

Immigration and Naturalization Service

**Immigration Services Division
Service Center Operations**

Statement of Work for

Service Center Operations Support Services

June 26, 2000



Request for Quotations Number HQ-0-Q-0044

**Immigration and Naturalization Service
425 I Street, NW
Washington, DC 20536**

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SERVICE CENTER OPERATIONS SUPPORT SERVICES DRAFT STATEMENT OF WORK

1. GENERAL

The intent of calls issued under this Blanket Purchase Agreement (BPA) is to obtain comprehensive, cost effective on-site data entry and other records processing and related support services for the Immigration and Naturalization Service (INS) in its four Service Centers, and in any additional locations INS may designate in writing.

2. BACKGROUND

The mission of INS is to administer and enforce the Immigration and Nationality Act (INA) of 1952, Title 8 of the Code of Federal Regulations (CFR), and other more recent legislation including the Marriage Fraud Statutes, the Immigration Act of 1990, Illegal Immigrant Reform and Immigrant Responsibility Act of 1996 (IIRAIRA), and other special INS mandated programs such as Nicaraguan Adjustment and Central American Relief Act of 1997 (NACARA), and Haitian Refugee Immigration Fairness Act of 1998 (HRIFA).

In the past, aliens eligible to apply for benefits under the Immigration and Nationality Laws would submit their applications and petitions to one of 86 INS District Offices and Suboffices throughout the United States. To introduce greater efficiencies and improved productivity, INS established four Service Centers and initiated a Direct Mail Program in 1986. Under the program aliens seeking benefits under the INA are requested to mail their applications and petitions directly to a Service Center rather than to a District or Suboffice. The four INS Service Centers currently supporting the Direct Mail Program are:

- California Service Center (CSC), Laguna Niguel, California (CA). This Service Center is currently located in a single building.
- Nebraska Service Center (NSC), Lincoln, Nebraska (NE). This Service Center is currently located in two buildings approximately 1 mile apart.
- Texas Service Center (TSC), Dallas, Texas (TX). This Service Center is currently located in two buildings approximately 18 miles apart.
- Vermont Service Center (VSC), St. Albans, Vermont (VT). This Service Center is currently located in four buildings all within approximately ½ mile of each other.

The Direct Mail Program is currently in its third phase of implementation. Phases I and II involved the mailing of a limited number of applications and petitions to the Service Centers for processing. In the final phase, Phase III, all applications and petitions will be mailed directly to

the respective Service Centers. The Service Centers use various existing INS automated information systems (see Section 9.5). Section 9.3 lists the documentation for these automated systems. See Attachment 5, Outline of Support Services for the INS Direct Mail Program, for a summary of the current support services. Actual workload and labor hour statistics for support services under the current contract are shown in Attachment 9.

3. SCOPE

The scope of work performed under calls issued under this BPA includes record management and processing services. The services shall be performed at locations specified by the INS in calls issued under the BPA. These support services shall consist of, but are not limited to, the following task areas:

1. Mailroom operations
2. File assembly
3. Data collection, capture, and scanning
4. Document preparation
5. Fee collection and processing
6. Fileroom operations
7. Word processing
8. Quality control, including continual process evaluation and improvement
9. Project management
10. Business Process Reengineering, including requirements analysis, system design, development, and implementation
11. Other records management functions, processing, and services as designated in any media or storage modality (electronic, paper, optical storage, etc.) as specified

INS currently processes approximately 5 million applications and petitions each year. INS estimates that application/petition receipt levels could increase or decrease from 0.2 million up to 1 million per year over the next five years Service wide based on actual experience over the past few years. Approximately one-half of current workload receipts are located in the Service Centers. Current plans are that the remaining half of the workload receipts that are presently sent to district offices, sub-offices and other INS facilities will transition to the Service Centers at some time during the period of performance for this BPA.

It is important to note that anticipated workload estimates in the Service Centers may decrease during the period of performance for this BPA because of changes brought about by INS reorganizations, implementation of new laws and policies, changes in United States Government administrations during the period of performance, or changing global events that may lead to a decrease in the demand for our services.

4. OBJECTIVES

The INS Immigration Services Division (ISD) has a need to acquire mailroom operations, filerom operations, data entry, and related support services for its Direct Mail Program. The INS is looking for new ideas. Offerors are encouraged to propose alternative approaches to satisfy the requirements.

The objective of this BPA is to provide cost effective, timely, accurate, and comprehensive on-site data entry and other records management services at INS Service Centers or other specified locations in a manner consistent with effective adjudication, financial responsibility, and customer service. The INS is the customer of services under this BPA. Other than law enforcement activities, the applications processed in this program are the most highly visible products and aspects of INS operations.

Subordinate objectives are stated in each task area.

5. REFERENCES

Acronyms specific to this statement of work, with their meanings, are contained in Attachment 1, Acronyms and Definitions, Table A1-1, Acronyms. Terms specific to this statement of work, and their meanings, are contained in Attachment 1, Acronyms and Definitions in Table A1-2, Terms and Definitions.

See also Section 9.5 for Government Furnished Information.

Attachment 7 lists all the INS form types that are currently included within the INS Direct Mail Program. INS maintains a web site with electronic copies of all the INS forms currently under the Direct Mail Program in Portable Document Format (PDF) and instructions for filing them. The web site provides filing instructions and lists applicable fees. The address for the INS Web site is:

<http://www.ins.usdoj.gov/graphics/formsfee/forms/index.htm>

6. REQUIREMENTS

6.1 General

The services shall be performed at each of the INS Service Centers listed in Table 6-1, and may be performed at other locations as determined by INS.

Service Center	Address	Additional Locations
California Service Center (CSC)	24000 Avila Road Second Floor Laguna Niguel, CA 92607	First Floor
Nebraska Service Center (NSC)	850 S Street Lincoln, NE 68501-2521	100 N. Centennial Mall Lincoln, NE 68508
Texas Service Center (TSC)	7701 N. Stemmons Freeway Dallas, TX 75247	4141 N. St. Augustine Dallas, TX 75227
Vermont Service Center (VSC)	75 Lower Weldon Street St. Albans, VT 05479	50 S. Main Street St. Albans, VT 05478 1A Lemnah Drive St. Albans, VT 05478 4 Lemnah Drive St. Albans, VT 05478

Table 6-1 INS SERVICE CENTERS

The Contractor shall provide all labor, supervision, and training necessary for the performance of the work specified in calls issued under this BPA. The Contractor shall also provide transportation services (e.g., courier services) for mail between the Post Office and the four INS Service Centers listed in Table 2-1, and for mail and files internally within the Service Centers located in multiple buildings.

6.2 Performance Standards and Award Fee

INS anticipates using award fees to encourage the Contractor to monitor and continuously improve performance. This includes rewarding the Contractor for recommending process changes that result in lowering Government operating costs. INS has specified performance standards in each task area related to processes that INS believes are critical to successful performance of the Direct Mail Program. INS reserves the right to add, delete, and revise performance requirements for calls after issuing the initial call. These requirements and their associated performance standards define the work to be performed. INS established these performance requirements and associated standards after careful analysis of current operations based on historical performance against similar established standards.

INS intends to monitor performance closely, and requires the Contractor to do the same. INS will measure performance against these standards for each Government fiscal quarter, and intends to determine the amount of the award fee within 45 calendar days after the end of each quarter.

INS will maintain a separate award fee pool with respect to each Service Center and will maintain performance measures separately for each Service Center. The maximum award fee that may be paid for each quarter will be four percent (4%) of the total amount of approved invoice(s) for that quarter, by Service Center. The maximum award fee paid for a given task area is indicated as a percentage in Attachment 3, Performance Requirements. INS requires that more than fifty percent (50%) of the award fee be paid as bonuses to Contractor/Subcontractor employees at the Service Center for which the award fee is paid. Management personnel shall be excluded from this payment. Management personnel are considered to be the level above those managers involved in the direct supervision of employees performing the work. The Contractor/Subcontractor shall pay the bonuses within 10 business days following receipt of payment from the Government. INS requires documentation that the bonuses have been paid. The Contractor/Subcontractor may determine the bonus amount to pay to individual employees in any way that the Contractor/Subcontractor believes will encourage continuous process improvement. The remaining award fee may be retained by the company and/or distributed to managers and employees without restriction.

If the Contractor fails to achieve at least the Acceptable Quality Level (AQL) in one or more of the performance requirements, INS will issue a Contract Discrepancy Report (see Attachment 8) and require the Contractor to correct the deficiencies at no additional cost to the Government. Regardless of the status of other performance standards assessed within a given task area, any task area with 4 or more Contract Discrepancy Reports (see Attachment 8) per Service Center issued in a given quarter, shall not receive any award fee.

INS encourages the Contractor to submit alternate and/or additional requirements and standards based on the Contractor's experience and expertise. Performance Standards are defined in Attachment 3.

6.3 Performance Requirements

The general performance requirements for each task as stated in Section 3 are described below. The Government will control document content and processing consistent with law, regulation, and policy.

6.3.1 Task 1 – Mailroom Operations

The Contractor shall route, process, and account for all internally and externally generated mail in a manner which optimizes proper file management, expedites accurate data entry, maintains financial accountability, and maximizes throughput with an additional goal of using automation to enhance accountability and speed processing times. INS defines proper file management in terms of its result, i.e., that each file can be located and retrieved quickly and efficiently upon

demand.

Mail received at the Service Center includes all forms of documents, files, correspondence, and parcels other than equipment and capital goods. Mail may include negotiable instruments, cash, secured files, documents, registered mail, and special handling mail for which the Contractor shall be responsible and liable while in the possession of Contractor employees. All mail operations functions shall be performed in accordance with INS, Government, US Postal Service (USPS), and applicable commercial courier procedures.

The Contractor shall receive, control and distribute incoming mail, including envelopes and packages from the USPS and various commercial courier services. The Contractor shall collect, prepare, and control outgoing mail, including delivering USPS mail to the Post Office and assembling bulk mail for pickup by the presort bulk mail Contractor.

Successful performance of all mailroom operations is defined in Attachment 3, Performance Requirements, Section A3.2.1, Mailroom Operations.

6.3.2 Task 2 – File Assembly

The Contractor shall assemble, maintain, store, and retrieve files in a manner that provides accurate, complete and expedient service for the INS adjudicators (customers) and the applicants who are *their* primary customers.

The Contractor shall assemble incoming petitions, applications, and supporting documentation into file folders and review folders for completeness. The Contractor shall make corrections to applications/petitions of a minor clerical nature to expedite processing (e.g., misspelled state abbreviation), when possible or return them to the INS or applicant, as appropriate, based on established criteria in the Standard Operating Procedures (SOP) for each form type. The Contractor shall annotate worksheets with appropriate action for various application/petition cases, and perform other file assembly duties consistent with the above objective.

Additional requirements include maintaining logs of manual rejects and supporting INS testing of new or enhanced technology and equipment prototypes in the Direct Mail Program.

Attachment 7, INS Direct Mail Program Forms, lists and describes the current INS forms and fees under the Direct Mail Program. Forms are subject to change as promulgated by laws and regulations.

Successful performance of all file assembly processes is defined in Attachment 3, Performance Requirements, Section A3.2.2, File Assembly.

6.3.3 Task 3 – Data Collection, Capture, and Scanning

The Contractor shall perform data collection, capture, and scanning in a manner that provides acceptable accuracy, throughput, customer service, and accessibility consistent with security.

The Contractor shall provide timely, accurate, and complete data entry processing. This entails data update, error correction, data transactions, scanning (barcodes, fingerprints, photographs, signatures, etc.) and data inquiries. Work performed shall conform to applicable Government regulations, policies and procedures (see Section 9.5).

The Contractor shall review applications/petitions and documents for completeness and accuracy, annotate appropriate completed actions on processing worksheets, and identify problem/deficient applications/petitions or documents. When possible, the Contractor shall make corrections (to forms, petitions, etc.) of minor clerical errors, (e.g., misspelled state abbreviations) or return the document to the INS or applicant, based on established criteria in the Standard Operating Procedures (SOP) for each form type.

Additional requirements include maintaining logs of manual rejects and supporting INS testing of new or enhanced technology and equipment prototypes in the Direct Mail Program.

Successful performance of data collection, capture, and scanning operations is defined in Attachment 3, Performance Requirements, Section A3.2.3, Data Collection, Capture, and Scanning.

6.3.4 Task 4 – Document Preparation

The Contractor shall process, produce, and maintain accountability for documents and notices as the INS may designate in a manner consistent with effective adjudication and customer service.

The Contractor shall perform necessary tasks to support production of various types of documents and notices, currently including:

- Employment Authorization Documentation (EAD)
- Reentry Permits
- Decision Notices
- Permanent Resident Cards ("Green Cards")

The Contractor shall safeguard documents in an INS-designated secure area. The Contractor shall maintain accountability and safeguard all documents in accordance with INS procedures, and perform sensitive document destruction in accordance with approved federal records control schedules. The Contractor shall maintain logs of documents requiring logs and perform other duties as specified in calls.

As technology changes, document processing will also change. The Contractor shall control the work processes and is responsible for ensuring that the required end product or result specified in the performance requirements are achieved. The Government will control document content and processing consistent with law, regulation, and policy.

Successful performance of all document preparation operations is defined in Attachment 3, Performance Requirements, Section A3.2.4, Document Preparation.

6.3.5 Task 5 – Fee Collection and Processing

The Contractor shall collect and process fees in accordance with the Treasury Finance Manual, INS directives, and sound financial practice. This will ensure a traceable, practical, unbroken chain of custody for cash or financial instruments .

The Contractor shall: monitor, collect, verify, control, safeguard, and maintain accountability of all source documents (applications, petitions, and other information) with fees and monies collected from or returned to the customer.

Government directives specify that all fees received by the Government be deposited within 24 hours of receipt. In accordance with the Treasury Financial Manual (TFM), deposit preparation, physical transfer of funds, and account reconciliation shall be performed by no less than two different individuals (segregation of duties). The Contractor shall immediately refer any problems to the INS for guidance and/or resolution.

The Contractor shall prepare and maintain a Fee Collection Plan acceptable to the Government to document all processes, procedures, and safeguards required in the handling of all monies received. This Plan shall be prepared in accordance with the Treasury Finance Manual (TFM) Part 5, and applicable INS policies, instructions, and procedures. The TFM can be obtained via the U.S. Treasury Department web site at <http://www.fms.treas.gov/tfm/>. All fee-handling operations shall conform to the Fee Collection Plan.

Fee collection and processing operations must assure accurate and accountable collection and handling of currency and acceptable negotiable instruments delivered to the site. The Contractor shall account for all fees in their possession from the time of receipt until submitted to the bank for deposit. The Contractor shall prepare deposit documentation on a daily basis to forward funds to the INS-designated depository or to return funds from rejected transactions, verify deposits, and maintain reconciliation records.

The Contractor shall review all applications/petitions for accuracy, completeness, and conformity with established INS guidelines specific to the type of document. In the event that all requirements are not met based on established criteria in the Standard Operating Procedures (SOP) for each form type, applications and petitions shall be rejected and returned with their accompanying fees, if any, to the applicant.

Successful performance of all fee collection and processing operations is defined in Attachment 3, Performance Requirements, Section A3.2.5, Fee Collection and Processing.

6.3.6 Task 6 – Filerroom Operations

The Contractor shall receive, store, retrieve, and maintain files in a timely, complete, and

accurate manner consistent with applicable Government guidance and ease of adjudication.

INS guidance as to the file content, labeling (method and type), and internal file arrangement does not dictate Contractor work processes. It merely ensures efficient adjudication consistent with INS policy. File content is dictated by documentation requirements imposed by law, regulation, or public policy.

The Contractor shall update the Central Index System (CIS) via the local tracking system [Receipt and Alien File Accountability and Control System (RAFACS) or National File Transfer System (NFTS)]; annotate appropriate actions on case processing worksheets in accordance with INS procedures; manifest cases and accountable documents being transferred as required; perform and follow-up Alien File (A-File) Transfer Requests (FTR) and Manual Search Requests (M\$R); and perform special sorts and file pulls as requested.

File maintenance includes, but is not limited to: replacing damaged file folders, creating files for cases for which a file does not already exist, and matching and consolidating applications/petitions/correspondence to store with corresponding files (File Connections).

Additional requirements include: packing and labeling files for shipping to the appropriate file depository; photocopying or scanning documents and files, or parts thereof; and obtaining screen printouts for various applications/petitions, miscellaneous material and other correspondence.

Successful performance of all fileroom operations is defined in Attachment 3, Performance Requirements, Section A3.2.6, Fileroom Operations.

6.3.7 Task 7 – Word Processing

The Contractor shall provide 1 Full Time Equivalent (FTE) word processing operator at each Service Center to prepare complete and accurate documents in support of this BPA.

The Contractor shall prepare and edit correspondence and other types of documents using INS standard word processing and spreadsheet software.

Successful performance of word processing is defined in Attachment 3, Performance Requirements, Section A3.2.7, Word Processing.

6.3.8 Task 8 – Quality Control

The Contractor shall provide and implement a proactive risk management strategy that assesses, tracks, and reports potential risks and issues, while simultaneously allowing for their control and project wide visibility.

