Million. This range is to be used as a guide and proposed prices outside of this range will not be automatically disqualified. This range does not include the estimated value of the clause FAR 52.217-8, “Option to Extend Services” clause.

#### **4.3.5 RFP QUESTIONS**

Any questions regarding this RFP must be sent directly to the Contract Specialist and Contracting Officer at the following email addresses: [Sara.Riordan@uscis.dhs.gov](mailto:Sara.Riordan@uscis.dhs.gov) and [Eric.M.Bishop@uscis.dhs.gov](mailto:Eric.M.Bishop@uscis.dhs.gov). All questions must be attached to the e-mail in an Excel format using Attachment 3.7 “Question and Answer Form.”

All questions are due no later than **January 12th, 2021 at 2:00PM ET.**

#### **4.3.6 DUE DATE FOR THE SUBMISSION OF PROPOSALS**

Proposals shall be submitted via email sent directly to the Contracting Officer and Contract Specialist at the following email addresses: [Sara.Riordan@uscis.dhs.gov](mailto:Sara.Riordan@uscis.dhs.gov) and [Eric.M.Bishop@uscis.dhs.gov](mailto:Eric.M.Bishop@uscis.dhs.gov). The Offeror’s e-mail’s subject line shall read: 70SBUR21R00000009 – NBC ROC - [OFFEROR CONTRACTOR NAME]. The total size per email shall not exceed 10 megabytes to ensure receipt by the U.S. Government email systems.

- Phase 0 Facility Clearance Documentation is due no later than **January 19th, 2021 at 12:00PM ET.**
- Phase I proposals are due no later than **February 1st, 2021 at 12:00PM ET.**
- Phase II proposals are due no later than **February 25th, 2021 at 12:00 PM ET.**

#### **4.4 52.212-2 -- EVALUATION—COMMERCIAL ITEMS (OCT 2014)**

The Government will award a contract resulting from this solicitation to the responsible offeror whose offer conforming to the solicitation that presents the best value to the Government, price and other factors considered. The following factors shall be used to evaluate offers:

##### **Phase 0:**

- Material Requirement – Facility Clearance (pass/fail)

##### **Phase I:**

- Factor 1 – Staffing Recruitment and Retention
- Factor 2 - Corporate Experience

##### **Phase II:**

- Factor 3 – Management Approach
- Factor 4 – Past Performance
- Factor 5 – Price

In determining best-value for award, all technical/non-price evaluation factors (Facility Clearance Assertion and Supporting Documentation, Staffing Recruitment and Retention, Corporate Experience, Management Approach, and Past Performance), listed in descending order of importance, when combined, are more important than price.

(b) *Options*. The Government will evaluate offers for award purposes by adding the total price for all options to the total price for the basic requirement. The Government may determine that an offer is unacceptable if the option prices are significantly unbalanced. Evaluation of options shall not obligate the Government to exercise the option(s).

(c) A written notice of award or acceptance of an offer, mailed or otherwise furnished to the successful offeror within the time for acceptance specified in the offer, shall result in a binding contract without further action by either party. Before the offer's specified expiration time, the Government may accept an offer (or part of an offer), whether or not there are negotiations after its receipt, unless a written notice of withdrawal is received before award.

#### **4.5 ADDENDUM TO FAR 52.212-2 -- EVALUATION-COMMERCIAL ITEMS (OCT 2014)**

The following solicitation provisions are incorporated into FAR 52.212-2 as an addendum to this Request for Proposal (RFP):

##### **4.5.1 BASIS OF AWARD AND EVALUATION OF PROPOSALS**

All proposal factors will be evaluated in conjunction with the requirements identified in “Addendum to FAR 52.212-1 Instructions to Offerors – Commercial Items.” In accordance with FAR 52.212-1, the Government intends to evaluate offers and award a contract without discussions with offerors. However, the Government reserves the right to conduct discussions if later determined by the Contracting Officer to be necessary.

The Government will utilize a multi-phase down-selection through advisory notification methodology for the evaluation of offers. The following evaluation phases and evaluation factors will be used for this procurement:

##### **Phase 0:**

- Material Requirement: Facility Clearance

##### **Phase I:**

- Factor 1 – Staffing Recruitment and Retention

- Factor 2 - Corporate Experience

**Phase II:**

- Factor 3 – Management Approach
- Factor 4 – Past Performance
- Factor 5 – Price

Offerors who do not submit the required documentation for Phase 0 of this procurement by the due date and time will not be eligible to submit a proposal in Phase I or II, therefore making them ineligible for award. Phase 0 will be conducted on a pass or fail basis. Offerors who pass in Phase 0 will be eligible to submit a Phase I proposal. Offerors who fail in Phase 0 will be ineligible for Phase I and II and therefore ineligible for award.

In Phase I of the evaluation, offerors will be evaluated on two factors: (1) Staffing Recruitment and Retention and (2) Corporate Experience. As part of Phase I, offerors will be provided an advisory notice indicating whether or not USCIS advises them to move on to Phase II. Offerors not meeting the deadline for Phase I will be ineligible to provide a response to Phase II, therefore being ineligible for award.

In Phase II of the evaluation, offerors will be evaluated on three additional factors: (3) Management Approach, (4) Past Performance, and (5) Price. To determine the best value offer, the government will conduct a trade-off analysis considering the evaluation of all evaluation factors from Phase I and II. Offerors not meeting the deadline for Phase II will not be considered for award.

The Government anticipates selecting the best-value proposal from an Offeror's initial proposal, without engaging in discussions with Offerors. Offeror's are strongly encouraged to submit their best technical and price proposal in response to this RFP. The Government reserves the right to enter into discussions with Offerors.

**4.5.2 EVALUATION FACTORS**

Each proposal will be evaluated according to the price and non-price factors delineated below. The non-price evaluation factors are listed in following descending order of importance: Facility Clearance Assertion and Supporting Documentation, Staffing Recruitment and Retention, Corporate Experience, Management Approach, and Past Performance. All non-price factors, when combined, are significantly more important than Price.

**PHASE 0 -- EVALUATION FACTOR****Material Requirement –Facility Clearance Documentation**

The Government will assess on a pass/fail basis whether the offeror provided the required facility clearance assertion and supplemental information at the Phase 0 submission deadline. Additionally, the Government will validate the provided documentation within the DSS system. Pass is defined as the offeror providing the required assertion as well as the entity name, legal address, cage code, and Facility Security Officer information by the due date and time. Fail is defined as not providing one or more of those aspects by the due date and time.

## **PHASE I -- EVALUATION FACTORS**

### **Factor 1 – Staffing Recruitment and Retention**

Based on the responses to the scenarios, the government will assess the soundness of the offeror's approach and strategy to attract, recruit and retain a quality workforce, including an assessment of the offeror's approach to recruit and retain staff while facing competition in the local area.

### **Factor 2 – Corporate Experience**

The Government will assess whether it is likely that the Offeror will successfully perform the contract requirements through the evaluation of examples of recent and relevant corporate experience as defined in the instructions. Offerors providing relevant corporate experience references for the prime offeror performing as a prime may be considered more likely to be successful than an offeror that only submits references pertaining to the work of a major subcontractor.

## **PHASE II -- EVALUATION FACTORS**

### **Factor 3 – Management Approach**

The government will assess the offeror's staffing approach found in Attachment 3.5, "Price Schedule and Staffing Model" (solely the Price & Staff Model CLIN x0xx worksheets), and whether the proposed staffing is realistic and adequate to meet the performance requirements in the PWS. As applicable, the Government will evaluate the adequacy and sufficiency of any alternatively proposed labor categories and staffing numbers.

The government will assess the offeror's payroll and production data system by evaluating the offerors ability to provide accurate and real time information to the government while being able to extract and link production data to what is being invoiced. The government will also assess the offerors ability to track and manage staff moving between FFP and non-FFP task areas.

The government will assess the offeror's approach to quality assurance and quality control to ensure the work completed is of an acceptable quality level, how unacceptable quality levels can successfully be addressed, and that work processes align with the PWS requirement (Scenario 1).

The government will assess the offeror's overall management philosophy, approach and strategy for managing the successful completion of tasks and deliverables (to include cross training) and meeting the performance standards in its proposed PWS (Scenario 2).

The government will assess the offerors approach and strategy to managing unplanned short-term surges in growth, and how to balance resources to meet changing needs in a multifacility environment (Scenario 3).

The government will assess the offeror's communication methodology and how the offeror plans to communicate process changes with both government and contractor staff (Scenario 4).

The government will assess the offeror's draft transition in plan to determine whether it provides an adequate strategy and is likely to be successful.

The government will assess the offeror's proposed key personnel, and whether they meet and/or exceed the requirements found in Section O. of the PWS.

#### **Factor 4 – Past Performance**

The Government will evaluate the past performance of the prime offeror and the proposed major subcontractors as submitted in the recent and relevant corporate experience examples. The evaluation will consider, but is not limited to, the offeror's history of quality, schedule, business relations, management of key personnel, and facility management.

The evaluation may also include reviewing and considering relevant past performance information from other DHS contracts, other government agencies, private industry, and/or other sources. The evaluation may include data in Government electronic databases, i.e., Federal Awardee Performance and Integrity Information System (FAPIIS), System for Award Management (SAM), Past Performance Information Retrieval System (PPIRS). The Government may conduct additional outreach (Attachment 3.6 Past Performance Questionnaire) and research to include reviews of articles and other publications for timely and relevant news about an offeror's performance or business integrity (beyond government electronic databases).

In the case of an offeror without a record of recent and relevant past performance or for whom information on past performance is not available, a rating of Neutral shall be assigned; the offeror may not be evaluated favorably or unfavorably on past performance.

#### **Factor 5 – Price**

Price refers to the total evaluated price of performing the requirements of the solicitation. The price proposal will be evaluated for consistency and arithmetic accuracy, and if any math errors are found the government will, through clarifications, ask the quoting contractor to resolve any math errors. The Government will evaluate the Offeror's total evaluated price to determine if the price is fair and reasonable. The Government will evaluate price for reasonableness in accordance with one or more price analysis techniques identified in FAR Part 15.4. The Government will evaluate total price inclusive of all options, including FAR 52.217-8, "Option to Extend Services." The government reserves the right to conduct a price realism analysis if it is deemed necessary within the discretion of the contracting officer.



The Government’s evaluated price will include a Government determined price for the FAR 52.217-8, “Option to Extend Services” clause for a 6-month period. The Government will compute a price for the FAR 52.217-8 clause 6-month period by dividing the offeror’s proposed price for the final 12-month option by two (2), and then adding that computed amount to the offeror’s proposed price to evaluate the price for the FAR 52.217-8 option.

### 4.5.3 ADJECTIVAL RATING DEFINITIONS

The definitions in the table below will be used when evaluating and rating the evaluation factors for Factor 1 - Staffing Recruitment and Retention, Factor 2 - Corporate Experience, and Factor 3 - Management Approach.

Table 4.5.3 – Adjectival Rating Definitions

Rating	Definition
<b>Outstanding</b>	The proposal demonstrates outstanding service attributes for one or more aspects of the requirement. The proposal also demonstrates one or more outstanding capabilities and there is a strong likelihood that one or more requirements will be significantly exceeded. Strengths are proposed that will significantly benefit the Government.
<b>Good</b>	The proposal demonstrates good service attributes for one or more aspects of the requirement. The proposal also demonstrates one or more good capabilities and there is a likelihood that the requirements will be exceeded. Strengths are proposed that will benefit the Government.
<b>Acceptable</b>	The proposal demonstrates only acceptable service attributes for most aspects of the requirement. The proposal also demonstrates generally acceptable capabilities. There is a likelihood the requirement will be met. The proposal may contain negligible weaknesses.
<b>Unacceptable</b>	The proposal contains one or more deficiencies and/or gross omissions; or failed to demonstrate an understanding of the scope of work necessary to perform the required tasks; or failed to provide a reasonable, logical approach to fulfilling much of the Government's requirements. The proposal demonstrates unacceptable service risk functionality. An offeror who receives an unacceptable rating in any factor will be ineligible for an award.

### 4.5.4 PAST PERFORMANCE CONFIDENCE RATING DEFINITIONS

The definitions in the table below will be used when evaluating and rating Factor 4 – Past Performance.

Table 4.5.4 – Past Performance Confidence Rating Definitions

<b>Rating</b>	<b>Definition</b>
<b>Substantial Confidence</b>	Based on the offeror’s recent/relevant performance record, the Government has a high expectation that the offeror will successfully perform the required effort.
<b>Satisfactory Confidence</b>	Based on the offeror’s recent/relevant performance record, the Government has a reasonable expectation that the offeror will successfully perform the required effort.
<b>Neutral</b>	No recent/relevant performance record is available so no meaningful confidence assessment rating can be assigned.
<b>Low Confidence</b>	Based on the offeror’s recent/relevant performance record, the Government has low expectation that the offeror will be able to successfully perform the required effort. An offeror who receives a low confidence rating will be ineligible for award.

#### **4.6 OFFEROR’S REPRESENTATIONS AND CERTIFICATIONS**

##### **4.6.1 FAR 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.

(End of provision)

#### **4.6.2 FAR 52.204-26 – COVERED TELECOMMUNICATIONS EQUIPMENT OR SERVICES- REPRESENTATION (OCT 2020)**

(a) *Definitions.* As used in this provision, "covered telecommunications equipment or services" and "reasonable inquiry" have the meaning provided in the clause [52.204-25](#), Prohibition on Contracting for Certain Telecommunications and Video Surveillance Services or Equipment.