Quality Control consists of the action(s) taken by the Contractor to control the quality of services or other deliverables provided the Government. The Contractor's Quality Control Plan (QCP) is the Contractor-provided document that identifies, defines, and describes the Contractor's

procedures for controlling the quality of services or other deliverables provided the Government. The Contractor's QC program implements the QCP. The Contractor shall provide an acceptable QCP within 90 days after award of the BPA. Award fees for all tasks will accrue solely when the Contractor is executing a QCP acceptable to the Government.

The Contractor shall develop and implement a quality control system via a single, standardized Quality Control (QC) program applicable to all sites and for all performance requirements in Attachment 3, Performance Requirements. The Contractor shall implement a detailed QC Plan within 30 days after acceptance by the Government. The QC Plan shall include the methodology and procedures for an inspection system covering all the service areas listed on the Performance Requirements Summary (Attachment 3). It must specify the following:

- Areas to be inspected on either a scheduled or unscheduled basis
- Frequency of the inspections to be accomplished
- Title and organizational placement of the individuals who will perform the inspection
- Methods to be used for identifying, preventing, and correcting defects in the quality of the services performed, including
 - Measuring processes ability to produce the results required by the Government
 - Complying with applicable Government/INS regulations
 - Identifying, responding to, and correcting deficiencies or shortcomings identified through the INS feedback process.
 - Monitoring procedures and improving processes
 - Improving customer service levels
 - Quality Control reporting on review/audit results
 - Preparing and implementing Problem Resolution Plans (see Attachment 4, Item 19, Page A4-3), detailing the Contractor's proposed approach and time schedule for correcting the problems that led the INS Contracting Officer to issue a Contract Discrepancy Report (see Attachment 8).
- Description of records, maintenance and retention of document inspection records of all inspections and the corrective action taken.
- Number of units to be studied and associated statistical confidence level
- Run, process, and control charts for
 - All incentivized processes
 - Each form for critical data entries
 - Each form for non-critical data entries

The QC program, plan, and procedures are deemed acceptable to the Government when performance requirements are consistently met or exceeded. The Government may withdraw acceptance of all or any part of the QC program, plan, and procedures when one or more performance requirements are not consistently met or exceeded. The Contractor shall not use a QC program, plan, and/or procedure unacceptable to the Government. The Contractor shall bear

the increased costs of Government quality assurance (surveillance) efforts to ensure that performance requirements are met.

Records of inspections shall be kept and made available to the Government during the term of all calls.

The Contractor shall keep the QCP updated to reflect the most current procedures and provide a concurrent copy of all changes to the On-Site Contracting Officer's Technical Representatives (COTR). The COTR shall direct any comments on the changed procedures to the Headquarters COTR (HQCOTR) for transmittal to the INS Project Manager (PM).

The Contractor shall implement a continuous process improvement program to identify and document opportunities for increasing production, accuracy, and accountability, and for reducing processing time and cost. This includes changes to manual processes, and may involve the selection, specification, and use of equipment to facilitate manual processes. It includes any minor automated systems that the Contractor might develop in support of existing manual processes.

Process changes that require design, development, and implementation of automated systems to interface with current or future INS systems, or which provide a public interface, are included under Task 10, Business Process Reengineering.

Successful performance of quality control is defined in Attachment 3, Performance Requirements, Section A3.2.8, Quality Control.

6.3.9 Task 9 – Project Management

The Contractor shall design and implement a project-wide metrics-based performance management strategy. The strategy must assist in maintaining clear oversight of all aspects of the Contractor's performance and provide up-to-date automated tracking of critical program functions and performance requirement status.

Successful performance of project management is defined in Attachment 3, Performance Requirements, Section A3.2.9, Project Management.

6.3.9.1 Project Management

The Contractor's project management organization shall be responsible for ensuring that all work activities are performed in a timely and cost effective manner while maintaining at least an acceptable quality of performance. Acceptable quality is defined as a quality level that meets or exceeds the performance standards for each performance requirement as well as the acceptance criteria for call deliverables.

Therefore, the Contractor shall furnish and maintain a detailed Project Management Plan (PMP) that describes the resources and the company's policies and procedures for the effective management of this entire BPA and all work performed hereunder. The Project Management Plan shall address Contractor strategies to manage fluctuations and growth in workload to support the INS requirements, including plans for meeting workload surges of up to 20% above the baseline workload (see Attachment 9). This may include such measures as creating pools of INS-cleared intermittent employees and other appropriate measures. The Contractor's solution should be specific and quantitative. The Project Plan shall include at least the following items:

- Transition Plan Overview to include phase-in and phase-out
- Daily operational procedures for accomplishing the tasks in this statement of work
- Schedules and Milestones of critical events and processes
- Personnel Plan Overview
- Training Plan Overview
- Progress reporting methodology
- Quality Control Plan Overview
- Improving customer service levels
- Configuration Management Plan Overview
- Contingency Plans (see Attachment 3, Requirement 9.1.9, Page A3-19 – A3-20)

6.3.9.2 Project Management Office

The Contractor shall be responsible for the effective management and administration of all efforts undertaken under this BPA. It is required that the Contractor shall establish a project management office in the Washington, DC metropolitan area with staff at commensurate level of responsibility to interact with INS HQ managers as needed. The Washington, DC metropolitan area is defined as a radius of 70 miles from the INS headquarters located at 425 I Street NW, Washington, DC.

The Contractor shall institute and maintain an effective, efficient, and responsive project management organization which shall be responsible for the management and oversight of all Contractor personnel, subcontractor and/or vendor resources utilized in the performance of calls under this BPA.

6.3.9.3 Work Breakdown Structure

The Contractor and the Government must use a "common language" with operational definitions, metrics, and methods for defining the structure of the work. The Contractor's Program Management team members shall develop and maintain the Direct Mail Program Work Breakdown Structure (WBS), which is a family tree of services, data, and products that comprise the Direct Mail Program. The WBS shall be developed and maintained to level(s) acceptable to the Government. A component of the WBS is the WBS dictionary, which matches WBS elements to their definitions and contract requirements. The WBS is the foundation of a

common language for discussion of work processes and products. The work products are the detailed performance requirements provided by the Government in Attachment 3 of this BPA or that are otherwise specified in call(s) and subsequent modifications.

6.3.9.4 Configuration Management

The Contractor shall provide a Configuration Management (CM) and change control process to ensure that changes take place in a controlled environment and that the impacts are identified and considered prior to acceptance of the proposed change. In addition, the configuration control process must ensure coordination among all affected parties and Service Centers.

The CM Plan shall, at a minimum, describe the processes for the following:

- Coordination of Standard Operating Procedures (SOP) changes among the SCs
- Notification of affected INS and Contractor personnel
- Approval procedures for process and SOP documentation revisions
- Electronic and hard copy distribution of SOP and revisions
- Document change control procedures, e.g., border marking and date stamping

6.3.9.5 Security Requirements

See Attachment 6, Security Requirements, for details of the personnel and information system security requirements.

~~The Standard Practice Procedures (SPP) is a written procedure outlining the steps to be taken by the Contractor to ensure that standards of security for the processing of materials is maintained. It is prepared in accordance with the National Industrial Security Operating Manual.~~

6.3.9.6 Training Plan

The Training Plan shall describe how the Contractor intends to provide and maintain a trained staff capable of meeting all production and quality standards of the contract. The Contractor shall execute the training plan on a schedule to provide adequately trained staff capable of meeting all production and quality standards within 30 days of commencing performance on the first call. The plan shall outline training requirements for all labor categories to ensure that INS performance requirements are met and maintained. The plan shall show how work shall be reviewed and evaluated during the first 30 days to determine if the work meets established quality standards stated in the call. The Training Plan shall address at least the following issues:

- Types of training
- Training schedule
- Training syllabus for
 - New hire training in procedures, terminology and objectives

- Standard Operating Procedures (SOP), including ADP systems, data entry/scanning, mailroom, fileroom, fee collection/processing, document preparation, and QC
- Security requirements and compliance to include fees, employee identification, unprocessed mail, operation requirements such as key control, data systems security, passwords, security clearance requests and monitoring driver licensing and driving records of staff responsible for picking up mail from USPS and file security
- Privacy Act procedures
- Standards of conduct
- Ongoing training for SOP changes
- Training evaluation procedures
- Procedures to
 - Identify new and remedial training requirements
 - Select and assign people to attend training
 - Certify that all employees are informed/trained

INS shall provide initial training to a core group of supervisors, trainers, and/or other senior personnel designated by the Contractor at each SC for any new forms, processes, automated systems, or other Government required changes. The Contractor shall be responsible for training the remaining affected Contractor staff.

6.3.9.7 Backlog Reduction Plan ✓

The Backlog Reduction Plan describes the Contractor's proposed approach, including specific milestones, target dates, staffing levels, and associated costs, to perform the additional work necessary to reduce the accumulated "frontlogs" (see Attachment 1) at a Service Center for one or more application types.

6.3.9.8 Report of Theft or Robbery of Funds

The Contractor shall, upon discovery, immediately report in writing to the HQCOTR and the On-Site COTR any irregularity involving accountability of applicant fees received. The report shall at a minimum include:

- (1) Date discovered
- (2) Amount involved
- (3) Name(s) and position title of employee(s) involved
- (4) Description of the irregularity and/or circumstances
- (5) Statement as to whether prescribed procedures and requirements were followed
- (6) Recommendation to prevent a recurrence
- (7) Recommendation for restoring and adjusting the accountable employee's account

6.3.9.9 Report of Accident

In the event of an accident involving Government personnel or property, the Contractor will immediately submit a report to the HQCOTR and the On-Site COTR including at least the

following information:

- (1) Date and time of the occurrence
- (2) Place of the occurrence
- (3) Names of all personnel directly involved
- (4) Narrative description of the accident and circumstances

6.3.10 Task 10 – Business Process Reengineering

The INS is interested in cost-saving solutions to its requirements for Service Center operations support. INS needs to move away from its current dependency on manual processes to enhance production and accuracy via automation. Under separate calls, the INS will direct the Contractor to conduct BPR studies and analyzes, and may direct the design, development, and implementation of selected BPR solutions.

Successful performance of BPR is defined in Attachment 3, Performance Requirements, Section A3.2.10, Business Process Reengineering.

6.3.10.1 Requirements Analysis

In response to separate calls, the Contractor shall analyze designated business processes and document specific process improvements based on automation or other means to achieve improved accuracy and/or reduced cost of operations. The Contractor shall determine the functional requirements IAW the INS *Software Development Life Cycle Manual*, Chapter 5, Requirements Definition Phase for the functional area(s) designated by INS in a separate call. Individual calls will delineate the scope of individual BPR studies. INS intends to investigate receipt of electronic funds, with the requisite CLAIMS update to show fee receipts, and audit trails required by the Treasury Finance Manual.

6.3.10.2 System Design, Development, and Implementation

In response to separate calls, the Contractor shall design, develop, and implement manual and/or automated system improvements to achieve improved accuracy and/or reduced cost of operations. The Contractor shall follow the requirements stated in the *Software Development Life Cycle Manual*, with particular emphasis on Appendix A, Alternative SDLC Work Patterns.

See Attachment 6, Security Requirements, for details of the information system security requirements.

7. GOVERNMENT QUALITY ASSURANCE

Quality Assurance (QA) is the planned and systematic pattern of all actions on the part of the Government necessary to provide confidence that adequate technical requirements in the form of Contractor plans, controls and procedures such as the Quality Control Plan are established and enforced to ensure that products and services meet or exceed performance standards.

Quality assurance is the process that measures the success of the Contractor's Quality Control program as determined or identified by selected service outputs (performance requirements) or deliverables. This is performed primarily by the Quality Assurance Evaluator (QAE), a functionally qualified person who performs quality assurance functions for a contracted service. The QAE assesses the processes and outcomes of QC (i.e., those actions taken by a Contractor to control the quality of goods and /or services provided).

Attachment 3, Performance Requirements, identifies performance standards, i.e., selected service outputs of the contract that will be evaluated by the Government to assure the Contractor meets requirements. The performance standards for each performance requirement identify performance levels, which, if not met consistently by the Contractor, render the Contractor subject to the remedies consistent with fixed price calls (i.e., rework of defective service at the Contractor's expense).

Quality Assurance will be performed on all performance requirements and standards. Quality Assurance results and the method used to ascertain whether a given performance standard(s) is met shall be provided to the Contractor in writing at least once a month.

The Contracting Officer (CO) may, after consultation with the QAE Supervisor, withdraw acceptance of the Contractor Quality Control Plan (QCP) or part thereof, given documented and reasonable evidence that the QC procedure(s) of the Contractor are defective. QC procedures are defective when they endanger successful performance of the work assigned or consistently fail to produce the required level of performance as stated in the performance requirements in Attachment 3. Award fees accrue and are payable exclusively for work performed under an acceptable QCP.

The method used by the QAE for contract surveillance must include but is not limited to those listed in Attachment 3 for each requirement.

The Government may elect to use third party contract administration, such as the Defense Contract Management Command (DCMC), for all or a portion of contract administration, including Government quality assurance personnel or any other Contractor.

8. PERSONNEL

The Contractor shall provide skilled, trained personnel that can perform the work in awarded calls. The Contractor shall propose an organization plan to perform the contract. Personnel qualifications and labor category descriptions shall be those in the Contractor's winning technical proposal as incorporated into the BPA. Labor categories on the current contract are included in Attachment 2 for information only.

The Contractor shall provide all necessary training to ensure that required skills are established and maintained. The Government shall neither provide nor directly reimburse the Contractor for any training unless it relates to a significant new Government requirement. The Contractor shall be responsible for training: (1) all new personnel on initial assignment to the project; (2) any personnel on change of assignment within the project; (3) all affected personnel whenever the Contractor Standard Operating Procedures (SOP) are revised; (4) remedial training required to achieve acceptable quality levels; and (5) ongoing training to ensure standardization of operational functions.

8.1 Key Personnel

The Contractor shall propose the key personnel by name including a Project Manager as defined in Section 8.2, a Center Manager for each Service Center, and any others specified in calls. Before assigning key personnel to calls under this BPA, the Contractor shall submit the proposed employee's resume to the HQCOTR for approval. The HQCOTR shall have five (5) working days, when practicable, to accept or reject the resume. In addition to resume approval, all proposed key personnel shall have security clearances.

The Contractor shall make no key personnel substitutions or additions unless necessitated by compelling reasons including, but not limited to, an individual's illness, death, termination of employment, declining an offer of employment (for those individuals proposed as contingent hires), or maternity leave. In such an event, the Contractor shall promptly provide the information required below to the CO and HQCOTR for approval prior to the substitution or addition of key personnel. The qualifications of proposed substitute key personnel shall meet or exceed the qualifications of personnel whom they are proposed to replace.

Requests for key personnel changes shall provide a detailed explanation of the circumstances necessitating the proposed substitutions or additions, a complete resume of the proposed personnel, and any other relevant information requested by the CO or HQCOTR.

8.2 Project Manager (PM)

Within 30 days of the date of award of the BPA, the Contractor shall have an office in the Washington, DC metropolitan area to provide management, personnel, and administrative supervision for all work performed in response to this Statement of Work (SOW). The

Contractor shall appoint a Project Manager (PM) to oversee the performance of all work. This PM shall be the primary liaison with INS representatives and shall be located in the Contractor's Washington, DC metropolitan office. The PM shall be cognizant of all deliverables and performance matters, including the weekly progress report. At a minimum, the PM shall personally visit each of the Service Center sites at least once per quarter for performance reviews. The PM shall report findings of the review within five (5) working days in writing to the HQCOTR.

9. GOVERNMENT-FURNISHED PROPERTY AND OTHER RESOURCES

9.1 Definitions

"Contractor-acquired property," as used in calls under the BPA, means property acquired or otherwise provided by the Contractor for performing a contract and to which the Government has title.

"Government-furnished property," as used in calls under the BPA, means property in the possession of, or directly acquired by, the Government and subsequently made available to the Contractor.

"Government property" means all property owned by or leased to the Government or acquired by the Government under the terms of the call. It includes both Government-furnished property and Contractor-acquired property as defined in this section.

"Plant equipment," as used in calls under the BPA, means personal property of a capital nature (including equipment, machine tools, test equipment, furniture, vehicles, and accessory and auxiliary items) for use in manufacturing supplies, in performing services, or for any administrative or general plant purpose. It does not include special tooling or special test equipment.

"Property," as used in this part, means all property, both real and personal. It includes facilities, material, special tooling, special test equipment, and agency-peculiar property.

"Real property," as used in calls under the BPA, means land and rights in land, ground improvements, utility distribution systems, and buildings and other structures. It does not include foundations and other work necessary for installing special tooling, special test equipment, or plant equipment.

"Material" is property that may be incorporated into or attached to a deliverable end item or that may be consumed or expended in performing a service under a call. It includes assemblies, components, parts, raw and processed materials, and small tools and supplies that may be consumed in normal use in performing a contract.

9.2 Government-Furnished Material/Property

Pursuant to the "Government Property" clause herein [Federal Acquisition Regulation (FAR) 52.245-2 Government Property – Fixed Price Contracts], the Government shall furnish the item(s) of material or property listed below as Government-Furnished Material/Property (GFM/P) to the Contractor Free On Board (F.O.B.) destination as cited in awarded calls.

The COTR shall prepare requisitioning documentation for the GFM/P if required. Whether GFM/P is transferred from the custody of the incumbent Contractor to the follow-on Contractor or transferred to the Contractor by the Government at call award or during the respective call to the performance period, a transfer inventory shall be made and custody formally transferred via a signed inventory of all property or material possessing a unit replacement value of \$100.00 or more. This inventory shall note the nomenclature, quantity, location, condition, estimated replacement value (including source of the estimate – General Services Administration (GSA) Schedule is preferred), and condition of the property or material transferred using the standard GSA condition codes found in FAR 45.606-5. Following transfer of Government property or material, the Contractor shall update the inventory annually.

The Government shall provide all equipment or material necessary to the performance of the work with the exception of vehicles that shall be provided as Contractor Acquired Property. All Government furnished material, property, and facilities are provided on an "as is" basis.

The INS shall provide the Contractor with all essential plant equipment which includes computer equipment, software, continuous form bursters, decollators, x-ray machines, mail handling equipment, furniture, and capital equipment [e.g., binding and folding machines] necessary to perform services required under the calls issued under this BPA, and a complete standard Government inventory of all equipment including make, model, serial number, and INS tracking number, if available.

The INS will provide maintenance and repair or replacement as necessary for all IT equipment and standard office equipment (desks, chairs, etc.). The Contractor must exercise reasonable care in the use of the equipment provided.

The INS shall provide all material (office supplies and consumables) necessary for production-related work to meet the requirements of calls. These supplies shall include, but are not limited to: pens, pencils, paper clips, staplers, memo pads, reproduction paper, electronic calculators, staple removers, rulers, binders, scissors, date stamps, and other office supplies.

9.3 Government-Furnished Property – Computer Equipment and Software

The Government shall provide the following computer hardware, and reserves the right to upgrade or replace equipment during the period of performance:

- Server – Hewlett Packard (HP) Netserver LX Pro, Dual Pentium Pro 200 with 512 Megabytes (MB) Random Access Memory (RAM) and a Redundant Array of Independent Disks (RAID) 5 Controller
- Workstation – HP Vectra VL Pentium 200, 64 MB RAM, Madge Token Ring Network Interface Card (NIC)
- Symbol 2D Laser Barcode Scanner
- Welch Allyn Scan Team 2380 Wand Scanner
- Notice Printer - HP 5Si MX with Towerfeed Option
- Barcode Printers
- Datamax Prodigy Label Printer
- Zebra Stripe Barcode Label Printer
- Check Franker - CBM-810

The Government shall provide the following computer software, and reserves the right to upgrade or replace software during the period of performance:

- Windows NT 4.0 (servers)
- Windows 95 (workstations)
- Office 97
- Access
- PowerPoint
- Excel
- Word
- CC:Mail 6.0.3
- Intersolv Open Database Connectivity (ODBC)
- Oracle Client for Windows 95/NT
- INSMenu
- A2B
- Coordinated Interagency Partnership for Regulating International Students System (CIPRIS)
- Centers Information Processing System (CIPS)
- Central Index System (CIS)
- Computer Linked Application Information Systems (CLAIMS) – CLAIMS 3 and CLAIMS 4
- Fees and Applications Receipt and Entry System (FARES) – or CLAIMS Mainframe
- Deportable Alien Control System (DACs)
- Enterprise Edition (EE) of C4 and other fingerprint related software
- Federal Bureau of Investigation (FBI) Query (FD-258) Tracker System

- Freedom of Information Act (FOIA) / Privacy Act (PA) Case Tracking System (FIPS)
- Marriage Fraud Amendment System (MFAS)
- National Automated Immigrant Lookout System (NAILS)
- National File Tracking System (NFTS)
- Non-Immigrant Information System (NIIS)
- Receipt and Alien File Accountability and Control System (RAFACS)
- Refugee Asylum and Parole Systems (RAPS)
- Re-engineered Naturalization Casework System (RNACS)
- Student/Schools System (STSC)

9.4 Government-Furnished Facilities

INS shall provide work space with appropriate office furniture, computer resources, INS stationery, telephones, computer terminals, custodial services and equipment maintenance, access to mail processing and document reproduction equipment, and security containers for fees and sensitive material. The workspace will be available Monday through Friday, except on Federal Government holidays, between the hours of 6:00 AM and 11:30 PM, local time, and on Saturdays, except on Federal Government holidays, between 6:00 AM and 6:00 PM. The Government-furnished equipment shall be managed in accordance with the Government Property clauses of the BPA and awarded calls.

The Contractor shall submit requests for additional or replacement Government-furnished plant, equipment, and consumables required in the performance of this work to the On-Site COTR so that there is no disruption of services. The Contractor shall develop and maintain a "Never Out" list of supplies which have lead times of more than 10 business days, and maintain an appropriate on-hand supply. If a work stoppage of any kind occurs due to the Contractor's lack of supplies, it will be deemed the fault of the Contractor and may result in an equitable downward adjustment in the price of the affected call, unless the Contractor documents a timely written request for supplies allowing adequate lead time for acquisition and delivery.

9.5 Government-Furnished Information

The following manuals and directives will be made available at each Service Center during the period of contract performance and in a reading room at HQ INS from June 28, 2000 through July 24, 2000 for prospective bidders' use:

- Automated Systems Documentation
 - Software Development Life Cycle Manual, Chapter 5 and Appendix A
 - Central Index System (CIS) Users Manual
 - Computer Linked Application Information Management System (CLAIMS) Users Manual
- FIPS [Freedom of Information Act (FOIA)/Privacy Act (PA) Case Tracking] System Users Manual
- Immigration Card Facility (ICF) Phase 5 Transition Memorandum

- Marriage Fraud Amendment System (MFAS) Manual
- National File Tracking System (NFTS) Users Manual
- Receipt and Alien File Accountability and Control System (RAFACS) Users Manual
- Refugee Asylum and Parole Systems (RAPS) Users Manual
- Department of Justice (DOJ) Orders
 - DOJ Order 2620.7 - Limited Official Use
 - DOJ Order 2640.2 - Automated Data Processing (ADP) Security
- Department of Justice (DOJ) Standard of Conduct, 28 CFR § 45 (see <http://www.access.gpo.gov/nara/cfr/index.html>)
- Executive Order 12958 – Classified National Security Information National Industrial Security Program Operating Manual (see <http://www.pub.whitehouse.gov/>)
- INS Correspondence Manual (Chapter 6, Sending Correspondence)
- INS Policies, Instructions and Procedures regarding:
 - Automated Data Processing (ADP) Security
 - Deposit Remittance
 - Effective Cash Management
 - Fee Collections
 - Records Operation Handbook (ROH)
 - Security Information and Instructions
- Privacy Act of 1974
 - 5 USC 552a (see <http://www.cavebear.com/nsf-dns/5usc552a.htm>)
 - 8 CFR § 103.20 *et seq.* (see <http://www.access.gpo.gov/nara/cfr/index.html>)
 - 28 CFR § 16.40 *et seq.* (see <http://www.access.gpo.gov/nara/cfr/index.html>)
- Treasury Finance Manual (TFM) Volume 1 Part 5 (see <http://www.fms.treas.gov/tfm/>)
 - Chapter 2000, Checks and Cash Received Collections
 - Chapter 8000, Cash Management
- Immigration and Naturalization Service/Immigration Examinations Fee Account(IEFA) Study - Final Report, July 30, 1997
- Immigration and Naturalization Service/Immigration Examinations Fee Account Review - Final Report - Fiscal Year 1999

The Contractor shall implement in their policy/procedures any changes to these manuals that affect procedures.

9.6 Contractor-Furnished Information

9.6.1 Monthly Activity Report (G-959)

The Monthly Activity Report shall include statistical workload and production data for a month's operations. It shall describe the status of any new or ongoing problems during the month and efforts towards their resolution. Immediately upon award of the first call, the Contractor will develop procedures to consolidate the G-959 data from all four sites and report the results on a consolidated monthly report to the HQCOTR. The Contractor will include summary narrative to explain trends, backlogs, problems, and proposed/implemented solutions. The G-959 report shows for each month and FY to date, counts/totals of the following:

- (a) Pending Beginning of Period
- (b) Received
- (c) Completed
- (d) Pending End of Period
- (e) Productive Hours

for each of the following categories:

- 1.0 A-Files Created
- 1.2 Temp Files Created
- 1.3 Receipt Files Created
- 1.4 Routing to Requestor
- 2.0 A-Files Transferred (FTI) (CIS)
- 2.1 Temp Files Transferred
- 2.2 Receipt Files Transferred (RAFACS)
- 3.0 A-Files, Temp Files & Sub Files Requested
- 3.1 Receipt Files Requested From Other
- 3.2 Files Requested From FRC
- 4.0 A-Files Sub Files Received
- 4.1 Temp Files Received
- 4.2 Receipt Files Received
- 5.0 A-Files Sub Files Connections
- 5.1 Receipt Files Connections
- 6.0 A-Files Sub Files Refiles
- 6.1 Temp Files Refiles
- 6.2 Receipt Files Refiles
- 9.0 Special Searches/Circular
- 10.0 Files Operations (Inclusions)
- 10.1 Files Operation (Receipt Files)
- 11.0 A-Files Consolidation
- 11.1 Receipt Files Consolidation
- 14.0 Document Preparation (EAD)

15.0 Fee Processing (Keying)

It contains the following additional categories and counts:

- 7.0 Database Searches**
 - (a) Pending Beginning of Period
 - (b) Received
 - (c) Inquiries
 - (d) Database Searches
 - (e) Pending End of Period
 - (f) Productive Hours
- 8.0 Incoming Mail Processing**
 - (a) Pending Beginning of Period
 - (b) Received
 - (c) Presorted
 - (d) File Assembly
 - (e) Pending End of Period
 - (f) Productive Hours
- 8.2 Driver/Messenger**
 - (a) Number of Trips Completed
 - (b) Productive Hours
- 8.3 Internal Mail Run**
 - (a) Number of Trips Completed
 - (b) Productive Hours
- 12.0 File Audited**
 - (a) Completed
 - (b) Productive Hours
- 13.0 Files Retired to FRC**
 - (a) Completed
 - (b) Productive Hours
- 15.1 Fee Processing (Collection/Deposit)**
 - (a) Number of Deposits
 - (b) Amount of Deposits \$
 - (c) Productive Hours
- 16.0 Rejects**
 - (a) Pending Beginning of Period
 - (b) Received
 - (c) Manual
 - (d) CLAIMS
 - (e) Pending End of Period
 - (f) Productive Hours

9.6.2 Daily Activity Report

The Daily Activity Report shall include the same statistical workload and production data as the G-959 report, but for a single day's operations. The Contractor shall include summary narrative to explain daily trends, backlogs, problems, and proposed/implemented solutions.

9.6.3 Weekly Activity Report

The Weekly Activity Report shall include the same statistical workload and production data as the G-959 report, but for a single week's operations. The report will include summary narrative to explain weekly trends, progress, backlogs, accomplishments, issues/problems, proposed/implemented solutions, continuous improvement and upcoming plans. It also shall list planned and completed changes to the SOPs.

9.6.4 Annual Activity Report

The Annual Activity Report shall include the same statistical workload and production data as the G-959 report, but for a full year's operations. The Contractor shall include summary narrative to explain annual trends, backlogs, problems, and proposed/implemented solutions.

9.6.5 Ad Hoc and Special Reports

The Government will request *ad hoc* reports and special reports on an annual Time and Materials (T&M) call; they will not be included in the Firm Fixed Price (FFP) call. *Ad hoc* reports are special reports tailored to fulfill specific requirements. These will be produced by the Contractor on an as-required basis upon written tasking from the HQCOTR or On-Site COTR. Special reports are periodic (daily, weekly, monthly, quarterly) special reports tailored to fulfill specific requirements as stated in written tasking from the HQCOTR or On-Site COTR.

9.6.6 Contractor SOPs

The Contractor SOPs shall describe processes and procedures that have been coordinated and standardized across all the SCs. They may be annotated with authorized local variances.

10. OTHER DIRECT COSTS

10.1 Travel

The Contractor shall be reimbursed for travel costs other than the Project Manager's minimum quarterly visit to each SC in accordance with FAR 31.205-46 as limited by the Federal Travel Regulations (FTR), Volume II. Travel made for personal convenience, including daily travel to and from work, shall not be reimbursed hereunder.

Travel and subsistence are authorized for travel beyond a seventy-mile radius of the Contractor's office whenever a task assignment requires work to be accomplished at a temporary alternate work-site. No travel or subsistence shall be charged for work performed within a seventy-mile radius of the Contractor's office. The Contractor shall not be paid for travel or subsistence for Contractor personnel who reside in the metropolitan area in which the tasks are being performed. Travel performed for personal convenience, in conjunction with personal recreation, or daily travel to and from work at the Contractor's facility will not be reimbursed.

For travel costs other than described above, the Contractor shall be paid on the basis of actual amount paid to the extent that such travel is necessary for the performance of services authorized by the COTR in writing.

When transportation by privately owned conveyance is authorized, the Contractor shall be paid on a mileage basis not to exceed the applicable Government transportation rates as contained in the Joint Travel Regulation. Authorization for the use of privately owned conveyances shall be indicated in the basic contract. Distances traveled between points shall be shown on invoices as listed in standard highway mileage guides. Reimbursement will not exceed the mileage shown in the standard highway mileage guides.

The Contractor agrees, in the performance of necessary travel, to use the lowest cost mode commensurate with the requirements of the mission as set forth in the basic contract and in accordance with good traffic management principles. When it is necessary to use air or rail travel, the Contractor agrees to use coach, tourist class, or similar accommodations to the extent consistent with the successful and economical accomplishment of the mission for which the travel is being performed.

The Contractor's invoices shall include receipts or other evidence substantiating actual costs incurred for authorized travel. In no event will such payments exceed the rates of common carriers.

Vehicle and/or Truck Rentals. The Contractor shall be reimbursed for reasonable actual rental/lease of special vehicles and/or trucks (to include operating expenses such as gas, maintenance, etc.) only if authorized in the basic call or upon approval by the COTR. Reimbursement of such rental shall be made based on reasonable actual amounts paid by the Contractor.

Car Rental. The Contractor shall be reimbursed for car rental, including gasoline and incidental expenses, as authorized in the basic contract or upon approval by the COTR, when the services are required to be performed beyond the normal commuting distance from the Contractor's facilities. Car rental for a team on-site will be allowed for a minimum of four (4) persons per car, provided that such number or greater comprise the team.

Per Diem. The Contractor shall not be paid for per diem for Contractor personnel who reside in the metropolitan areas in which the tasks are being performed. Per Diem shall not be paid on services performed within a seventy-mile radius of the Contractor's home office or the Contractor's local office. Per diem is authorized for Contractor personnel beyond a seventy-mile radius of the Contractor's home or local offices whenever a task assigned requires work to be done at a temporary alternate work-site. Per diem shall be paid to the Contractor only to the extent that overnight stay is necessary and authorized under this contract. The authorized per diem rate shall be the same as the prevailing per diem in the work-site locality. These rates will be based on rates contained in the FTR. The applicable rate is authorized at a flat seventy-five percent (75%) on the day of departure from Contractor's home or local office, and the day of return. Reimbursement to the Contractor for per diem shall be limited to actual payments to per diem defined herein. The Contractor shall provide actual payments of per diem defined herein. The Contractor shall provide supporting documentation for per diem expenses as evidence of actual payment.

10.2 File and Mail Transportation

If directed by the CO in an awarded call, the Contractor shall provide a method approved by the Government for transporting mail to and from the Post Office, and, at NSC, TSC, and VSC, for transporting files among buildings comprising the Service Center. The solution shall be reimbursed as an ODC.

10.3 Fidelity Bond

In the normal course of business, the Contractor handles large numbers of checks and other financial instruments, and occasionally small amounts of cash. The Contractor enjoys a fiduciary relationship with the Government. In order to promote the proper handling of cash and financial instruments, the head of the contracting activity, in accordance with FAR 28.105, has approved the use of, and the Government requires the Contractor to obtain, fidelity bonds for all personnel assigned to this project in the amount of \$1,000 per affected individual. The Contractor must provide proof of bonding prior to the award of any call under this BPA. In the event that this BPA or any call thereunder is modified, the CO will require the Contractor to submit a Form SF-1414, Consent of Surety, in accordance with FAR 28.106-5(a) and 28.106-5(c).