(b) *Procedures.* The Offeror shall review the list of excluded parties in the System for Award Management (SAM) (<https://www.sam.gov>) for entities excluded from receiving federal awards for "covered telecommunications equipment or services".

(c) (1) *Representation.* The Offeror represents that it  does,  does not provide covered telecommunications equipment or services as a part of its offered products or services to the Government in the performance of any contract, subcontract, or other contractual instrument.

(2) After conducting a reasonable inquiry for purposes of this representation, the offeror represents that it  does,  does not use covered telecommunications equipment or services, or any equipment, system, or service that uses covered telecommunications equipment or services.

(End of provision)

#### **4.6.3 FAR 52.209-7 -- INFORMATION REGARDING RESPONSIBILITY MATTERS (OCT 2018)**

(a) *Definitions.* As used in this provision—

*Administrative proceeding* means a non-judicial process that is adjudicatory in nature in order to make a determination of fault or liability (e.g., Securities and Exchange Commission Administrative Proceedings, Civilian Board of Contract Appeals Proceedings, and Armed Services Board of Contract Appeals Proceedings). This includes administrative proceedings at the Federal and State level but only in connection with performance of a Federal contract or grant. It does not include agency actions such as contract audits, site visits, corrective plans, or inspection of deliverables.

*Federal contracts and grants with total value greater than \$10,000,000* means—

- (1) The total value of all current, active contracts and grants, including all priced options; and
- (2) The total value of all current, active orders including all priced options under indefinite-delivery, indefinite-quantity, 8(a), or requirements contracts (including task and delivery and multiple-award Schedules).

*Principal* means an officer, director, owner, partner, or a person having primary management or supervisory responsibilities within a business entity (e.g., general manager; plant manager; head of a division or business segment; and similar positions).

(b) The offeror [ ] has [ ] does not have current active Federal contracts and grants with total value greater than \$10,000,000.

(c) If the offeror checked “has” in paragraph (b) of this provision, the offeror represents, by submission of this offer, that the information it has entered in the Federal Awardee Performance and Integrity Information System (FAPIIS) is current, accurate, and complete as of the date of submission of this offer with regard to the following information:

(1) Whether the offeror, and/or any of its principals, has or has not, within the last five years, in connection with the award to or performance by the offeror of a Federal contract or grant, been the subject of a proceeding, at the Federal or State level that resulted in any of the following dispositions:

- (i) In a criminal proceeding, a conviction.
- (ii) In a civil proceeding, a finding of fault and liability that results in the payment of a monetary fine, penalty, reimbursement, restitution, or damages of \$5,000 or more.
- (iii) In an administrative proceeding, a finding of fault and liability that results in—
  - (A) The payment of a monetary fine or penalty of \$5,000 or more; or

- (B) The payment of a reimbursement, restitution, or damages in excess of \$100,000.
- (iv) In a criminal, civil, or administrative proceeding, a disposition of the matter by consent or compromise with an acknowledgment of fault by the Contractor if the proceeding could have led to any of the outcomes specified in paragraphs (c)(1)(i), (c)(1)(ii), or (c)(1)(iii) of this provision.
- (2) If the offeror has been involved in the last five years in any of the occurrences listed in (c)(1) of this provision, whether the offeror has provided the requested information with regard to each occurrence.
- (d) The offeror shall post the information in paragraphs (c)(1)(i) through (c)(1)(iv) of this provision in FAPIIS as required through maintaining an active registration in the System for Award Management, which can be accessed via <https://www.sam.gov> (see [52.204-7](#)).

(End of provision)

#### **4.6.4 FAR 52.212-3 -- OFFEROR REPRESENTATIONS AND CERTIFICATIONS-COMMERCIAL ITEMS (NOV 2020)**

The Offeror shall complete only paragraph (b) of this provision if the Offeror has completed the annual representations and certification electronically in the System for Award Management (SAM) accessed through <https://www.sam.gov>. If the Offeror has not completed the annual representations and certifications electronically, the Offeror shall complete only paragraphs (c) through (v) of this provision.

(a) Definitions. As used in this provision—

“Covered telecommunications equipment or services” has the meaning provided in the clause 52.204-25, Prohibition on Contracting for Certain Telecommunications and Video Surveillance Services or Equipment.

Economically disadvantaged women-owned small business (EDWOSB) concern means a small business concern that is at least 51 percent directly and unconditionally owned by, and the management and daily business operations of which are controlled by, one or more women who are citizens of the United States and who are economically disadvantaged in accordance with 13 CFR part 127. It automatically qualifies as a women-owned small business eligible under the WOSB Program.

*Forced or indentured child labor* means all work or service—

- (1) Exacted from any person under the age of 18 under the menace of any penalty for its nonperformance and for which the worker does not offer himself voluntarily; or
- (2) Performed by any person under the age of 18 pursuant to a contract the enforcement of which can be accomplished by process or penalties.

*Highest-level owner* means the entity that owns or controls an immediate owner of the offeror, or that owns or controls one or more entities that control an immediate owner of the offeror. No entity owns or exercises control of the highest level owner.

*Immediate owner* means an entity, other than the offeror, that has direct control of the offeror. Indicators of control include, but are not limited to, one or more of the following: ownership or interlocking management, identity of interests among family members, shared facilities and equipment, and the common use of employees.

*Inverted domestic corporation*, means a foreign incorporated entity that meets the definition of an inverted domestic corporation under 6 U.S.C. 395(b), applied in accordance with the rules and definitions of 6 U.S.C. 395(c).

*Manufactured end product* means any end product in product and service codes (PSCs) 1000-9999, except—

- (1) PSC 5510, Lumber and Related Basic Wood Materials;
- (2) Product or Service Group (PSG) 87, Agricultural Supplies;
- (3) PSG 88, Live Animals;
- (4) PSG 89, Subsistence;
- (5) PSC 9410, Crude Grades of Plant Materials;
- (6) PSC 9430, Miscellaneous Crude Animal Products, Inedible;
- (7) PSC 9440, Miscellaneous Crude Agricultural and Forestry Products;
- (8) PSC 9610, Ores;
- (9) PSC 9620, Minerals, Natural and Synthetic; and
- (10) PSC 9630, Additive Metal Materials.

*Place of manufacture* means the place where an end product is assembled out of components, or otherwise made or processed from raw materials into the finished product that is to be provided to the Government. If a product is disassembled and reassembled, the place of reassembly is not the place of manufacture.

*Predecessor* means an entity that is replaced by a successor and includes any predecessors of the predecessor.