ATTACHMENT 1. ACRONYMS AND DEFINITIONS

A1.1 Acronyms

TABLE A1-1
ACRONYMS

<u>Acronym</u>	<u>Definition</u>
A-File	Alien File
AAU	Administrative Appeals Unit
ACM	Assistant Center Manager
ADP	Automated Data Processing
AM	Administrative Manual
APM	Assistant Project Manager
AQL	Acceptable Quality Level
ASC	Application Support Center
BIA	Board of Immigration Appeals
BPA	Blanket Purchase Agreement
BPR	Business Process Reengineering
BPSH	Border Patrol Sector Headquarters
C&A	Certification and Accreditation
C&TS	Computer and Telecommunications Security
C3	CLAIMS 3
C4	CLAIMS 4
CCO	Case Control Office
CDR	Contract Discrepancy Report
CFR	Code of Federal Regulations
CIPRIS	Coordinated Interagency Partnership for Regulating International Students System
CIPS	Centers Information Processing System
CIS	Central Index System
CLAIMS	Computer Linked Application Information Systems
CM	Center Manager
	Configuration Management
CMP	Configuration Management Plan
CO	Contracting Officer

TABLE A1-1

ACRONYMS

Acronym	Definition
COTR	Contracting Officer's Technical Representative
CP	Contingency Plan
CPAU	Contract Performance Analysis Unit
CRU	Case Resolution Unit
CSC	California Service Center
CSR	Customer Service Report
CSSO	Computer Systems Security Officer
CY	Calendar Year
DAC	Discretionary Access Control
DACS	Deportable Alien Control System
DCM	Deputy Center Manager
DCMC	Defense Contract Management Command
DIS	Defense Investigative Service
DISCO	Defense Industrial Security Clearance Office
DLEA	Designated Law Enforcement Agency
DO	District Offices
DOJ	Department of Justice
DOS	Disk Operating System
DR	Defect Rate
EAD	Employment Authorization Documentation
EE	Enterprise Edition (of C4 and other fingerprint related software)
EEO	Equal Employment Opportunity
EOD	Entry on Duty
EOIR	Executive Office of Immigration Review
FARES	Fees and Applications Receipt and Entry System
FBI	Federal Bureau of Investigation
FCO	File Control Office
FD-258	FBI fingerprint card form
FFP	Firm Fixed Price
FMNS	Fingerprint Masthead and Notification System

TABLE A1-1

ACRONYMS

Acronym	Definition
FOIA	Freedom of Information Act
FOIA/PA	Freedom of Information Act/Privacy Act
FQ	Fiscal Quarter
FRC	Federal Records Center
FRE	Fee Received Elsewhere
FTC	File Transfer Confirmation (CIS transaction type)
FTF	File Transfer Forward (CIS transaction type)
FTI	File Transfer Indication (CIS transaction type)
FTM	File Transfer Maintenance (CIS transaction type)
FTP	File Transfer Privileged Request (CIS transaction type)
FTR	Federal Travel Regulation
FTR	File Transfer Request (CIS transaction type)
FY	Fiscal Year
GFI	Government-Furnished Information
GFM	Government-Furnished Material
GFMP	Government-Furnished Material/Property
GSA	General Services Administration
GUI	Graphical User Interface
HP	Hewlett-Packard
HQ	Headquarters (INS)
HQCOTR	Headquarters Contracting Officer's Technical Representative
HRIFA	Haitian Refugee Immigration Fairness Act of 1998
I-551	Permanent Resident Card
IAW	In Accordance With
ICPS	Integrated Card Production System
IIRAIRA	Illegal Immigrant Reform and Immigrant Responsibility Act of 1996
IMMACT	Immigration Act of 1990
INA	Immigration and Nationality Act of 1952
INS	Immigration and Naturalization Service

TABLE A1-1

ACRONYMS

Acronym	Definition
IRM	Information Resource Management
ISD	Immigration Services Division
JAD	Joint Application Development
KEO	Key Entry Operator
MADR	Maximum Allowable Defect Rate
MB	Megabyte(s)
MFAS	Marriage Fraud Amendment System
MRD	Machine-Readable Data
MSR	Manual Search Request
NACARA	Nicaraguan Adjustment and Central American Relief Act of 1997
NAIS	National Automated Immigrant Lookout System
NARA	National Archives and Records Administration
NDIP	Naturalization Data Integrity Project
NFTS	National File Transfer System
NIC	Network Interface Card
NIIS	Non-Immigrant Information System
NISPOM	National Industrial Security Program Operating Manual
NQP	Naturalization Quality Procedures
NRC	National Records Center
NSC	Nebraska Service Center
NVC	National Visa Center
ODBC	Open Database Connectivity
ODR	Observed Defect Rate
PA	Privacy Act of 1974
PBCR	Portable Barcode Reader
PDF	Portable Document Format
PM	Project Manager
PMP	Project Management Plan

TABLE A1-1

ACRONYMS

Acronym	Definition
POE	Port of Entry
PONDS	Post Office Non-Deliverable Security.
PRC	Permanent Resident Card
PRS	Performance Requirements Summary
QA	Quality Assurance
QAE	Quality Assurance Evaluator
QAP	Quality Assurance Plan
QASP	Quality Assurance Surveillance Plan
QC	Quality Control
QCP	Quality Control Plan
RA	Risk Assessment
RAD	Rapid Application Development
RAFACS	Receipt and Alien File Accountability and Control System
RAID	Redundant Array of Independent Disks
RAID 5	Redundant Array of Independent Disks Type 5
RAM	Random Access Memory
RAPS	Refugee Asylum and Parole Systems
RFMF	Remote File Maintenance Facility
RFP	Request for Proposals
RNACS	Re-engineered Naturalization Application Casework System
ROH	Records Operation Handbook
RPFS	Responsible Party Filing System
RRC	Regional Records Center
RSED	Random Sampling with Extrapolated Deductions
RSWED	Random Sampling Without Extrapolated Deductions
SC	Service Center
SCO	Service Center Operations
SDLC	System Development Life Cycle
SG	Surveillance Guide
SOP	Standard Operating Procedure

TABLE A1-1

ACRONYMS

Acronym	Definition
SOW	Statement of Work
SSN	Social Security Number
SSSP	Sensitive System Security Plan
ST&E	Security Test and Evaluation
STSC	Student/Schools System
T&M	Time and Materials
T-File	Temporary File
TAIS	Telecommunications and Automated Information Systems
TDO	Terminal Digit Order
TFM	Treasury Finance Manual
TO	Task Order
TP	Training Plan
TSC	Texas Service Center
UPS	United Parcel Service
USPS	United States Postal Service
VSC	Vermont Service Center
WBS	Work Breakdown Structure
WDU	Work Distribution Unit

A1.2 Terms and Definitions

**TABLE A1-2
TERMS AND DEFINITIONS**

Term	Definition
Accepted	An application/petition received where the correct fee is submitted or waived and the application/petition is signed; the qualifications for acceptance may change in accordance with statute, regulations, and Service policy
Accuracy	Data elements match the source documentation (see Correctness) and are logically valid, e.g., February 30 may be a "Correct" date if it matches the source document, but is not an "Accurate" date, since it is invalid.
Adjudication	The process by which benefit applications/petitions are reviewed for decision
Adjustment Factor	Amount that is deducted from the Observed Defect Rate (ODR) when Random Sampling with Extrapolated Deductions (RSED) or Random Sampling Without Extrapolated Deductions (RSWED) is used to calculate the Defect Rate (DR) for the entire population. This factor is determined from standard tables.
Administrative Manual	AM – identifies internal and external regulations and policies; provides procedures for management and administrative support activities of the service
Alien	A person who is not a citizen or national of the United States
Alien File	A-File – Hard copy file relating to a single individual concerning any type of INS action other than a non-immigrant petition
A-Number	A ten-character field used to uniquely identify an alien record.
Appeal	Request to have a higher body, e.g., AAU or BIA, review a prior decision
Application	A form submitted by an individual requesting an Immigration benefit
Application Support Center	ASC -- a facility at which fingerprints, photographs, and signatures of people seeking benefits are collected.
Automated Lost A-File Circular	Automated report that lists A-Files marked "Not Found" in CIS and their corresponding Field Offices
Backlog	Work that has not been processed within the time frames prescribed in the Performance Requirements and other directives ✓
Barcode	A machine generated label affixed to a file folder or document corresponding to the file number of the file to facilitate the tracking of the file or document electronically by RAFACS
Behavior Audit	Observational verification that a given set of required procedures or processes are followed and/or applied. Such audits are performed when the desired behavior is not readily verified by inspection of a process record, log, or end product. For example, a registered mail log only verifies that such mail was received, not that it was properly safeguarded, secured, and delivered.
Beneficiary	A person who receives Immigration benefits as a result of petitions filed with the Immigration and Naturalization Service
Biometrics Scanning	The process of attaching images of the photograph, signature and/or fingerprint (biometrics) of the applicant to a record in CLAIMS

TABLE A1-2

TERMS AND DEFINITIONS

Term	Definition
Board of Immigration Appeals	BIA – the organization enjoined to arbitrate adverse decisions by the Service
Bucket	In an Service Center fileroom, a bucket is a barcode-labeled section of shelf space approximately 1 linear foot in length, with width and depth suitable to hold letter-size manila folders (Receipt Files and A-Files); buckets hold up to about 50 files grouped by application type, cognizant FCO, and/or date received
Business Day	Monday through Friday, except for U.S. Government holidays
Case Control Office	CCO – an officially designated domestic INS field office such as a BPSH, POE, or sub-office other than a district office or FCO, where an A-File may be temporarily located; a CCO may be authorized to (1) retire records to an RRC; (2) retrieve files from an RRC; and (3) perform file consolidations; files are not to be stored at CCOs, but are transferred to the appropriate FCO upon completion of an action
Case Resolution Unit	CRU – provides technical guidance in the records, fee and systems related operations to the Service Centers' internal customers
Centers Information Processing System	CIPS – Automated system providing electronic processing of requests to retrieve retired A-Files from the Federal Records Center
Central Index System	CIS – the INS automated database system containing information on aliens and tracking the locations and transfers of A-Files
Completed Case	An application/petition which has been approved, denied, or returned to the applicant; or initial processing completed
Completeness	Completeness criteria shall apply at three levels of Contractor responsibility: (1) ensuring that data elements captured meet the standards of such systems as CLAIMS, CIS, RAPS, NACS, MFAS, FOIA/PA and that all required information is present in the system, (2) ensuring accountability for source documentation, data and files, and (3) ensuring the accurate routing, maintenance and identification of mail and files
Computer Linked Application Information System 3	CLAIMS 3 – INS automated CLAIMS DOS-based system that currently supports receipts, adjudication, and notification processes for all applications and petition types except for Forms N-400, Application to File for Naturalization, and I-881, Application for Suspension of Deportation or Special Rule Cancellation of Removal; it will be replaced by C4 eventually
Computer Linked Application Information System 4	CLAIMS 4 – INS automated CLAIMS GUI Windows-based system that currently supports receipts, adjudication, and notification processes for N-400, Application to File for Naturalization, and I-881, Application for Suspension of Deportation or Special Rule Cancellation of Removal; C4 is under further development to process more application and petition types, and will eventually replace C3 in its entirety
Computer Linked Application Information Systems	CLAIMS – INS automated systems that handle the receipt, adjudication, and notification processes for petitions and applications for immigration and naturalization benefits
Contract Discrepancy Report	CDR – Report initiated by the COTR and transmitted to the Contractor by the Contracting Officer (see Attachment 8)
Contract Performance Analysis Unit	CPAU – on-site Service Center operating element responsible for assisting with contract compliance oversight
Contracting Officer	CO – a Government employee responsible for executing/administering and providing direction on the contract
Contracting Officer's Technical Representative	COTR – INS employee designated by the CO to assure technical compliance with the contract

TABLE A1-2

TERMS AND DEFINITIONS

Term	Definition
Correctness	Data elements captured from source documentation match the source documentation
Correspondence	Incoming written material, some of which relates to the processing of applications/petitions; types of written material may include congressional or public inquiries and responses to miscellaneous communications
Critical Data	INS designates the following data fields as Critical Data: A-Number, Receipt Number, Name of applicant/petitioner, Address of applicant/petitioner, and all monetary amounts.
Customer Complaint	Derogatory report made by INS users of the Contractor's products/ services which, if validated, may be used by the Government for the purpose of assessing the Contractor's quality of performance
Customer Service Report	CSR - documentation for defective or unacceptable contract performance
Data Change	Altering information in computer systems without affecting the status of the case
Defect Rate	Ratio expressed as a percentage of the number of defects to the total number of occurrences in the population. Alternatively, the Defect Rate when Random Sampling with Extrapolated Deductions (RSED) or Random Sampling Without Extrapolated Deductions (RWSED) are used is determined by subtracting the adjustment factor from the Observed Defect Rate (ODR). Alternately, the defect rate may be expressed as a number of defects over a specified period of time. When planned sampling is used, the defect rate is calculated by dividing the total of all defects by the total population.
Defective Service	A service output that does not meet the associated standard of performance in the Performance Requirements
Denial	A notice advising an applicant/petitioner that the benefit sought is not being granted
Department of Justice	DOJ - the parent executive department to INS
Deportable Alien Control System	DACS - an INS automated system that supports field casework activity associated with aliens who are detained or placed under docket control for deportation
Deportation	The formal procedure wherein an alien is removed from the United States for violating the terms of his/her admission; this procedure is conducted in an administrative setting
Designated Law Enforcement Agency	DLEA - local law enforcement agency (e.g., state police or county sheriff) which enters into an independent agreement with the INS to take fingerprints of INS customers
Direct Mail	The process whereby a petitioner or applicant mails an application or petition directly to the Service Center for adjudication, rather than to a District Office; it includes cases in which fees were received by another INS office
Disk Operating System	DOS - a Microsoft computer system designed for efficient handling of plain text information, commonly used in the 1980s and early 1990s
District Office	DO - INS office which have geographical jurisdiction over applicants/petitioners

TABLE A1-2

TERMS AND DEFINITIONS

Term	Definition
Employment Authorization Documentation	EAD – a document issued by the INS as evidence that the holder is authorized to work in the US
Executive Office of Immigration Review	EOIR – organization with administrative charge of the Board of Immigration Appeals and the Immigration Judges
Express Mail	Generic term for next day delivery of mail using various private carriers and/or the US Postal Service
FBI fingerprint card	FD-258 – form that is used to record an applicant's fingerprints for submission to the FBI.
FBI Query	An automated INS database that tracks fingerprint results
Federal Bureau of Investigation	FBI – DOJ agency that maintains fingerprint records in automated form; INS submits fingerprint forms to the FBI to verify the applicant's identity and to determine if the applicant has a criminal record
Fee	Amount of money charged for the filing of a particular type of application/petition
Fee Exempt	Fee is not required for action.
Fee Received Elsewhere	FRE – applications/petitions that were processed at another INS location where the fee was removed and deposited
Fee Waived	Although a fee is normally charged, for specified reasons the INS may determine not to charge a fee
Fees and Applications Receipt and Entry System	FARES – a mainframe system that documents all the applications and petitions received by all SCs and some DOs
File Connection	Accomplished when applications / petitions / correspondence are matched to and filed within the corresponding A-File
File Control Office	FCO – authorized INS office which controls and maintains A-Files and has jurisdiction over applications/petitions
File Transfer Confirmation	FTC – a CIS transaction (9503) which confirms the receipt of an A-File by the requesting FCO
File Transfer Indication	FTI – a CIS transaction (9502) which indicates the status of a file which has been requested for transfer
File Transfer Maintenance	FTM – a restricted CIS transaction (9505) which updates transfer status and information about an A-File
File Transfer Request	FTR – a CIS Transaction (9501) which initiates the transfer of an A-File from the requesting FCO to another
Fingerprint Masthead and Notification System	FMNS – a software package utilized to complete the FD-258 Fingerprint Card Masthead information; FMNS includes field edits to ensure masthead data is entered correctly; it prints 2-D barcode data on the back of the FD-258, which is scanned by the Machine Readable Data (MRD) process, and contains a scheduling module which generates fingerprint scheduling notices in 2-D barcode

TABLE A1-2

TERMS AND DEFINITIONS

Term	Definition
Fiscal Quarter	FQ – a 3-month period (October 1 – December 31, January 1 – March 30, April 1 – June 30, July 1 – September 30)
Fiscal Year	FY – October 1 through September 30
Frontlog	The backlog of front-end processing, including handling of incoming mail, document preparation, data entry, document scanning, and filing; frontlog time excludes delays awaiting applicant response, FBI fingerprint check, INS adjudicator action, or other actions that occur after the front end processing is completed
Government-Furnished Material	GFM – supplies/equipment in the possession of or directly acquired by the Government and subsequently made available to the Contractor for use in performing services, or for any administrative or general facilities management purpose
Graphical User Interface	GUI – the design and appearance of screens that includes icons, pictures, pop-up menus, etc.
Green Card	Permanent Resident Card
Haitian Refugee Immigration Fairness Act of 1998	HRIFA
I-551	Permanent Resident Card
Immigrant	An alien admitted or adjusted to the status of lawful permanent resident; immigrants are those persons lawfully accorded the privilege of residing permanently in the United States
Integrated Card Production System	ICPS – the hardware and associated software used to manufacture INS cards and Laser Visas for the Department of State, located in Corbin, KY and in the INS Service Centers
Intent to Deny	A notice sent to an applicant/petitioner advising of possible adverse action to be taken on a petition/application
Legalization	A program mandated by Congress which granted temporary and permanent residence to aliens who had resided in the United States unlawfully since at least January 1, 1982
Liquidated Damages	Advance contractual agreement as to the damages one party will suffer if the other fails to perform. The liquidated damages referred to in "Consequences of Contractor's Failure to Perform Required Services" clause are to compensate the Government for additional administrative expenses incurred by the Government as a result of the defects, and represents an amount in addition to the price of the defects. When RSED or RSWED is used, liquidated damages for additional administrative costs incurred by the Government will be applied only to the defects actually identified during the sampling process.

TABLE A1-2

TERMS AND DEFINITIONS

Term	Definition
Machine-Readable Data	MRD – 2-D barcode information scanned from the FD-258 Fingerprint Card created by the FMNS to transmit FD-258 masthead information to the FBI and reduce the amount of manual data entry required by the FBI; it is also used to verify receipt of FD-258 Fingerprint Cards to and from the FBI
Manual Search Request	MSR – a request sent to Headquarters to check microfilm for existing old records and data input into CIS
Marriage Fraud Amendment System	MFAS – INS automated database system for tracking and processing applications to terminate conditional residence status
Maximum Allowable Defect Rate	MADR – Defect Rate for the population above which the Contractor's performance for a particular work requirement is unsatisfactory. MADR does not represent a threshold above which deductions are taken. Deductions to the contract price are taken for all defects (with credit for rework to the extent appropriate) irrespective of whether or not the MADR is exceeded.
Motion	A request to reopen a denied case and to reconsider a decision
Motion on Appeal	A request to re-open an appeal denied by the BIA or AAU
National Archives and Records Administration	NARA – manages the RRC
National Automated Immigrant Lookout System	NAIS – INS automated system that identifies individuals who are suspected of illegal activities or are otherwise of interest for INS enforcement purposes
National File Transfer System	NFTS – an INS automated system that will allow for national file tracking capable of supporting only the National Records Center (NRC) and the transition to a centralized Records policy
National Records Center	NRC – a central repository that stores active and inactive INS files
National Visa Center	NVC – Department of State facility which houses approved petitions until visas become available, after which it is forwarded to the American Consulate
Naturalization	The process whereby immigrants become citizens of the United States
Naturalization Data Integrity Project	NDIP – a project to enable INS to track naturalization cases through all stages of the process; INS stores A-Files and Receipt Files in "buckets" to await the next stage in the process and tracks their location by entering the bucket barcode and file barcode into RAFACS using a barcode wand
Naturalization Quality Procedures	NQP – an INS policy document dated June 5, 1998 designed to standardize and document the processing, interviewing and adjudication of naturalization applications, ensure accurate and effective application of the laws, regulations, policies, and instructions governing Naturalization
Non-Deliverable Mail	Mail that is returned to the sending Service Center stamped non-deliverable by the U.S. Postal Service
Non-Immigrant	An alien in the United States for a temporary period of time to accomplish a specific purpose, e.g., foreign government officials, officials and employees of

TABLE A1-2

TERMS AND DEFINITIONS

Term	Definition
	international organizations, visitors for business and pleasure, aircraft and ship crew members, students, trainees, and temporary workers
Non-Immigrant Information System	NIIS – INS automated system that serves as a central repository of information on non-immigrant alien visitors to the United States
Notice of Action	A document sent to respondent describing intended action on an application/petition
Open Database Connectivity	ODBC – a standard application programming interface for accessing a database
Performance Requirement	Key service outputs of the contract that will be evaluated by the INS to ensure adequate Contractor compliance and to determine the amount of the award fee
Permanent Resident Card	PRC – a card that provides permanent documentation of residence to an alien and allows the alien to work and reside in the United States; also known as a “Green Card”
Petition	A form filed by an individual or organization seeking to classify an alien for the issuance of a nonimmigrant or immigrant visa
Petitioner	One who files a petition on behalf of an alien
Port of Entry	POE – a land, sea, or airport designated for the admission of aliens to the United States
Portable Barcode Reader	PBCR – a hand-held device that uses laser technology to read specially formatted identification labels affixed to file folders, documents, and shelves
Portable Document Format	PDF – computer format of INS forms available on the INS Web site, http://www.ins.usdoj.gov/graphics/formsfee/forms/index.htm
Post Office Non-Deliverable Security	PONDS – secured documents, e.g., EAD cards, returned to the Service Center by the US Postal Service as non-deliverable. The INS stores the document securely for up to 120 days. If the applicant provides a new address, the Service Center mails the document again. Otherwise, the Service Center destroys and accpunts for the document sometime after 120 days.
Quality Assurance	QA (performed by the INS) – management of the output quality and responsiveness of a facility support Contractor. It starts with the early stages of quality development and runs through every phase to contract close-out. The term is used colloquially as meaning post-award surveillance of the Contractor's work. Here, it refers to a Government function to encourage quality programs, attitudes and disciplines on the part of management and workers; assurance means that if the processes are followed management can be “assured” that the product/service quality meets requirements
Quality Assurance Evaluator	QAE – individual assigned to perform quality assurance surveillance of products or services procured, and to record and document the findings
Quality Assurance Plan	QAP – includes a series of individual Surveillance Guides (SG). The QAP also contains a copy of the performance requirements summary (PRS) for reference use

TABLE A1-2

TERMS AND DEFINITIONS

Term	Definition
	by the QAE together with inspection and report forms as appropriate.
Quality Assurance Surveillance Plan	QASP – a written document used by the Government to monitor and control the QA functions and processes, and containing specific methods to monitor Contractor performance
Quality Control	QC (performed by the Contractor) – those processes and methods used by the Contractor to monitor work and observe whether requirements are met, including defining the objective of the job, developing and carrying out a plan to meet that objective, and checking to determine if the anticipated results or objectives are achieved; QC activities developed by the Contractor are validated by the government to ensure that contract deliverables meet requirements
Random Sample	A sampling method in which each service output in a lot has an equal chance of being selected
Receipt and Alien File Accountability and Control System	RAFACS – an INS automated system that tracks the location of individual Receipt and A-Files within a Service Center.
Receipt File	Hard copy file created by the Service Center to hold an application/petition, and all supporting documents for a particular applicant
Receipt Notice	A document confirming receipt by INS
Receipt Number	A 13-character number assigned by CLAIMS to each case accepted for INS processing
Records Operation Handbook	ROH – the INS Office of Records policy manual that provides service-wide guidance and procedures to be used in administering the INS Records Program
Redundant Array of Independent Disks Type 5	A RAID disk storage technique that stores parity information but not redundant data. Parity information can be used to reconstruct data. All read and write operations can be overlapped. RAID 5 is designed for multi-user systems in which performance is not critical and/or which require few write operations.
Re-engineered Naturalization Application Casework System	RNACS – an INS centralized database system that supports the processing of naturalization and nationality cases; it provides identification and background information on active cases and tracks case status
Refugee Asylum and Parole System	RAPS – an INS automated system which provides asylum case tracking and reporting; it is used by INS Asylum offices to record biographical and asylum-related data for any alien applying for asylum
Reject	Application/petition that is not accepted
Remote File Maintenance Facility	RFMF – a file storage facility located in Harrisonburg, VA that provides a temporary test site for new file procedures and operations
Remoted Case	A case sent to another INS office for adjudication
Responsible Party Filing System	RPFS – a random storage and retrieval method that allows the storage of A-Files in available shelf space and that uses RAFACS to track shelf location
Resubmitted Case	A case previously accepted which has been returned to the applicant/petitioner for additional information and is now resubmitted to INS for action

TABLE A1-2

TERMS AND DEFINITIONS

Term	Definition
Rework	Performance of services that were found to be defective as a result of contract surveillance or other validated sources
Sample	One or more work requirements drawn from a population
Sample Size	The number of work requirements selected for evaluation is the sample size
Sampling Guide	A written procedure which states what will be checked, the standard of performance, and how the checking will be done
Sampling Plan	A plan which indicates the performance requirement, the number of units from each lot/batch which are to be inspected (sample size and the criteria for determining the acceptability or rejection), used to develop the sampling guide
Service	A job which calls directly for a Contractor's time and effort and must be performed to the standard and within the performance requirement before the performance can be considered acceptable
Service Center	Service Center – an INS Direct Mail processing facility responsible for receiving and processing applications/petitions, waivers, appeals, and motions filed for immigration and naturalization benefits, along with the appropriate fees.
Service Center Operations	SCO – ISD organization that oversees management of the Service Centers
Special Search	Conducted locally in an attempt to find missing files/documents
Standard	An acknowledged measure of comparison
Student/ Schools System	STSC – an INS automated database system maintaining information on all non-immigrant alien students while they are in the United States, and on the schools authorized to enroll them.
Surveillance	Process of monitoring Contractor performance, either by direct evaluation, observation, or other information source
Surveillance Guide	SG – prepared for each contract requirement or group of contract requirements shown on the PRS, the SG's primary focus is on the service, or end result to be achieved by the Contractor, rather than on the details of how the work is to be accomplished
System Inquiry	A query of various computer databases used by INS
System Update	The addition and/or change to information in the various computer systems
Temporary File	T-File – opened when the original A-File cannot be located or pending receipt of the A-File from another office
Terminal Digit Order	TDO – a manual process of arranging A-Files on open file shelving; the files are prefixed with the letter "A" followed by either 7 or 8 digits; odd numbers are placed on the left tab of the file jacket, and even numbers on the right tab; files are grouped by the 3 terminal digits, then by the first 5 digits, for example, all files with the last 3 digits "726" are placed together and sorted numerically by the first 5 digits; i.e., A30 610 726 would precede A38 078 726 and follow A 18 249 726)
T-File	Temporary File

TABLE A1-2

TERMS AND DEFINITIONS

Term	Definition
Waiver	An application submitted by an alien to overcome a ground of ineligibility for a benefit
Work Distribution Unit	WDU – an ordering system designed to house files pending adjudication until the adjudicators are ready to process them; this system provides an organized method of housing files, tracking pending counts, and assigning work
Work Folder	A file housing only non-record copies of correspondence or other material; all such files are conspicuously annotated "Work Folder"

ATTACHMENT 2. LABOR CATEGORY QUALIFICATIONS - CURRENT CONTRACT

The minimum labor category qualifications under the current contract are detailed below. This is for information only. Offerors are free to propose alternative labor categories. See Section 8 of the Statement of Work.

A2.1 Project Manager - Skill #1

- a. **Duties:** The Project Manager (PM) plans, organizes, and controls the overall activities of the contract at four (4) geographically dispersed sites. The PM is responsible for project management, technical work, quality control, scheduling, and costs associated with various task orders issued under the contract. The PM is the Contractor's primary interface with INS personnel locally and at INS Headquarters. The PM ensures that all Contractor-performed activities at all site locations conform to the terms and conditions of the contract and each individual task order issued.
- b. **General experience:** At least eight (8) years of progressively responsible experience in records or information systems management, including financial, administrative, and project management responsibilities. The Project Manager must possess strong verbal and written communication skills to function in a high level executive environment.
- c. **Specialized experience:** At least four (4) years of experience relating directly to the management and oversight of records or information systems operations, including administering contracts, major project operational oversight, supervising personnel, and interacting with technical and functional personnel at all organizational levels. Specific experience is required in managing a large scale project involving data entry, fee collection and processing, mail operations, and file management, and quality control. Must have a minimum of two (2) years of Government contract management experience.
- d. **Education:** Must have earned an advanced degree (graduate level or equivalent), in a field directly related to management of contracts, records, finances, businesses, or information systems. Related work experience may be substituted for the formal education requirement at a rate of one year of work experience for each year of college credits earned.

A2.2 Assistant Project Manager -- Skill #2

- a. **Duties:** The Assistant Project Manager (APM) assists the PM in planning, organizing, and controlling the overall activities of the contract at all sites (i.e., project management, technical work, quality control, scheduling, and costs associated with various task orders issued under the contract). The APM will have the authority to act on behalf of the PM in the PM's absence or when assigned such duties by the PM.
- b. **General experience:** At least six (6) years of progressively responsible experience in records or information systems management, including financial, administrative, and project management responsibilities. The APM must possess strong verbal and written communication skills to functions in a high level executive environment.
- c. **Specialized experience:** At least three (3) years of experience relating directly to the management and oversight of records or information systems operations, including administering contracts, major project operational oversight, supervising personnel, and interacting with technical and functional personnel at all organizational levels. Specific experience is required in managing a large scale project involving data entry, fee collection and processing, mail operations, and file management, and quality control. Must have a minimum of two (2) years of Government contract management experience.
- d. **Education:** Must have earned an advanced degree (graduate level or equivalent), in a field of study directly related to management of contracts, records, finances, businesses or information systems. Related work experience may be substituted for the formal education requirement at a rate of one year of work experience for each year of college credits earned.

A2.3 Center Manager – Skill #3

- a. **Duties:** The Center Manager (CM) is responsible for the overall contract operation at one of the INS Service Centers. Duties include, but are not limited to, ensuring compliance with all contract and task order requirements; providing supervision and training to Contractor personnel; setting goals and establishing priorities; maintaining liaison with the PM and INS personnel; accounting for fee collections; monitoring contract costs and service quality; and providing technical guidance and problem resolution on records management issues.
- b. **General experience:** At least seven (7) years of progressively responsible experience in records management operations involving data entry, mail operations, active file management, and fee collection. Must have a demonstrated ability to communicate effectively, both orally and in writing.
- c. **Specialized experience:** At least three (3) years experience relating directly to the management or supervision of a records management operations. No substitution of education for specialized experience is permitted.
- d. **Education:** Must be a high school graduate or equivalent.

A2.4 Deputy Center Manager – Skill #4

- a. **Duties:** The Deputy Center Manager (DCM) is responsible for the assisting the Center Manager in the overall contract operation at one of the INS Service Centers. Duties include, but are not limited to, ensuring compliance with all contract and task order requirements; providing supervision and training to Contractor personnel; setting goals and establishing priorities; maintaining liaison with the PM and INS personnel; accounting for fee collections; monitoring contract costs and service quality; and providing technical guidance and problem resolution on records management issues.
- b. **General experience:** At least seven (7) years of progressively responsible experience in records management operations involving data entry, mail operations, active file management, and fee collection. Must have a demonstrated ability to communicate effectively, both orally and in writing.
- c. **Specialized experience:** At least three (3) years experience relating directly to the management or supervision of a records management operations. No substitution of education for specialized experience is permitted.
- d. **Education:** Must be a high school graduate or equivalent.

A2.5 Assistant Center Manager - Skill #5

- a. **Duties:** The Assistant Center Manager (ACM) is responsible for the day-to-day operation of the contract at one of the INS Service Centers. Duties include monitoring the data entry, fee collection/processing, document production, mail and filing operations, and quality control processes to ensure compliance with the contract. Responsible for the day-to-day planning and coordination with other contract supervisors and quality control personnel. Maintains liaison locally with INS personnel and the INS Center Manager.
- b. **General experience:** At least (3) years direct records management experience.
- c. **Specialized experience:** At least (1) year management/supervisory experience in directing a records management program. No substitution of education for specialized experience is permitted.
- d. **Education:** Must be a high school graduate or equivalent.

A2.6 Key Entry Operator (Supervisory) - Skill #6

- a. **Duties:** The Supervisory Key Entry Operator (KEO) is responsible for supervising and training data entry/document production personnel in the data entry and document preparation requirements of this contract. Prepares and maintains statistical reports. Tracks backlogs and frontlogs. Performs data entry via keyboard and/or scanning devices. Performs data verification, where applicable. Designs, sets up, and implements special screen formats for specific data entry equipment. Performs special transactions (e.g., modification/deletion of information from databases) that are restricted to selected KEO personnel. Accounts for and balances fees collected. Provides written procedures for section operations. Provides instructions for assignments to supplement instructions received from higher levels. Assigns work and sets priorities. Furnishes instructions for recurring work. Prepares and maintains daily logs and statistical reports. Verifies document accuracy and maintains accountability of documents during production.
- b. **General Experience:** Three (3) years in data entry, documentation preparation and verification via keyboard. Must possess good oral and written communication skills.
- c. **Specialized experience:** One (1) year experience supervising personnel in data entry or document production activities or demonstrated experience as a team leader or trainer. Formal specialized training may be substituted on the basis of one (1) month of training for one (1) month of supervisory experience, not to exceed twelve (12) months.
- d. **Education:** Must be a high school graduate or equivalent.

A2.7 Key Entry Operator II - Skill #7

- a. **Duties:** The KEO II performs data entry on routine and repetitive work via keyboard and/or various scanning devices, including queries and updates, fee collection, and verification. May perform other routine data entry work in accordance with contract requirements. Produces a variety of different types of organization documents and notices, e.g., Employment Authorization Documentation (EAD), Naturalization Certificates, Certificates of Citizenship, Re-entry Permits, decision notices, etc., using personal computers or work stations linked to a larger computer or local area network. Provides typing support in the preparation of a variety of documents using various types of software (e.g., word processing) and printing equipment to create, copy, edit and print a variety of documents, correspondence, memos, notices, forms, and reports. Maintains logs on documents and correspondence prepared. Prepares document transmittal sheets according to document type for transmittal to another office. Maintains accountability of documents during production. May also perform routine clerical tasks, such as photocopying documents, filing, and case distribution.
- b. **General experience:** At least two (2) years experience in the preparation of documents or transcription of data from various types of sources and formats to computer media, one (1) of which is specialized experience. A Certificate of Initial Mastery in Office Technology may be substituted for two (2) years of experience. Must demonstrate skill in using various types of computer hardware and software.
- c. **Specialized experience:** None.
- d. **Education:** Must be a high school graduate or equivalent.

A2.8 Mail/File Clerk III (Supervisory) - Skill #8

- a. **Duties:** The Supervisory Mail/File Clerk III is responsible for supervising and administering Mail/File Clerks. Coordinates with other sections and branches on work requirements or solving problems. Prepares and maintains statistical reports. Tracks backlogs and frontlogs. Provides written procedures for section operations and instructions for assignments to supplement instructions received from higher level. On occasion, may perform routine work as described for Mail/File Clerk.