*Restricted business operations* means business operations in Sudan that include power production activities, mineral extraction activities, oil-related activities, or the production of military equipment, as those terms are defined in the Sudan Accountability and Divestment Act of 2007 (Pub. L. 110-174). Restricted business operations do not include business operations that the person (as that term is defined in Section 2 of the Sudan Accountability and Divestment Act of 2007) conducting the business can demonstrate—

(1) Are conducted under contract directly and exclusively with the regional government of southern Sudan;

(2) Are conducted pursuant to specific authorization from the Office of Foreign Assets Control in the Department of the Treasury, or are expressly exempted under Federal law from the requirement to be conducted under such authorization;

(3) Consist of providing goods or services to marginalized populations of Sudan;

(4) Consist of providing goods or services to an internationally recognized peacekeeping force or humanitarian organization;

(5) Consist of providing goods or services that are used only to promote health or education;  
or

(6) Have been voluntarily suspended. “Sensitive technology”—

*Sensitive technology*—

(1) Means hardware, software, telecommunications equipment, or any other technology that is to be used specifically—

(i) To restrict the free flow of unbiased information in Iran; or

(ii) To disrupt, monitor, or otherwise restrict speech of the people of Iran; and

(2) Does not include information or informational materials the export of which the President does not have the authority to regulate or prohibit pursuant to section 203(b)(3) of the International Emergency Economic Powers Act (50 U.S.C. 1702(b)(3)).

*Service-disabled veteran-owned small business concern*—

(1) Means a small business concern—

(i) Not less than 51 percent of which is owned by one or more service-disabled veterans or, in the case of any publicly owned business, not less than 51 percent of the stock of which is owned by one or more service-disabled veterans; and

(ii) The management and daily business operations of which are controlled by one or more service-disabled veterans or, in the case of a service-disabled veteran with permanent and severe disability, the spouse or permanent caregiver of such veteran.

(2) Service-disabled veteran means a veteran, as defined in 38 U.S.C. 101(2), with a disability that is service connected, as defined in 38 U.S.C. 101(16).

*Small business concern*—

(1) Means a concern, including its affiliates, that is independently owned and operated, not dominant in the field of operation in which it is bidding on Government contracts, and qualified as a small business under the criteria in 13 CFR Part 121 and size standards in this solicitation.

(2) *Affiliates*, as used in this definition, means business concerns, one of whom directly or indirectly controls or has the power to control the others, or a third party or parties control or have the power to control the others. In determining whether affiliation exists, consideration is given to all appropriate factors including common ownership, common management, and contractual relationships. SBA determines affiliation based on the factors set forth at 13 CFR 121.103.

Small disadvantaged business concern, consistent with 13 CFR 124.1002, means a small business concern under the size standard applicable to the acquisition, that—

(1) Is at least 51 percent unconditionally and directly owned (as defined at 13 CFR 124.105) by—

(i) One or more socially disadvantaged (as defined at 13 CFR 124.103) and economically disadvantaged (as defined at 13 CFR 124.104) individuals who are citizens of the United States; and

(ii) Each individual claiming economic disadvantage has a net worth not exceeding \$750,000 after taking into account the applicable exclusions set forth at 13 CFR 124.104(c)(2); and

(2) The management and daily business operations of which are controlled (as defined at 13 CFR 124.106) by individuals, who meet the criteria in paragraphs (1)(i) and (ii) of this definition.

Subsidiary means an entity in which more than 50 percent of the entity is owned—

(1) Directly by a parent corporation; or

(2) Through another subsidiary of a parent corporation

Successor means an entity that has replaced a predecessor by acquiring the assets and carrying out the affairs of the predecessor under a new name (often through acquisition or merger). The term “successor” does not include new offices/divisions of the same company or a company that only changes its name. The extent of the responsibility of the successor for the liabilities of the predecessor may vary, depending on State law and specific circumstances.

Veteran-owned small business concern means a small business concern—

(1) Not less than 51 percent of which is owned by one or more veterans (as defined at 38 U.S.C. 101(2)) or, in the case of any publicly owned business, not less than 51 percent of the stock of which is owned by one or more veterans; and

(2) The management and daily business operations of which are controlled by one or more veterans.

Women-owned small business (WOSB) concern eligible under the WOSB Program (in accordance with 13 CFR part 127), means a small business concern that is at least 51 percent



directly and unconditionally owned by, and the management and daily business operations of which are controlled by, one or more women who are citizens of the United States.

Women-owned small business concern means a small business concern—

(1) That is at least 51 percent owned by one or more women; or, in the case of any publicly owned business, at least 51 percent of the stock of which is owned by one or more women; and

(2) Whose management and daily business operations are controlled by one or more women.

(b)

(1) Annual Representations and Certifications. Any changes provided by the Offeror in paragraph (b)(2) of this provision do not automatically change the representations and certifications in SAM

(2) The offeror has completed the annual representations and certifications electronically in SAM accessed through <http://www.sam.gov>. After reviewing SAM information, the Offeror verifies by submission of this offer that the representations and certifications currently posted electronically at FAR 52.212-3, Offeror Representations and Certifications-Commercial Items, have been entered or updated in the last 12 months, are current, accurate, complete, and applicable to this solicitation (including the business size standard(s) applicable to the NAICS code(s) referenced for this solicitation), at the time this offer is submitted and are incorporated in this offer by reference (see FAR 4.1201), except for paragraphs \_\_\_\_\_.

[Offeror to identify the applicable paragraphs at (c) through (v) of this provision that the offeror has completed for the purposes of this solicitation only, if any.]

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.

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 electronically on SAM.]

(c) Offerors must complete the following representations when the resulting contract will be performed in the United States or its outlying areas. Check all that apply.

(1) Small business concern. The offeror represents as part of its offer that it  is,  is not a small business concern.

(2) Veteran-owned small business concern. [Complete only if the offeror represented itself as a small business concern in paragraph (c)(1) of this provision.] The offeror represents as part of its offer that it  is,  is not a veteran-owned small business concern.

(3) Service-disabled veteran-owned small business concern. [Complete only if the offeror represented itself as a veteran-owned small business concern in paragraph (c)(2) of this provision.] The offeror represents as part of its offer that it  is,  is not a service-disabled veteran-owned small business concern.

(4) Small disadvantaged business concern. [Complete only if the offeror represented itself as a small business concern in paragraph (c)(1) of this provision.] The offeror represents, that it  is,  is not a small disadvantaged business concern as defined in 13 CFR124.1002.

(5) Women-owned small business concern. [Complete only if the offeror represented itself as a small business concern in paragraph (c)(1) of this provision.] The offeror represents that it  is,  is not a women-owned small business concern.