18. ATTACHMENT 3. PERFORMANCE REQUIREMENTS

A3.1 Introduction

INS anticipates using award fees to encourage the Contractor to monitor and continuously improve performance. This includes rewarding the Contractor for recommending process changes that result in lowering Government operating costs. INS specified performance standards in each task area related to processes that INS believes are critical to successful performance of the Direct Mail Program. INS reserves the right to add, delete, and revise performance requirements for calls after issuing the initial call. These requirements and their associated performance standards define the work to be performed. INS established these performance requirements based on associated standards after careful analysis of current operations and historical performance against similar established standards.

INS intends to monitor performance closely, and requires the Contractor to do the same. INS will measure performance against these standards for each Government fiscal quarter, and intends to determine the amount of the award fee within 45 calendar days after the end of each quarter.

INS will maintain a separate award fee pool with respect to each Service Center and will maintain performance measures separately for each Service Center. The maximum award fee that may be paid for each quarter will be four percent (4%) of the total amount of approved invoice(s) for that quarter, by Service Center. The maximum award fee paid for a given task area is indicated as a percentage in Attachment A3, Performance Requirements. INS requires that more than fifty percent (50%) of the award fee be paid as bonuses to Contractor/Subcontractor employees at the Service Center for which the award fee is paid. Management personnel shall be excluded from this payment. The Contractor/Subcontractor shall pay the bonuses within 10 business days following receipt of payment from the Government. INS requires proof of payment in the form of copies of the issued checks. The Contractor/Subcontractor may determine the bonus amount to pay to individual employees in any way that the Contractor/Subcontractor believes will encourage continuous process improvement. The remaining award fee may be retained by the company and/or distributed to managers and employees without restriction.

A3.2 Performance Requirements

If the Contractor fails to achieve at least the Acceptable Quality Level (AQL) in one or more of the performance requirements, INS will issue a Contract Discrepancy Report (see Attachment 8) and require the Contractor to correct the deficiencies at no additional cost to the Government (see Attachment 4, Table A4-9, Page A4-20, Item 9-5, Problem Resolution Plan). Regardless of the status of other performance standards assessed within a given task area, any task area with 4 or more Contract Discrepancy Reports issued in a given quarter, shall not receive an award fee.

INS encourages the Contractor to submit alternate and/or additional requirements and standards based on the Contractor's experience and expertise.

Performance requirements are detailed in two sets of tables for each task area, incentivized and non-incentivized performance requirements. The non-incentivized performance requirements are all subordinate to the "Other Requirements" entries on the incentivized performance requirements tables, for which "Measurement" is "None" and "Wgt" is "0%".

In the tables below, the middle column, "Measurement", identifies the general tools and techniques that INS will use to measure performance on each requirement. The next column, "Award Fee", provides a simple, objective determination of the exact amount of award fee for any measured performance level. The rightmost column, "Wgt", allocates the award fee to individual requirements.

The INS has assigned a percentage of the award fee pool to each task area. For example, Section A3.2.1 is the "Mailroom Operations" task. There are 6 incentivized requirements in this area, each with an award fee allocation; e.g., Requirement 1.4 specifies a weight of 2%. This represents 2% of the total (14%) award fee for the Mailroom

Operations task. The sum of these requirements from the "Wgt" column for requirements 1.1 through 1.6 equals 14% total allocation for the Mailroom Operations tasks.

To further clarify, assume that a Contractor's total invoice for a Service Center for given quarter is \$2,500.00. The maximum award fee for all requirements is 4% of the total invoiced amount, or \$100.00. The amount assigned to Mailroom Operations is 14%, or \$14.00. The amount allocated to Requirement 1.4, "Identify and immediately process properly flagged Expedited Processing mail LAW INS policies and procedures," is 2%, or \$2.00. If random sampling detected a 98.5% compliance (see Page A3-3, Item 1.4, Award Fee Column), the Contractor would qualify for 1%, or \$1.00, based on the Award Fee Column, for performance.

A3.2.1 Mailroom Operations - 14% of total award fee

A3.2.1.1 Incentivized Performance Requirements

6.3.1	1.1 Open and pre-sort all mail picked up or received by 12:00 noon on the day received, and all other mail by 12:00 noon on the next business day. All mail must be opened in date order.	90-98% of all business days	Daily Contractor reports	97% - 100% of business days - 6% 96% - ≤ 97% of business days - 4% 95% - ≤ 96% of business days - 3% 93% - ≤ 95% of business days - 2% 90% - ≤ 93% of business days - 1% Less than 90% of business days - 0%	6%
6.3.1	1.2 Properly handle, secure, and deliver USPS Express, registered and certified mail IAW regulations.	No more than 1 incident	Unannounced inspections	0 incidents - 1% 1 or more incidents - 0%	1%
6.3.1	1.3 Properly handle, secure, and deliver classified mail IAW regulations.	No more than 1 incident	Unannounced inspections	0 incidents - 1% 1 or more incidents - 0%	1%
6.3.1	1.4 Identify and immediately process properly flagged Expedited Processing mail IAW INS policies and procedures.	Retrieve 98% of properly flagged mail	Random sampling	99 - 100% of flagged mail - 2% > 98% - < 99% of flagged mail - 1% 98% or less of flagged mail - 0%	2%
6.3.1	1.5 Deliver outgoing mail to the Post Office or bulk mail presort Contractor on the metered date IAW the local mail pickup/delivery schedule.	No more than 2 incidents	Unannounced inspections	0 incidents - 1% 1 incident - 0.5% More than 1 incident - 0%	1%
6.3.1	1.6 Date and time stamp all incoming applications, petitions, and correspondence before distribution IAW 8 CFR 103.2(7).	Date and time stamp 98% of all incoming mail/deliveries before it leaves mail operations	Behavior audits, record audits, random sampling, and customer complaints	99 - 100% of flagged mail - 3% > 98% - < 99% of flagged mail - 1% 98% or less of flagged mail - 0%	3%

A3.2.1.2 Non-incentivized Performance Requirements

6.3.1	1.7 Other Requirements - Incoming Mail			Behavior audits, record audits, customer complaints	
6.3.1	1.7.1 Receive and/or pick up all incoming mail from the USPS at least twice daily.	Receive/pick up mail/deliveries twice per day.			
6.3.1	1.7.2 Provide scheduled vehicle transportation for SC mail between the Post Office and the SC mailroom at each SC, among all building locations at each SC, and to other locations as specifically designated by INS.	Make scheduled pick-up/delivery runs within 15 minutes of designated schedule 95% of the time.		Record audits and customer complaints	

1.7.3	Presort mail IAW INS and local policy based on urgency, sensitivity, special classification, and additional or special processing.	6.3.1	Correctly presort 98% of all mail and courier-delivered items.	Behavior audits, random sampling, and customer complaints
1.7.4	Safeguard all mail until it can be delivered to the designated or appropriate address.	6.3.1	Maintain proper control over and deliver 98% of mail to the designated or appropriate addresses.	Behavior audits, and customer complaints
1.7.5	Maintain control logs on special services mail.	6.3.1	Correctly log 98% of certified and registered mail received.	Behavior audits, record audits, contractor reports, and customer complaints
1.7.6	Sort, assemble, and batch all incoming unclassified mail by action type, kind, and destination, and classified or non-classified.	6.3.1	Correctly sort and batch 98% of all unclassified mail and courier-delivered items.	Behavior audits, random sampling, and customer complaints
1.7.7	Reserved. For classified envelopes (Secret, Confidential, designated for INS Headquarters intelligence) the Contractor shall deliver to the designated or appropriate INS personnel or maintain in secure storage.	6.3.1	Maintain proper control and deliver 100% of classified material to the designated or appropriate INS personnel.	Behavior audits, record audits, and customer complaints
1.7.8	Deliver without opening any mail addressed to Equal Employment Opportunity (EEO) or Personnel, and any other mail designated not to be opened by the mailroom.	6.3.1	Properly deliver without opening 100% of mail addressed to EEO or Personnel, and any other mail designated not to be opened by the mailroom.	Behavior audits and customer complaints
1.7.9	Use an INS-provided current Office Roster for distribution of mail.	6.3.1	Use the correct, current Office Roster for mail distribution 98% of the time	Behavior audits, record audits, and customer complaints
1.7.10	Deliver internal office mail to the appropriate locations (workstations or staging area) at all Service Center buildings. Delivering internal office mail may include sorting mail by mail-delivery location or Adjudication Officer number.	6.3.1	Receive fewer than 5 customer complaints per month concerning undelivered mail.	Customer complaints
1.7.11	Safeguard and maintain accountability of all fees collected, unprocessed or rejected while in the mailroom IAW the applicable INS and Department of Treasury manuals and directives.	6.3.1	Safeguard, account for and properly handle 100% of monies received.	Behavior audits, record audits, random sampling, and customer complaints
1.7.12	Process Post Office Non-Deliverable Document Security (PONDSD) mail. Maintain accountability for PONDSD documents through the use of control logs. Adhere to applicable security policies and procedures.	6.3.1	Maintain proper control over and properly log 99% of PONDSD mail.	Behavior audits, record audits, and customer complaints

Service Center Operations Support Services
Statement of Work
Attachment 3

Immigration and
Naturalization Service

6.3.1	1.8 Other Requirements - Outgoing Mail	Behavior audits, record audits, and customer complaints
6.3.1	1.8.1 Pick up and process internal outgoing mail (metering flats, letters, and packages) from each designated pick-up point in the Service Centers at least twice per day.	Behavior audits and customer complaints
6.3.1	1.8.2 Review outgoing mail for accuracy and completeness.	Behavior audits, record audits, and customer complaints
6.3.1	1.8.3 Identify and correct improperly processed mail. Return to INS any mail that the Contractor cannot correct.	Behavior audits, record audits, and customer complaints
6.3.1	1.8.4 Outgoing mail shall have properly affixed the appropriate postage for its weight and class.	Behavior audits and customer complaints
6.3.1	1.8.5 Envelopes, boxes, and packages shall be properly sealed.	Behavior audits, record audits, and customer complaints
6.3.1	1.8.6 Properly process registered and certified mail.	Behavior audits, record audits, and customer complaints
6.3.1	1.8.7 Separate and prepare outgoing bulk mail identified by INS direction for presort mail contract.	Behavior audits, record audits, and customer complaints
6.3.1	1.8.8 Keep log of certified and registered mail.	Behavior audits, record audits, and customer complaints
6.3.1	1.8.9 Prepare computer-generated mailers for mailing.	Behavior audits, record audits, and customer complaints
6.3.1	1.8.10 Prepare and consolidate USPS Express Mail and shipments for pickup by commercial carriers.	Behavior audits, record audits, and customer complaints

A3.2.2 File Assembly - 11% of total award fee

A3.2.2.1 Incentivized Performance Requirements

2.1 Prepare files for data entry IAW INS policies and procedures.	6.3.2	96% of files correctly prepared	Random sampling	99% - 100% of files correct - 7% 98% - < 99% of files correct - 5% 97% - < 98% of files correct - 3% > 96% - < 97% of files correct - 1% 96% or less of files correct - 0%	7%
2.2 Flag files for rejection IAW INS policies and procedures - correctly identify rejects.	6.3.2	96% of rejectable files correctly rejected	Random sampling	99% - 100% of files correct - 2% 98% - < 99% of files correct - 1.5% 97% - < 98% of files correct - 1% > 96% - < 97% of files correct - 0.5% 96% or less of files correct - 0%	2%
2.3 Flag files for rejection IAW INS policies and procedures - avoid incorrectly rejecting acceptable files.	6.3.2	98% of rejected files correctly rejected	Random sampling	99% - 100% of files correct - 2% > 98% - < 99% of files correct - 1% 98% or less of files correct - 0%	2%

A3.2.2.2 Non-incentivized Performance Requirements

2.4 Other Requirements - File Assembly	
2.4.1 Review applications/petitions and documents for completeness, IAW INS policy and procedures. Identify problem/deficient applications/petitions or documents. Make corrections when possible or return to the INS or applicant, as appropriate.	6.3.2 Identify 98% of problem/deficient applications/petitions/documents. Incorrectly identify errors in no more than 2% of applications/petitions/documents.
2.4.2 Manually reject, track and account for applications and petitions that are not submitted IAW INS policy and procedures.	6.3.2 Correctly manually reject 98% of problem/deficient applications/petitions. Incorrectly identify errors in no more than 2% of applications/petitions.
2.4.3 Annotate worksheets with appropriate action for various application/petition cases.	6.3.2 Annotate worksheets with at least 96% accuracy.
2.4.4 Assemble applications/petitions and supporting documentation and place in A-File or Receipt File folder IAW INS procedures.	6.3.2 Correctly assemble file-assembly and receipt-duty mistakes-of-file-assembly with an error of less than 1%.
2.4.5 Maintain logs of manual rejects (those not rejected through CLAIMS, i.e., non-jurisdictional cases, etc.)	6.3.2 Correctly log 99% of manual rejects.
	Behavior audits, record audits, and customer complaints.
	Behavior audits, record audits, and customer complaints.
	Behavior audits, record audits, and customer complaints.
	Behavior audits, record audits, and customer complaints.
	Record audits and customer complaints.

A3.2.3 Data Collection, Capture, and Scanning- 24% of total award fee

A3.2.3.1 Incentivized Performance Requirements

<p>3.1 Flag files for rejection IAW INS policies and procedures - correctly identify rejects.</p>	<p>6.3.3</p>	<p>96% of rejectable files correctly rejected</p>	<p>Random sampling</p>	<p>99% - 100% of files correct - 2% 98% - < 99% of files correct - 1.5% 97% - < 98% of files correct - 1% > 96% - < 97% of files correct - 0.5% 96% or less of files correct - 0%</p>	<p>2%</p>
<p>3.2 Flag files for rejection IAW INS policies and procedures - avoid incorrectly rejecting acceptable files.</p>	<p>6.3.3</p>	<p>98% of rejected files correctly rejected</p>	<p>Random sampling</p>	<p>99% - 100% of files correct - 2% > 98% - < 99% of files correct - 1% 98% or less of files correct - 0%</p>	<p>2%</p>
<p>3.3 Accurately enter Critical Data, which INS defines as A-Number, Date of Birth, Name of applicant/petitioner, Address of applicant/petitioner, and all monetary amounts.</p>	<p>6.3.3</p>	<p>99% of these fields be correct</p>	<p>Random sampling</p>	<p>99.7% - 100% of files correct - 6% 99.5% - < 99.7% of files correct - 6% 99.3% - < 99.5 % of files correct - 4% > 99% - < 99.3% of files correct - 2% 99% or less of files correct - 0%</p>	<p>8%</p>
<p>3.4 Accurately enter Non-critical Data, i.e., all data except those specified as Critical Data.</p>	<p>6.3.3</p>	<p>96% of these fields be correct</p>	<p>Random sampling</p>	<p>99% - 100% of files correct - 6% 98% - < 99% of files correct - 4% 97% - < 98 % of files correct - 3% > 96% - < 97% of files correct - 2% 96% or less of files correct - 0%</p>	<p>6%</p>
<p>3.5 Scan biometrics information from documents, cropping, scaling, and adjusting contrast and brightness as necessary to achieve acceptable quality image for card production.</p>	<p>6.3.3</p>	<p>96% of these images to be acceptable by QA</p>	<p>Random sampling</p>	<p>99% - 100% of files correct - 6% 98% - < 99% of files correct - 3% 97% - < 98 % of files correct - 2% > 96% - < 97% of files correct - 1% 96% or less of files correct - 0%</p>	<p>6%</p>

A3.2.3.2 Non-Incentivized Performance Requirements

3.6 Other Requirements – Data Collection, Capture, and Scanning	6.3.3		
3.6.1 Maintain accountability of all incoming applications, petitions, and other material during pre- and post-data entry processing in accordance with INS procedures.	6.3.3	Maintain proper control over 99% of items processed.	Behavior audits and customer complaints.
3.6.2 Review applications/petitions and documents for completeness and accuracy, in accordance with INS policy and procedures. This will, when applicable, entail reviewing for correct fee and signature on check/application.	6.3.3	Identify 95% of problem/deficient applications/ petitions/documents.	Behavior audits, record audits, and customer complaints.
3.6.3 Annotate appropriate completed actions on processing worksheets, if applicable.	6.3.3	Annotate worksheets with at least 96% accuracy.	Behavior audits, record audits, and customer complaints.
3.6.4 Identify problem/deficient applications/petitions or documents. Make corrections when possible or return to the INS or applicant, as appropriate.	6.3.3	Make appropriate corrections in 95% of the cases where it is possible to do so. At least 99% of changes are correct.	Behavior audits, record audits, and customer complaints.
3.6.5 Generate and affix bar codes or other automated identifiers to applications/petitions and file jackets.	6.3.3	Generate and affix barcodes correctly to 99.98% of files, applications, and petitions.	Behavior audits, record audits, and customer complaints.
3.6.6 Ensure that each assigned pre-printed A-File jacket number matches the electronic or automated identifier, e.g., barcodes.	6.3.3	No more than 0.5% of files contain items that do not belong with the file. At least 99.5% of electronic identifiers, e.g., barcodes, match pre-printed file jacket numbers.	Record audits and customer complaints.
3.6.7 Maintain logs of manual rejects (those not rejected through CLAIMS, i.e., non-jurisdictional cases, etc.)	6.3.3	Correctly log 99% of manual rejects.	Record audits and customer complaints.
3.6.8 Perform key entry/scanning of data into various INS automated systems using formatted input screens.	6.3.3	Follow proper procedures in data entry/scanning for 98% of documents processed.	Behavior audits, record audits, and customer complaints.
3.6.9 Perform system data updates to modify, update and correct data contained in automated systems with information contained in supplemental documents, INS decisions, forms, and other documentation submitted to or provided by the INS.	6.3.3	Correctly input all Critical Data, i.e.g., A-Number, money amounts, names, addresses, and decision updates on 99.5% of applications/petitions. Correctly input all Non-critical Data on 96.5% of applications/petitions.	Record audits and customer complaints.

<p>3.6.10 Correct data in automated systems according to INS specified schedule-upon notification by the INS, or upon identification through Contractor quality control procedures.</p>	<p>6.3.3</p>	<p>Correctly input all key-critical data, i.e.g. A-Number, money amounts, addresses) on 99.5% of applications/petitions. Correctly input all non-key-critical data on 96.5% of applications/petitions. Correctly scan, crop, position, and adjust contrast as required for 95% of fingerprints.</p>	<p>Record audits and customer complaints.</p>
<p>3.6.11 Scan and/or process fingerprint submissions, with appropriate data entry, verification, manifesting and mailing to the FBI.</p>	<p>6.3.3</p>	<p>Participate in 100% of required prototype tests and/or other research efforts as directed by INS.</p>	<p>Record audits.</p>
<p>3.6.12 Support prototype testing of new or enhanced technology and equipment within the Direct Mail Program.</p>	<p>6.3.3</p>	<p>Produce all the correct screen prints for 96% of files requiring screen prints</p>	<p>Behavior audits and customer complaints</p>
<p>3.6.13 Perform system queries and searches on INS automated systems upon request and obtain screen printouts when necessary for various applications/petitions, miscellaneous material and other correspondence.</p>	<p>6.3.3</p>	<p>Correctly research and apply address changes in 98% of required cases.</p>	<p>Record audits and customer complaints.</p>
<p>3.6.14 Research automated databases and documents for address updates and corrections for non-deliverable mail, including updating address records and re-mailing or redirecting non-deliverable mail.</p>	<p>6.3.3</p>	<p>Correctly log 99% of manual rejects.</p>	<p>Record audits.</p>
<p>3.6.15 Maintain logs of manual rejects (those not rejected through CLAIMS, i.e., non-judicial cases, etc.)</p>	<p>6.3.3</p>	<p>Correctly process 98% of fingerprint cards.</p>	<p>Record audits and customer complaints.</p>
<p>3.6.156 Process fingerprint cards, including but not limited to FD-258 tracking reviews, obtaining screen printouts, and manifesting for fingerprint appointments.</p>	<p>6.3.3</p>	<p>Correctly process 98% of fingerprint cards.</p>	<p>Record audits and customer complaints.</p>

A3.2.4 Document Preparation – 4% of total award fee

A3.2.4.1 Incentivized Performance Requirements

<p>4.1 Perform necessary tasks to support production of various types of documents and notices, including:</p> <ul style="list-style-type: none"> • Employment Authorization • Documentation (EAD) • Decision notices • Permanent Resident Cards ("Green Cards") • Reentry Permits • Others as indicated on each call 	<p>6.3.4</p>	<p>98% of these documents to be acceptable by QA</p>	<p>Random sampling</p>	<p>99% - 100% of files correct – 4% > 98% - < 99% of files correct – 2% 98% or less of files correct – 0%</p>	<p>4%</p>
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A3.2.4.2 Non-incentivized Performance Requirements

<p>4.2 Other Requirements – Document Preparation</p>	<p>6.3.4</p>	<p>Maintain accountability for at least 99.5% of documents produced.</p>	<p>Behavior audits and customer complaints</p>
<p>4.2.1 Maintain accountability and safeguard all documents in accordance with INS procedures.</p>	<p>6.3.4</p>	<p>Maintain accountability for at least 99.5% of documents destroyed.</p>	<p>Record audits, behavior audits, customer complaints.</p>
<p>4.2.2 Perform sensitive document destruction IAW lawfully approved federal records control schedules.</p>	<p>6.3.4</p>	<p>Maintain accountability for at least 99.5% of documents destroyed.</p>	<p>Record audits, behavior audits, customer complaints.</p>

A3.2.5 Fee Collection and Processing - 15% of total award fee

A3.2.5.1 Incentivized Performance Requirements

5.1 Send fees for deposit within 1 business day following receipt in the facility.	6.3.5	All but 4 business days per quarter	Audit of 100% of daily deposit records with a random sampling of line items within each deposit, and customer complaints	All business days - 12% All but 1 business day - 8% All but 2 business days - 6% All but 3 business days - 4% More than 3 business days - 0%	12%
5.2 Correctly prepare bank deposit slips and safeguard with checks fee-match deposit slip.	6.3.5	No more than 1 incident	Audit of 100% of daily deposit records with a random sampling of line items within each deposit, and customer complaints	0 incidents - 3% 1 or more incidents - 0%	3%

A3.2.5.2 Non-Incentivized Performance Requirements

5.3 Other Requirements - Fee Collection and Processing		6.3.5			
5.3.1 Assure accurate and accountable collection and handling of currency and acceptable negotiable instruments delivered to the site.			Follow INS policies and procedures exactly for accountable collection and handling of fees in 99.5% of observed cases.	Behavior audits, customer complaints, and record audits.	
5.3.2 Account for all fees in their possession from the time of receipt until submitted to the bank for deposit, returned by mail to the applicant/petitioner, or until given to INS for action.			Produce accurate and complete fee receipt/acknowledgment with less than 1% of receipts having errors or being missing.	Record audits and customer complaints.	
5.3.3 Generate the applicable manual fee receipt/acknowledgment in a timely, complete, and accurate manner.			Correctly reject 98% of incorrect payments.	Record audits, and customer complaints.	
5.3.4 Reject payments as required within one business day and account for rejected transactions.			Follow Treasury and INS policies and procedures for tracking fees and payments in 99.8% of cases.	Record audits and customer complaints.	
5.3.5 Assure tracking capability for all: incoming currency, payment instruments, outgoing deposits, transactions returned to the sender, and transactions with problems IAW Treasury Finance Manual.			Prepare 100% complete and accurate documentation to initiate a refund for 99% of refund requests designated by INS.	Record audits and customer complaints.	
5.3.6 Prepare appropriate documentation to initiate a refund for an applicant based on an INS decision.					

A3.2.6 Fileroom Operations - 20% of total award fee

A3.2.6.1 Incentivized Performance Requirements

6.1 Retrieve and deliver available files within the SC within 1 working day after request.	6.3.6	Fill 98% of requests within 1 working day	Random sampling	99.5% - 100% - 5% 99.0% - < 99.5% - 3% 98.5% - < 99.0% - 2% > 98% - < 98.5% - 1% 98% or less - 0%	5%
6.2 Request files from other locations within 1 working day of data entry or notification of need.	6.3.6	Enter 98% of requests within 1 working day	Random sampling	99.5% - 100% - 5% 99.0% - < 99.5% - 3% 98.5% - < 99.0% - 2% > 98% - < 98.5% - 1% 98% or less - 0%	5%
6.3 Scan document barcodes into RAFACS or NITES upon their movement.	6.3.6	Record 99% of filings accurately	Random sampling	99.6% - 100% - 5% 99.4% - < 99.6% - 3% 99.2% - < 99.4% - 2% > 99% - < 99.2% - 1% 99% or less - 0%	5%
6.4 Properly arrange and Secure documents in proper the correct folders and store them in the proper areas IAW INS policies and procedures.	6.3.6	Store-Arrange and secure 99% of documents in the proper-arranged folders stored in the proper area	Random sampling	99.5% - 100% - 5% > 99% - < 99.5% - 2% 99% or less - 0%	5%

A3.2.6.2 Non-Incentivized Performance Requirements

6.5 Other Requirements - Fileroom Operations		6.3.6			Record audits and customer complaints.
6.5.1 Receive files from internal/external organizations and ensure the update to CIS based on the local tracking system (RAFACS or NITES), within 2 business days of receipt in the facility for external files, and within 1 business of receipt in the fileroom for internal files.	6.3.6	Properly update CIS and RAFACS or NITES for 99% of files received.			
6.5.2 Perform system update and place files on shelves.	6.3.6	Move 99.8% of files to the proper shelf location. Properly update RAFACS or NITES for			Behavior audits, record audits, and customer complaints.

	99.8% of files moved.			
6.5.3	Annotate appropriate actions on case processing worksheets in accordance with INS procedures.	6.3.6	Annotate worksheets with at least 98% accuracy.	Behavior audits, record audits, and customer complaints.
6.5.4	Manifest cases and accountable documents being transferred as required.	6.3.6	Correctly manifest 99% of cases being transferred, as required.	Record audits and customer complaints.
6.5.5	Perform Manual Search Request (MSR) IAW INS policies and procedures within 1 business day of data entry or notification of need.	6.3.6	Properly and timely complete MSRs 90% of the time.	Record audits and customer complaints.
6.5.6	Follow-up on FIRs and MSRs monthly or as required in INS policies and procedures.	6.3.6	Retrieve files from FIR/MSR within 1 business day of the file becoming available.	Record audits and customer complaints.
6.5.7	Match correspondence/evidence and secure-secure with corresponding files (File Connections) and update systems as required IAW INS policies and procedures within 3 days of receipt in the facility.	6.3.6	Correctly match 98% of matching files with correspondence/evidence and update systems as required.	Record audits and customer complaints.
6.5.8	Consolidate files (i.e., A-Files, Receipt Files, and T-Files, manual and automated) when two or more files exist relating to the same person IAW INS policies and procedures within 3 days of receipt in the facility.	6.3.6	Correctly consolidate 98% of matching files.	Record audits and customer complaints.
6.5.9	Perform A-File Transfer Maintenance (FTM).	6.3.6	Correctly perform 98% of FTMs.	Record audits and customer complaints.
6.5.10	Perform system queries and system updates.	6.3.6	Correctly perform system queries and system updates in 98% of cases.	Behavior audits, record audits, and customer complaints.
6.5.11	Obtain screen printouts for various applications/petitions, miscellaneous material and other correspondence.	6.3.6	Correctly obtain required screen printouts for 98% of requests.	Record audits and customer complaints.
6.5.12	Perform file pulls as requested.	6.3.6	Complete 98% of requested file pulls on time, correctly, and completely.	Record audits and customer complaints.
6.5.13	Perform file sorts including but not limited to: form types, office, date, and category. Maintain designated file holding areas for these files.	6.3.6	Complete 96% of requested file sorts on time, correctly, and completely.	Record audits and customer complaints.
6.5.14	Create and verify A-Files for cases IAW INS policies and procedures. Conduct system search to determine if an A-File exists prior to A-File creation.	6.3.6	Properly create A-Files for 99% of cases requiring them.	Record audits and customer complaints.
6.5.15	Pack and label files for shipping to appropriate file depository.	6.3.6	Correctly pack and label 99% of files for shipping to a file depository.	Behavior audits, record audits, and customer complaints.
6.5.16	Photocopy or scan documents and files, or parts thereof.	6.3.6	Complete 98% of photocopy requests on time, correctly, and completely.	Behavior audits, record audits, and customer complaints.

Attachment 3

6.5.17 Perform file audits and reconcile discrepancies in accordance with the Record Operations Handbook and the CIS Users Manual.	6.3.6	Follow INS policies and procedures in conducting file audits.	Record audits and customer complaints.
6.5.18 Perform systems error report reconciliation (i.e., CIS and /RAFACS or NIES interface mismatched report and A- and T-File consolidation report) for all files within the SCs IAW INS directives, policies, and automated systems operating manuals so as to maintain and verify the integrity of files location/information in INS automated systems within prescribed time periods specified when the reports are delivered.	6.3.6	Follow INS policies and procedures in reconciling error reports.	Record audits and customer complaints.
6.5.19 Maintain tracking of blank, pre-printed A-File jackets, under Contractor control, in accordance with the Records Operational Handbook.	6.3.6	Ensure that 100% of unissued A-File jackets are traceable.	Record audits
6.5.20 Reconcile periodic and recurring reports within the timeframe prescribed upon delivery.	6.3.6	Follow INS policies and procedures in reconciling reports.	Record audits and customer complaints.
6.5.21 Retrieve and send available files to the mailroom for shipping within 1 working day after request.	6.3.6	Fill 98% of requests within 1 working day	Random sampling

A3.2.7 Word Processing – 0% of total award fee

A3.2.7.1 Incentivized Performance Requirements

None			None	0%

A3.2.7.2 Non-Incentivized Performance Requirements

7.1 Other Requirements – Word Processing	6.3.7			
7.1.1 The Contractor shall produce a variety of standard documents, such as correspondence, form letters, reports, tables, charts, presentations, and other printed material within the time specified for each document.	6.3.7	At least 95% of documents are correct and delivered on time.	Document audits and customer complaints.	
7.1.2 The Contractor shall edit and reformat written or electronic drafts.	6.3.7	At least 95% of documents are correctly edited and delivered on time.	Document audits and customer complaints.	

A3.2.9 Project Management -- 0% of total award fee

A3.2.9.1 Incentivized Performance Requirements

None		None	0%
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A3.2.9.2 Non-incentivized Performance Requirements

9.1 Other Requirements - Project Management			
9.1.1	Submit deliverables on time IAW call requirements.	6.3.9	100%
9.1.2	Submit security clearance forms in a timely and accurate manner.	6.3.9.5	98% of security clearance forms completed properly
9.1.3	Revise Contractor SOPs for all operations within 3 business days following any change in procedures. For new procedures, e.g., new forms, submit new SOPs within 5 business days.	6.3.9.4	95% on-time submission
9.1.4	Within 30 days of the date of award of the BPA, the Contractor shall have a corporate office in the Washington, DC metropolitan area to provide management, personnel and administrative supervision for all work performed in response to this Statement of Work.	6.3.9.2, 8.2	Contractor PM shall have an office in the Washington, DC metropolitan area within 30 days after award of the BPA.
9.1.5	The Contractor shall appoint a Project Manager (PM) to oversee the performance of all work. This PM will be the primary liaison with the HQCOTR and will be located in the Contractor's Washington, DC metropolitan office.	6.3.9.1, 6.3.9.2, 8.2	Contractor PM shall be available full-time beginning 7 days after award of the BPA.
9.1.6	The PM shall be cognizant of all deliverables and performance matters, including the weekly progress report.	6.3.9.1, 6.3.9.2, 8.2	PM shall be cognizant of 95% of deliverables and performance issues
9.1.7	At a minimum, the PM shall personally visit each of the Service Center sites at least once per quarter for performance reviews, and report findings of review within five (5) working days in writing to the HQCOTR.	6.3.9.1, 6.3.9.2, 8.2	PM shall make 95% of required quarterly site visits. PM shall submit 95% of required reports on time to the HQCOTR.