(6) WOSB concern eligible under the WOSB Program. [Complete only if the offeror represented itself as a women-owned small business concern in paragraph (c)(5) of this provision.] The offeror represents that-

(i) It  is,  is not a WOSB concern eligible under the WOSB Program, has provided all the required documents to the WOSB Repository, and no change in circumstances or adverse decisions have been issued that affects its eligibility; and

(ii) It  is,  is not a joint venture that complies with the requirements of 13 CFR part 127, and the representation in paragraph (c)(6)(i) of this provision is accurate for each WOSB concern eligible under the WOSB Program participating in the joint venture. [The offeror shall enter the name or names of the WOSB concern eligible under the WOSB Program and other small businesses that are participating in the joint venture: \_\_\_\_\_.] Each WOSB concern eligible under the WOSB Program participating in the joint venture shall submit a separate signed copy of the WOSB representation.

(7) Economically disadvantaged women-owned small business (EDWOSB) concern. [Complete only if the offeror represented itself as a WOSB concern eligible under the WOSB Program in (c)(6) of this provision.] The offeror represents that-

(i) It  is,  is not an EDWOSB concern, has provided all the required documents to the WOSB Repository, and no change in circumstances or adverse decisions have been issued that affects its eligibility; and

(ii) It  is,  is not a joint venture that complies with the requirements of 13 CFR part 127, and the representation in paragraph (c)(7)(i) of this provision is accurate for each EDWOSB concern participating in the joint venture. [The offeror shall enter the name or names of the EDWOSB concern and other small businesses that are participating in the joint venture: \_\_\_\_\_.] Each EDWOSB concern participating in the joint venture shall submit a separate signed copy of the EDWOSB representation.

Note: Complete paragraphs (c)(8) and (c)(9) only if this solicitation is expected to exceed the simplified acquisition threshold.

(8) Women-owned business concern (other than small business concern). [Complete only if the offeror is a women-owned business concern and did not represent itself as a small business concern in paragraph (c)(1) of this provision.] The offeror represents that it  is a women-owned business concern.

(9) Tie bid priority for labor surplus area concerns. If this is an invitation for bid, small business offerors may identify the labor surplus areas in which costs to be incurred on account of manufacturing or production (by offeror or first-tier subcontractors) amount to more than 50 percent of the contract price: \_\_\_\_\_

(10) HUBZone small business concern. [Complete only if the offeror represented itself as a small business concern in paragraph (c)(1) of this provision.] The offeror represents, as part of its offer, that—

(i) It  is,  is not a HUBZone small business concern listed, on the date of this representation, on the List of Qualified HUBZone Small Business Concerns maintained by the Small Business Administration, and no material changes in ownership and control, principal office, or HUBZone employee percentage have occurred since it was certified in accordance with 13 CFR Part 126; and

(ii) It  is,  is not a HUBZone joint venture that complies with the requirements of 13 CFR Part 126, and the representation in paragraph (c)(10)(i) of this provision is accurate for each HUBZone small business concern participating in the HUBZone joint venture. [The offeror shall enter the names of each of the HUBZone small business concerns participating in the HUBZone joint venture: \_\_\_\_\_.] Each HUBZone small business concern participating in the HUBZone joint venture shall submit a separate signed copy of the HUBZone representation.

(d) Representations required to implement provisions of Executive Order 11246-

(1) Previous contracts and compliance. The offeror represents that-

(i) It  has,  has not participated in a previous contract or subcontract subject to the Equal Opportunity clause of this solicitation; and

(ii) It  has,  has not filed all required compliance reports.

(2) Affirmative Action Compliance. The offeror represents that-

(i) It  has developed and has on file,  has not developed and does not have on file, at each establishment, affirmative action programs required by rules and regulations of the Secretary of Labor (41 CFR parts 60-1 and 60-2), or

(ii) It  has not previously had contracts subject to the written affirmative action programs requirement of the rules and regulations of the Secretary of Labor.

(e) Certification Regarding Payments to Influence Federal Transactions (31 <http://uscode.house.gov/> U.S.C. 1352). (Applies only if the contract is expected to exceed \$150,000.) By submission of its offer, the offeror certifies to the best of its knowledge and belief that no Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress or an employee of a Member of Congress on his or her behalf in connection with the award of any resultant contract. If any registrants under the Lobbying Disclosure Act of 1995 have made a lobbying contact on behalf of the offeror with respect to this

contract, the offeror shall complete and submit, with its offer, OMB Standard Form LLL, Disclosure of Lobbying Activities, to provide the name of the registrants. The offeror need not report regularly employed officers or employees of the offeror to whom payments of reasonable compensation were made.

(f) Buy American Certificate. (Applies only if the clause at Federal Acquisition Regulation (FAR) 52.225-1, Buy American-Supplies, is included in this solicitation.)

(1) The offeror certifies that each end product, except those listed in paragraph (f)(2) of this provision, is a domestic end product and that for other than COTS items, the offeror has considered components of unknown origin to have been mined, produced, or manufactured outside the United States. The offeror shall list as foreign end products those end products manufactured in the United States that do not qualify as domestic end products, i.e., an end product that is not a COTS item and does not meet the component test in paragraph (2) of the definition of “domestic end product.” The terms “commercially available off-the-shelf (COTS) item” “component,” “domestic end product,” “end product,” “foreign end product,” and “United States” are defined in the clause of this solicitation entitled “Buy American-Supplies.”

(2) Foreign End Products:

Line Item No.	Country of Origin

[List as necessary]

(3) The Government will evaluate offers in accordance with the policies and procedures of FAR part 25.

(g)

(1) Buy American-Free Trade Agreements-Israeli Trade Act Certificate. (Applies only if the clause at FAR 52.225-3, Buy American-Free Trade Agreements-Israeli Trade Act, is included in this solicitation.)

(i) The offeror certifies that each end product, except those listed in paragraph (g)(1)(ii) or (g)(1)(iii) of this provision, is a domestic end product and that for other than COTS items, the offeror has considered components of unknown origin to have been mined, produced, or manufactured outside the United States. The terms “Bahrainian, Moroccan, Omani, Panamanian, or Peruvian end product,” “commercially available off-the-shelf (COTS) item,” “component,” “domestic end product,” “end product,” “foreign end product,” “Free Trade Agreement country,” “Free Trade Agreement country end product,” “Israeli end product,” and “United States” are defined in the clause of this solicitation entitled “Buy American-Free Trade Agreements–Israeli Trade Act.”

(ii) The offeror certifies that the following supplies are Free Trade Agreement country end products (other than Bahrainian, Moroccan, Omani, Panamanian, or Peruvian end products) or Israeli end products as defined in the clause of this solicitation entitled “Buy American-Free Trade Agreements-Israeli Trade Act”:

Free Trade Agreement Country End Products (Other than Bahrainian, Moroccan, Omani, Panamanian, or Peruvian End Products) or Israeli End Products:

Line Item No.	Country of Origin

[List as necessary]

(iii) The offeror shall list those supplies that are foreign end products (other than those listed in paragraph (g)(1)(ii) of this provision) as defined in the clause of this solicitation entitled “Buy American-Free Trade Agreements-Israeli Trade Act.” The offeror shall list as other foreign end products those end products manufactured in the United States that do not qualify as domestic end products, i.e., an end product that is not a COTS item and does not meet the component test in paragraph (2) of the definition of “domestic end product.”

Other Foreign End Products:

Line Item No.	Country of Origin

[List as necessary]

(iv) The Government will evaluate offers in accordance with the policies and procedures of FAR part 25.

(2) Buy American-Free Trade Agreements-Israeli Trade Act Certificate, Alternate I. If Alternate I to the clause at FAR 52.225-3 is included in this solicitation, substitute the following paragraph (g)(1)(ii) for paragraph (g)(1)(ii) of the basic provision:

(g)(1)(ii) The offeror certifies that the following supplies are Canadian end products as defined in the clause of this solicitation entitled “Buy American-Free Trade Agreements-Israeli Trade Act”:

Canadian End Products:

Line Item No.

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[List as necessary]

(3) Buy American-Free Trade Agreements-Israeli Trade Act Certificate, Alternate II. If Alternate II to the clause at FAR 52.225-3 is included in this solicitation, substitute the following paragraph (g)(1)(ii) for paragraph (g)(1)(ii) of the basic provision:

(g)(1)(ii) The offeror certifies that the following supplies are Canadian end products or Israeli end products as defined in the clause of this solicitation entitled “Buy American-Free Trade Agreements-Israeli Trade Act”:

Canadian or Israeli End Products:

Line Item No.	Country of Origin
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[List as necessary]

(4) Buy American-Free Trade Agreements-Israeli Trade Act Certificate, Alternate III. If Alternate III to the clause at 52.225-3 is included in this solicitation, substitute the following paragraph (g)(1)(ii) for paragraph (g)(1)(ii) of the basic provision:

(g)(1)(ii) The offeror certifies that the following supplies are Free Trade Agreement country end products (other than Bahrainian, Korean, Moroccan, Omani, Panamanian, or Peruvian end products) or Israeli end products as defined in the clause of this solicitation entitled “Buy American-Free Trade Agreements-Israeli Trade Act”:

Free Trade Agreement Country End Products (Other than Bahrainian, Korean, Moroccan, Omani, Panamanian, or Peruvian End Products) or Israeli End Products:

Line Item No.	Country of Origin
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Line Item No.      Country of Origin

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[List as necessary]

(5) Trade Agreements Certificate. (Applies only if the clause at FAR 52.225-5, Trade Agreements, is included in this solicitation.)

(i) The offeror certifies that each end product, except those listed in paragraph (g)(5)(ii) of this provision, is a U.S.-made or designated country end product, as defined in the clause of this solicitation entitled “Trade Agreements.”

(ii) The offeror shall list as other end products those end products that are not U.S.-made or designated country end products.

Other End Products:

Line Item No.      Country of Origin

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[List as necessary]

(iii) The Government will evaluate offers in accordance with the policies and procedures of FAR part 25. For line items covered by the WTO GPA, the Government will evaluate offers of U.S.-made or designated country end products without regard to the restrictions of the Buy American statute. The Government will consider for award only offers of U.S.-made or designated country end products unless the Contracting Officer determines that there are no offers for such products or that the offers for such products are insufficient to fulfill the requirements of the solicitation.

(h) Certification Regarding Responsibility Matters (Executive Order 12689). (Applies only if the contract value is expected to exceed the simplified acquisition threshold.) The offeror certifies, to the best of its knowledge and belief, that the offeror and/or any of its principals—

(1)  Are,  are not presently debarred, suspended, proposed for debarment, or declared ineligible for the award of contracts by any Federal agency;

(2)  Have,  have not, within a three-year period preceding this offer, been convicted of or had a civil judgment rendered against them for: commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a Federal, state or local government contract or subcontract; violation of Federal or state antitrust statutes relating to the submission of offers; or commission of embezzlement, theft, forgery, bribery, falsification or

destruction of records, making false statements, tax evasion, violating Federal criminal tax laws, or receiving stolen property;

(3)  Are,  are not presently indicted for, or otherwise criminally or civilly charged by a Government entity with, commission of any of these offenses enumerated in paragraph (h)(2) of this clause; and

(4)  Have,  have not, within a three-year period preceding this offer, been notified of any delinquent Federal taxes in an amount that exceeds \$3,500 for which the liability remains unsatisfied.

(i) Taxes are considered delinquent if both of the following criteria apply:

(A) The tax liability is finally determined. The liability is finally determined if it has been assessed. A liability is not finally determined if there is a pending administrative or judicial challenge. In the case of a judicial challenge to the liability, the liability is not finally determined until all judicial appeal rights have been exhausted.

(B) The taxpayer is delinquent in making payment. A taxpayer is delinquent if the taxpayer has failed to pay the tax liability when full payment was due and required. A taxpayer is not delinquent in cases where enforced collection action is precluded.

(ii) Examples.

(A) The taxpayer has received a statutory notice of deficiency, under I.R.C. §6212, which entitles the taxpayer to seek Tax Court review of a proposed tax deficiency. This is not a delinquent tax because it is not a final tax liability. Should the taxpayer seek Tax Court review, this will not be a final tax liability until the taxpayer has exercised all judicial appeal rights.

(B) The IRS has filed a notice of Federal tax lien with respect to an assessed tax liability, and the taxpayer has been issued a notice under I.R.C. §6320 entitling the taxpayer to request a hearing with the IRS Office of Appeals contesting the lien filing, and to further appeal to the Tax Court if the IRS determines to sustain the lien filing. In the course of the hearing, the taxpayer is entitled to contest the underlying tax liability because the taxpayer has had no prior opportunity to contest the liability. This is not a delinquent tax because it is not a final tax liability. Should the taxpayer seek tax court review, this will not be a final tax liability until the taxpayer has exercised all judicial appeal rights.

(C) The taxpayer has entered into an installment agreement pursuant to I.R.C. §6159. The taxpayer is making timely payments and is in full compliance with the agreement terms. The taxpayer is not delinquent because the taxpayer is not currently required to make full payment.

(D) The taxpayer has filed for bankruptcy protection. The taxpayer is not delinquent because enforced collection action is stayed under 11 U.S.C. §362 (the Bankruptcy Code).

(i) Certification Regarding Knowledge of Child Labor for Listed End Products (Executive Order 13126). [The Contracting Officer must list in paragraph (i)(1) any end products being



acquired under this solicitation that are included in the List of Products Requiring Contractor Certification as to Forced or Indentured Child Labor, unless excluded at 22.1503(b).]

(1) Listed end products.

Listed End Product	Listed Countries of Origin

(2) Certification. [If the Contracting Officer has identified end products and countries of origin in paragraph (i)(1) of this provision, then the offeror must certify to either (i)(2)(i) or (i)(2)(ii) by checking the appropriate block.]

(i) The offeror will not supply any end product listed in paragraph (i)(1) of this provision that was mined, produced, or manufactured in the corresponding country as listed for that product.

(ii) The offeror may supply an end product listed in paragraph (i)(1) of this provision that was mined, produced, or manufactured in the corresponding country as listed for that product. The offeror certifies that it has made a good faith effort to determine whether forced or indentured child labor was used to mine, produce, or manufacture any such end product furnished under this contract. On the basis of those efforts, the offeror certifies that it is not aware of any such use of child labor.

(j) Place of manufacture. (Does not apply unless the solicitation is predominantly for the acquisition of manufactured end products.) For statistical purposes only, the offeror shall indicate whether the place of manufacture of the end products it expects to provide in response to this solicitation is predominantly-

(1)  In the United States (Check this box if the total anticipated price of offered end products manufactured in the United States exceeds the total anticipated price of offered end products manufactured outside the United States); or

(2)  Outside the United States.

(k) Certificates regarding exemptions from the application of the Service Contract Labor Standards (Certification by the offeror as to its compliance with respect to the contract also constitutes its certification as to compliance by its subcontractor if it subcontracts out the exempt services.) [The contracting officer is to check a box to indicate if paragraph (k)(1) or (k)(2) applies.]

(1) Maintenance, calibration, or repair of certain equipment as described in FAR 22.1003-4(c)(1). The offeror  does  does not certify that-

(i) The items of equipment to be serviced under this contract are used regularly for other than Governmental purposes and are sold or traded by the offeror (or subcontractor in the case of

an exempt subcontract) in substantial quantities to the general public in the course of normal business operations;

(ii) The services will be furnished at prices which are, or are based on, established catalog or market prices (see FAR 22.1003-4(c)(2)(ii)) for the maintenance, calibration, or repair of such equipment; and

(iii) The compensation (wage and fringe benefits) plan for all service employees performing work under the contract will be the same as that used for these employees and equivalent employees servicing the same equipment of commercial customers.

(2) Certain services as described in FAR 22.1003-4(d)(1). The offeror  does  does not certify that-

(i) The services under the contract are offered and sold regularly to non-Governmental customers, and are provided by the offeror (or subcontractor in the case of an exempt subcontract) to the general public in substantial quantities in the course of normal business operations;

(ii) The contract services will be furnished at prices that are, or are based on, established catalog or market prices (see FAR 22.1003-4(d)(2)(iii));

(iii) Each service employee who will perform the services under the contract will spend only a small portion of his or her time (a monthly average of less than 20 percent of the available hours on an annualized basis, or less than 20 percent of available hours during the contract period if the contract period is less than a month) servicing the Government contract; and

(iv) The compensation (wage and fringe benefits) plan for all service employees performing work under the contract is the same as that used for these employees and equivalent employees servicing commercial customers.

(3) If paragraph (k)(1) or (k)(2) of this clause applies-

(i) If the offeror does not certify to the conditions in paragraph (k)(1) or (k)(2) and the Contracting Officer did not attach a Service Contract Labor Standards wage determination to the solicitation, the offeror shall notify the Contracting Officer as soon as possible; and

(ii) The Contracting Officer may not make an award to the offeror if the offeror fails to execute the certification in paragraph (k)(1) or (k)(2) of this clause or to contact the Contracting Officer as required in paragraph (k)(3)(i) of this clause.

(l) Taxpayer Identification Number (TIN) ( 26 U.S.C. 6109, 31 U.S.C. 7701). (Not applicable if the offeror is required to provide this information to the SAM to be eligible for award.)

(1) All offerors must submit the information required in paragraphs (l)(3) through (l)(5) of this provision to comply with debt collection requirements of 31 U.S.C. 7701(c) and 3325(d), reporting requirements of 26 U.S.C. 6041, 6041A, and 6050M, and implementing regulations issued by the Internal Revenue Service (IRS).



(2) The TIN may be used by the Government to collect and report on any delinquent amounts arising out of the offeror’s relationship with the Government (31 U.S.C. 7701(c)(3)). If the resulting contract is subject to the payment reporting requirements described in FAR 4.904, the TIN provided hereunder may be matched with IRS records to verify the accuracy of the offeror’s TIN.

(3) Taxpayer Identification Number (TIN).

TIN: \_\_\_\_\_.

TIN has been applied for.

TIN is not required because:

Offeror is a nonresident alien, foreign corporation, or foreign partnership that does not have income effectively connected with the conduct of a trade or business in the United States and does not have an office or place of business or a fiscal paying agent in the United States;

Offeror is an agency or instrumentality of a foreign government;

Offeror is an agency or instrumentality of the Federal Government.

(4) Type of organization.

Sole proprietorship;

Partnership;

Corporate entity (not tax-exempt);

Corporate entity (tax-exempt);

Government entity (Federal, State, or local);

Foreign government;

International organization per 26 CFR1.6049-4;

Other \_\_\_\_\_.

(5) Common parent.

Offeror is not owned or controlled by a common parent;

Name and TIN of common parent:

Name \_\_\_\_\_.

TIN \_\_\_\_\_.

(m) Restricted business operations in Sudan. By submission of its offer, the offeror certifies that the offeror does not conduct any restricted business operations in Sudan.

(n) Prohibition on Contracting with Inverted Domestic Corporations.

(1) Government agencies are not permitted to use appropriated (or otherwise made available) funds for contracts with either an inverted domestic corporation, or a subsidiary of an inverted domestic corporation, unless the exception at 9.108-2(b) applies or the requirement is waived in accordance with the procedures at 9.108-4.

(2) Representation. The Offeror represents that—

(i) It  is,  is not an inverted domestic corporation; and

(ii) It  is,  is not a subsidiary of an inverted domestic corporation.

(o) Prohibition on contracting with entities engaging in certain activities or transactions relating to Iran.

(1) The offeror shall e-mail questions concerning sensitive technology to the Department of State at [CISADA106@state.gov](mailto:CISADA106@state.gov).

(2) Representation and Certifications. Unless a waiver is granted or an exception applies as provided in paragraph (o)(3) of this provision, by submission of its offer, the offeror-

(i) Represents, to the best of its knowledge and belief, that the offeror does not export any sensitive technology to the government of Iran or any entities or individuals owned or controlled by, or acting on behalf or at the direction of, the government of Iran;

(ii) Certifies that the offeror, or any person owned or controlled by the offeror, does not engage in any activities for which sanctions may be imposed under section 5 of the Iran Sanctions Act; and

(iii) Certifies that the offeror, and any person owned or controlled by the offeror, does not knowingly engage in any transaction that exceeds the threshold at FAR 25.703-2(a)(2) with Iran's Revolutionary Guard Corps or any of its officials, agents, or affiliates, the property and interests in property of which are blocked pursuant to the International Emergency Economic Powers Act (et seq.) (see OFAC's Specially Designated Nationals and Blocked Persons List at <https://www.treasury.gov/resource-center/sanctions/SDN-List/Pages/default.aspx>).

(3) The representation and certification requirements of paragraph (o)(2) of this provision do not apply if-

(i) This solicitation includes a trade agreements certification (e.g., 52.212-3(g) or a comparable agency provision); and

(ii) The offeror has certified that all the offered products to be supplied are designated country end products.

(p) Ownership or Control of Offeror. (Applies in all solicitations when there is a requirement to be registered in SAM or a requirement to have a unique entity identifier in the solicitation).

(1) The Offeror represents that it  has or  does not have an immediate owner. If the Offeror has more than one immediate owner (such as a joint venture), then the Offeror shall respond to

paragraph (2) and if applicable, paragraph (3) of this provision for each participant in the joint venture.

(2) If the Offeror indicates “has” in paragraph (p)(1) of this provision, enter the following information:

Immediate owner CAGE code: \_\_\_\_\_.

Immediate owner legal name: \_\_\_\_\_.

(Do not use a “doing business as” name)

Is the immediate owner owned or controlled by another entity:  Yes or  No.

(3) If the Offeror indicates “yes” in paragraph (p)(2) of this provision, indicating that the immediate owner is owned or controlled by another entity, then enter the following information:

Highest-level owner CAGE code: \_\_\_\_\_.

Highest-level owner legal name: \_\_\_\_\_.

(Do not use a “doing business as” name)

(q) Representation by Corporations Regarding Delinquent Tax Liability or a Felony Conviction under any Federal Law.

(1) As required by sections 744 and 745 of Division E of the Consolidated and Further Continuing Appropriations Act, 2015 (Pub. L. 113-235), and similar provisions, if contained in subsequent appropriations acts, The Government will not enter into a contract with any corporation that—

(i) Has any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability, where the awarding agency is aware of the unpaid tax liability, unless an agency has considered suspension or debarment of the corporation and made a determination that suspension or debarment is not necessary to protect the interests of the Government; or

(ii) Was convicted of a felony criminal violation under any Federal law within the preceding 24 months, where the awarding agency is aware of the conviction, unless an agency has considered suspension or debarment of the corporation and made a determination that this action is not necessary to protect the interests of the Government.

(2) The Offeror represents that—

(i) It is  is not  a corporation that has any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability; and

(ii) It is  is not  a corporation that was convicted of a felony criminal violation under a Federal law within the preceding 24 months.

(r) Predecessor of Offeror. (Applies in all solicitations that include the provision at 52.204-16, Commercial and Government Entity Code Reporting.)

(1) The Offeror represents that it  is or  is not a successor to a predecessor that held a Federal contract or grant within the last three years.

(2) If the Offeror has indicated “is” in paragraph (r)(1) of this provision, enter the following information for all predecessors that held a Federal contract or grant within the last three years (if more than one predecessor, list in reverse chronological order):

Predecessor CAGE code: (or mark “Unknown”).

Predecessor legal name: \_\_\_\_\_.

(Do not use a “doing business as” name).

(s) [Reserved].

(t) Public Disclosure of Greenhouse Gas Emissions and Reduction Goals. Applies in all solicitations that require offerors to register in SAM (12.301(d)(1)).

(1) This representation shall be completed if the Offeror received \$7.5 million or more in contract awards in the prior Federal fiscal year. The representation is optional if the Offeror received less than \$7.5 million in Federal contract awards in the prior Federal fiscal year.

(2) Representation. [Offeror to check applicable block(s) in paragraph (t)(2)(i) and (ii)].

(i) The Offeror (itself or through its immediate owner or highest-level owner)  does,  does not publicly disclose greenhouse gas emissions, i.e., makes available on a publicly accessible website the results of a greenhouse gas inventory, performed in accordance with an accounting standard with publicly available and consistently applied criteria, such as the Greenhouse Gas Protocol Corporate Standard.

(ii) The Offeror (itself or through its immediate owner or highest-level owner)  does,  does not publicly disclose a quantitative greenhouse gas emissions reduction goal, i.e., make available on a publicly accessible website a target to reduce absolute emissions or emissions intensity by a specific quantity or percentage.

(iii) A publicly accessible website includes the Offeror's own website or a recognized, third-party greenhouse gas emissions reporting program.

(3) If the Offeror checked “does” in paragraphs (t)(2)(i) or (t)(2)(ii) of this provision, respectively, the Offeror shall provide the publicly accessible website(s) where greenhouse gas emissions and/or reduction goals are reported: \_\_\_\_\_.

(u)

(1) In accordance with section 743 of Division E, Title VII, of the Consolidated and Further Continuing Appropriations Act, 2015 (Pub. L. 113-235) and its successor provisions in subsequent appropriations acts (and as extended in continuing resolutions), Government agencies are not permitted to use appropriated (or otherwise made available) funds for contracts with an entity that requires employees or subcontractors of such entity seeking to report waste, fraud, or abuse to sign internal confidentiality agreements or statements prohibiting or otherwise restricting such employees or subcontractors from lawfully reporting such waste, fraud, or abuse to a designated investigative or law enforcement representative of a Federal department or agency authorized to receive such information.

(2) The prohibition in paragraph (u)(1) of this provision does not contravene requirements applicable to Standard Form 312 (Classified Information Nondisclosure Agreement), Form 4414 (Sensitive Compartmented Information Nondisclosure Agreement), or any other form issued by a Federal department or agency governing the nondisclosure of classified information.

(3) Representation. By submission of its offer, the Offeror represents that it will not require its employees or subcontractors to sign or comply with internal confidentiality agreements or statements prohibiting or otherwise restricting such employees or subcontractors from lawfully reporting waste, fraud, or abuse related to the performance of a Government contract to a designated investigative or law enforcement representative of a Federal department or agency authorized to receive such information (e.g., agency Office of the Inspector General).

(v) Covered Telecommunications Equipment or Services-Representation. Section 889(a)(1)(A) of Public Law 115-232.

(1) The Offeror shall review the list of excluded parties in the System for Award Management (SAM) (<https://www.sam.gov>) for entities excluded from receiving federal awards for “covered telecommunications equipment or services”.

(2) The Offeror represents that it  does,  does not provide covered telecommunications equipment or services as a part of its offered products or services to the Government in the performance of any contract, subcontract, or other contractual instrument.

(End of Provision)

#### **4.6.5 FAR 52.222-25 -- AFFIRMATIVE ACTION COMPLIANCE (APR 1984)**

The offeror represents that-

(a) It  has developed and has on file,  has not developed and does not have on file, at each establishment, affirmative action programs required by the rules and regulations of the Secretary of Labor (41 CFR 60-1 and 60-2); or

(b) It  has not previously had contracts subject to the written affirmative action programs requirement of the rules and regulations of the Secretary of Labor.

(End of provision)