<p>9.1.8 The Contractor shall develop a Project Management Plan (PMP) to address Contractor strategies to manage fluctuations and growth in workload to support the INS requirements. The Contractor shall include in the PMP plans for meeting workload surges of up to 20% above the baseline workload. This may include such measures as creating pools of INS-cleared intermittent employees and other appropriate measures. The Contractor's solution should be specific and quantitative. This PMP shall include at least the following items:</p> <ul style="list-style-type: none"> • Transition plan to include phase-in and phase-out • Daily operational procedures for accomplishing the tasks in this statement of work • Schedules and milestones • Personnel Plan <ul style="list-style-type: none"> ▪ Organizational charts ▪ Personnel structure charts ▪ Recruitment and retention ▪ Clearance processing ▪ Placement of new hires ▪ Subcontracting ▪ Methodology to ensure that personnel qualifications are in compliance with job descriptions ▪ Workload management contingency plans to ensure continuity of every operation during special and emergency situations such as personnel shortages, leave, sickness, walkout, system downtime, etc. • Training Plan Overview <ul style="list-style-type: none"> ▪ Training schedule ▪ Requirements for new hires in procedures, terminology and objectives ▪ Standard Operating Procedures (SOP) (data entry/scanning, mail, file, fee collection/processing, document preparation, QC) ▪ Security requirements and compliance to include fees, unprocessed/mail, employee identification, operation requirements such as key control, data systems security, passwords, security clearance requests and monitoring driver licensing and driving records of staff responsible for 	<p>6.3.9.1, Pg. A4-1 Item 3</p> <p>Pg. A4-1 Item 4</p>	<p>100% of documents shall be acceptable to the INS. 100% of documents shall be delivered to the INS on time.</p> <p>Document audits</p>
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<p>picking up mail from USPS and file security</p> <ul style="list-style-type: none">▪ Privacy Act procedures▪ Trainer and training evaluation procedures▪ Ongoing training for SOP changes and certifying that all employees are informed/trained <ul style="list-style-type: none">• Progress reporting methodology• Quality Control Plan Overview<ul style="list-style-type: none">• Measurement of processes' ability to produce the results required by the Government• Compliance with applicable Government/INS regulations• Monitoring procedures and improving processes• Quality Control reporting on review/audit results• Problem Resolution Plan• Identifying, responding to, and correcting deficiencies or shortcomings identified through the INS feedback process• Improving customer service levels• Configuration Management Plan Overview• Contingency Plans<ul style="list-style-type: none">▪ Emergency/Disaster Contingency Plan▪ Strike Contingency Plan	
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<p>9.1.9 The Training Plan shall address at least the following issues:</p> <ul style="list-style-type: none"> • Types of training • Training schedule • Training syllabus for <ul style="list-style-type: none"> ▪ New hire training in procedures, terminology and objectives ▪ Standard Operating Procedures (SOP), including ADP systems, data entry/scanning, mailroom, fileroom, fee collection/processing, document preparation, and QC ▪ Security requirements and compliance to include fees, unprocessed/mail, employee identification, operation requirements such as key control, data systems security, passwords, security clearance requests and monitoring driver licensing and driving records of staff responsible for picking up mail from USPS and file security ▪ Privacy Act procedures ▪ Standards of conduct • Training evaluation procedures • Procedures to identify new and remedial training requirements • Procedures to select and assign people to attend training 	<p>6.3.9.6, Pg. A4-1 Item 5</p> <p>Plan and all revisions shall be acceptable to the INS. Plan and all revisions shall be delivered to the INS on time.</p>	<p>Document audits</p>
<p>9.1.10 The CM Plan shall include, at a minimum, the following:</p> <ul style="list-style-type: none"> • Coordination of SOP changes among the SCs • Notification of affected INS and Contractor personnel • Approval procedures for process and SOP documentation revisions • Electronic and hard copy distribution of SOP and revisions • Document change control procedures, e.g., border marking and date stamping 	<p>6.3.9.4, Pg. A4-3 Item 15</p> <p>Plan and all revisions shall be acceptable to the INS. Plan and all revisions shall be delivered to the INS on time.</p>	<p>Document audits</p>
<p>9.1.11 The Contractor shall advise the HQCOTR, On-Site COTR, Center Managers, and the affected Assistant Center Managers whenever any SOP changes are made.</p>	<p>6.3.9.4, Pg. A4-3 Items 15 and 16</p> <p>Correctly notify all appropriate personnel of any SOP changes for 95% of such changes.</p>	<p>Documentation audits and customer complaints</p>
<p>9.1.12 Each revision of the SOPs shall be issued in hard copy and electronically.</p>	<p>6.3.9.4, Pg. A4-3 Items 15 and 16</p> <p>Correctly produce and distribute electronic and hard copy SOP revisions for 100% of SOP revisions.</p>	<p>Documentation audits and customer complaints</p>

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9.1.13 Electronic copies of approved SOPs shall be accessible in read-only format to Headquarters (HQ) and all the SCs.	6.3.9.4, Pg. A4-3 Items 15 and 16	Correctly publish read-only electronic SOP revisions for 100% of SOP revisions.	Documentation audits and customer complaints.
9.1.14 Changes to the SOPs shall be made in writing using a formal configuration management (CM) process acceptable to the Government.	6.3.9.4, Pg. A4-3 Items 15 and 16	Follow approved CM process for 99% of SOP changes.	Documentation audits and customer complaints.

- A3.2.10 Business Process Reengineering – 100% of award fee under separate BPR order
- A3.2.10.1 Incentivized Performance Requirements



A3.2.10.2 Non-Incentivized Performance Requirements

10.2 Other Requirements – Business Process Reengineering		
10.2.1 Develop Requirements Analysis IAW System Development Life Cycle Manual Chapter 5.	6.3.10	Checklists in System Development Life Cycle Manual Chapter 5
	6.3.10.1	Address all topics listed in System Development Life Cycle Manual Chapter 5

A3.2.11 Overarching Standards – 12% of total award fee

A3.2.11.1 Incentivized Performance Requirements

11.1 Properly handle, deliver, and secure cash and fees LAW INS policies and procedures through mail, data entry, and file assembly operations to deposit.	6.3.1 – 6.3.5	No more than 1 incident	Unannounced inspections	0 incidents – 10% 1 or more incidents – 0%	10%
11.2 Maintain inventory of consumables, e.g., ribbons, toner cartridges, blank forms, etc. Notify the appropriate INS personnel when additional consumables and/or equipment repairs are needed.	6.3.1 – 6.3.9	Notify the appropriate INS personnel with sufficient time to avoid work stoppages 99% of the time.	Behavior audits, record audits, and customer complaints	0 incidents – 2% 1 or more incidents – 0%	2%

ATTACHMENT 4. SCHEDULE OF DELIVERABLES

Deliverable	Acceptance Criteria	Schedule	Delivery Instructions	Acceptance Period	Copies
1 - Fee Collection Plan	See SOW Section 6.3.5, Task 5 - Fee Collection and Processing, and Requirements 5.1 through 5.3.6 and 11.1 in Attachment 3, Performance Requirements	A Draft Fee Collection Plan is due within 30 days following award of the BPA. The Final Plan is due within 15 days following receipt of Government comments. The Plan shall be updated as necessary to reflect changes to operational procedures and/or Government policy. Draft plan revisions shall be delivered within 2 weeks after notification of any change. Final plan revisions shall be delivered within 1 week after receipt of Government comments.	The Contractor shall deliver the Fee Collection Plans to the HQCOTR.	The INS must review Draft, Final, and Revised Fee Collection Plans, and accept or reject them within 15 days following receipt.	6 hard copies and 1 electronic copy
2 - Quality Control Plan	See SOW Section 6.3.8, Task 8 - Quality Control and Requirements 8.1 through 8.2.1 in Attachment 3, Performance Requirements	A Draft Plan is due within 90 days following award of the BPA. The Final Plan is due within 30 days following receipt of Government comments. The Plan shall be updated as necessary to reflect changes to operational procedures and/or Government policy. Draft plan revisions shall be delivered within 2 weeks after notification of any change. Final plan revisions shall be delivered within 1 week after receipt of Government comments. The Contractor shall submit a copy of each update to the HQCOTR and the On-Site COTR 5 business days prior to the implementation of the changed procedure. To maintain configuration control on the approved Quality Control Plan, the On-Site COTRs shall direct any comments on the changed procedures to the HQCOTR for transmittal to the Contractor Project Manager.	The Contractor shall deliver Quality Control Plans to the HQCOTR.	The INS must review Draft, Final, and Revised Plans, and accept or reject them within 15 days following receipt.	6 hard copies and 1 electronic copy
3 - Project Management Plan	See SOW Section 6.3.9.4, Project Management Plan and Requirements 9.1.1 through 9.1.15 in Attachment 3, Performance Requirements	A Draft Plan is due within 90 days following award of the BPA. The Contractor shall have 30 calendar days to remedy and resubmit the plan. The Plan shall be updated quarterly as necessary to reflect changes to operational procedures and/or Government policy. Draft plan revisions shall be delivered within 2 weeks after notification of any change. Final plan revisions shall be delivered within 1 week after receipt of Government comments.	The Contractor shall deliver Plans to the HQCOTR.	The INS must review Draft, Final, and Revised Plans, and accept or reject them within 30 days following receipt.	6 hard copies and 1 electronic copy
4 - Transition Plan	See Requirements 9.1.2 and 9.1.5 in Attachment 3, Performance Requirements	A Draft Plan is due within 30 days following award of the BPA. The Plan shall be updated quarterly as necessary to reflect changes to operational procedures and/or Government policy. Draft Plan revisions shall be delivered within 2 weeks after notification of any change. Final Plan revisions shall be delivered within 1 week after receipt of comments.	The Contractor shall deliver Plans to the HQCOTR and the On-Site COTR.	The INS must review Draft, Final, and Revised Plans, and accept or reject them within 15 days following receipt.	1 hard copy and 1 electronic copy to each recipient
5 - Training Plan	See SOW Section 6.3.9.8, Training Plan, and Requirements 9.1.9 and 9.1.10 in Attachment 3, Performance Requirements	A Draft Plan is due within 30 days following award of the BPA. The Final Plan is due within 15 days following receipt of Government comments. The Plan shall be updated as necessary to reflect changes to operational procedures and/or Government policy. Draft plan revisions shall be delivered within 2 weeks after notification of any change. Final plan revisions shall be delivered within 1 week after receipt of Government comments.	The Contractor shall deliver Plans to the HQCOTR.	The INS must review Draft, Final, and Revised Plans, and accept or reject them within 15 days following receipt.	6 hard copies and 1 electronic copy

Deliverable	Acceptance Criteria	Schedule	Delivery Instructions	Acceptance Period	Copies
14 - Report of Accident	See SOW Section 6.3.9.11, Report of Accident.	The Contractor shall deliver this report once in response to each incident, and shall update it whenever new information is discovered. It is due immediately after discovering the event, and immediately after new information is discovered.	The Contractor shall deliver reports to the HQCOTR and the On-Site COTR.	The INS must review reports and accept or reject them within 15 days following receipt.	1 hard copy and 1 electronic copy to each recipient
15 - Configuration Management (CM) Plan	See SOW Section 6.3.9.2, Configuration Management and Requirements 9.1.11 through 9.1.15 in Attachment 3, Performance Requirements	A Draft CM Plan is due within 30 days following award of the RPA. The Final Plan is due within 15 days following receipt of Government comments. The Plan shall be updated as necessary to reflect changes to operational procedures and/or Government policy. Draft CM Plan revisions shall be delivered within 2 weeks after notification of any change. Final plan revisions shall be delivered within 1 week after receipt of Government comments.	The Contractor shall deliver the CM Plan to the HQCOTR and each On-Site COTR.	The INS must review Draft, Final, and Revised Plans, and accept or reject them within 15 days following receipt.	1 hard copy and 1 electronic copy to each recipient
16 - Contractor Standard Operating Procedures (SOP)	See SOW Section 9.6.6, Contractor SOPs and Requirements 9.1.3 and 9.1.12 through 9.1.145 in Attachment 3, Performance Requirements	Revise Contractor SOPs for all operations within 3 business days following any change in procedures. For new procedures, e.g., new forms, submit new Draft Contractor SOPs within 5 business days.	The Contractor shall deliver the Contractor SOP changes to the HQCOTR and the On-Site COTR.	The INS must review Draft and Revised Contractor SOPs and accept or reject them within 15 days following receipt.	1 hard copy and 1 electronic copy to each recipient
17 - Requirements Analysis	The SOW Section 6.3.10, Task 10 - Business Process Reengineering and Requirements 10.1 through 10.2.1 in Attachment 3, Performance Requirements	The Contractor shall deliver the Draft Requirements Analysis within 90 days following receipt of a task order for this task. The Contractor shall deliver the Final Requirements Analysis within 30 days following receipt of Government comments on the Draft Requirements Analysis.	The Contractor shall deliver the Draft and Final Requirements Analysis to the HQCOTR and each On-Site COTR.	INS must accept or reject the Draft and Final Requirements Analysis documents within 30 days of receipt.	1 hard copy and 1 electronic copy to each recipient
18 - Work Breakdown Structure (WBS)	The SOW Section 6.3.9.3	A Draft WBS is due within 90 days following award of the RPA. The Contractor shall have 30 calendar days to remedy and resubmit the WBS. The WBS shall be updated quarterly as necessary to reflect changes to operational procedures and/or Government policy. Draft WBS revisions shall be delivered within 2 weeks after notification of any change. Final WBS revisions shall be delivered within 1 week after receipt of Government comments.	The Contractor shall deliver the WBS to the HQCOTR.	The INS must review Draft, Final, and Revised WBSs, and accept or reject them within 30 days following receipt.	6 hard copies and 1 electronic copy
19 - Problem Resolution Plan	The SOW Section 6.3.8, Attachment 3, Section A.3.2	A Draft Problem Resolution Plan is due within 3 business days following receipt of a Contract Discrepancy Report (CDR). If the Contractor requests a meeting to discuss the CDR, then the Draft Problem Resolution Plan is due 3 business days following the meeting. Final Problem Resolution Plans are due 3 business days following receipt of Government comments on Draft Problem Resolution Plans.	The Contractor shall deliver the Problem Resolution Plan to the HQCOTR and the On-Site COTR.	The INS must review Draft and Final Plans and accept or reject them within 3 business days following receipt.	1 hard copy and 1 electronic copy to each recipient

ATTACHMENT 5. OUTLINE OF SUPPORT SERVICES FOR THE INS DIRECT MAIL PROGRAM

This outline provides a summary of the processes and procedures in use under the current contract. The INS is looking for innovative ideas to reduce its dependency on manual processes. This outline is provided to describe the current processes, and not to constrain or limit the Contractor's options in developing better solutions.

1. Mailroom Operations

- 1.1 Receive mail
 - 1.1.1 Pick up from Post Office
 - 1.1.1.1 Count (approximate)
 - 1.1.1.2 Sign for Registered, Certified, Express Mail
 - 1.1.1.3 Stamp return receipts
 - 1.1.1.4 Deliver to Incoming Mailroom for Slit and Peek
 - 1.1.2 Accept delivery from courier service
 - 1.1.2.1 Count (exact)
 - 1.1.2.2 Check each piece for address and pre-payment
 - 1.1.2.3 Sign receipt
 - 1.1.2.4 Receive list
 - 1.1.2.5 Deliver to Incoming Mailroom for Slit and Peek
- 1.2 Slit and Peek
 - 1.2.1 Slit one side of envelope
 - 1.2.2 Retrieve cash/stamps (special process for accountability)
 - 1.2.3 Identify contents by category and form type
 - 1.2.4 Extract Expedite mail for special handling
 - 1.2.5 Sort into buckets by type/addressee
 - 1.2.6 Stage for Assembly; deliver to INS recipients or Outgoing Mailroom
- 1.3 Delivery
 - 1.3.1 Data Entry
 - 1.3.2 INS Recipients
 - 1.3.3 Outgoing Mailroom
 - 1.3.4 Secure storeroom

2. File Assembly

- 2.1 Receive from Slit and Peek (or secure storeroom, if backlog)
- 2.2 Remove front of envelope; discard back
- 2.3 Set up A-File or folder
- 2.4 Punch holes if necessary
- 2.5 Attach documents in order
- 2.6 Stamp checks "For deposit only to INS"
- 2.7 If necessary, write "INS" on face of check as payee
- 2.8 Attach check(s) if necessary
- 2.9 If photos, place photos in plastic bags, staple to forms (CA, NE)
OR glue photos to forms (VT, TX)
- 2.10 Attach worksheet if necessary
- 2.11 Check for compliance - flag rejects
- 2.12 Bundle in batches of 25
- 2.13 Place into bin in staging area for Data Entry

3. Data Collection, Capture, and Scanning

(process varies by form type)

- 3.1 Data Collection, Capture, and Scanning
 - 3.1.1. Distribute to Key Entry Operators (KEO) by form type
 - 3.1.2. Check for compliance; flag rejects
 - 3.1.3. Finish assembling package, if necessary, e.g., placing and gluing photos
 - 3.1.4. Key data
 - 3.1.5. Generate and attach bar codes
 - 3.1.6. Scan photos, signatures, fingerprints, if necessary
(OR may be done after INS adjudication)
 - 3.1.7. Adjust scanned images, if necessary
 - 3.1.8. Send file to fileroom

4. Document Preparation

- 4.1 Produce cards or booklets, if necessary
- 4.2 Punch cards, if necessary
- 4.3 Laminate cards, if necessary
- 4.4 Complete assembly of booklets, if necessary
- 4.5 Send to Outgoing Mail
- 4.6 Send file to fileroom

5. Fee Collection and Processing

- 5.1 Frank checks
- 5.2 Write file number on checks
- 5.3 Keystroke check information
- 5.4 Keystroke corresponding file information
- 5.5 Send checks for deposit processing

6. Fileroom Operations

- 6.1 Receive
 - 6.1.1 Receive from Data Entry
 - 6.1.2 Scan into RAFACS
 - 6.1.3 Store on shelves by buckets by Responsible Party in FIFO order
- 6.2 Pick List
 - 6.2.1 Locate bucket for each item
 - 6.2.2 Retrieve items from shelves
 - 6.2.3 Deliver to Outgoing Mailroom
- 6.3 Next Batch
 - 6.3.1 Retrieve the specified number of files by type and responsible party
 - 6.3.2 Deliver to Adjudicator
- 6.4 Store in hold area pending receipt of payment, fingerprints, or evidence
- 6.5 Receive missing payment, fingerprints, or evidence
- 6.6 Merge newly-received payment, etc. into file and send to Data Entry
- 6.7 Scan file labels into RAFACS before sending out of fileroom

ATTACHMENT 6. SECURITY REQUIREMENTS

A6.1 General

INS 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 that requires protection in accordance with Executive Order 12958, 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 Operating Manual for the protection of classified information at its cleared facility, if applicable, as directed by the Defense Security Service. If the Contractor has access to classified information at an INS or other Government Facility, they will abide by the requirements set by the agency.

A6.2 Suitability Determination

INS shall have and exercise full control over granting, denying, withholding or terminating unescorted government facility and/or sensitive Government information access for Contractor employees, based upon the results of a background investigation. INS 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 access to sensitive information and unescorted access to INS facilities~~. The granting of a favorable EOD decision shall not be considered as assurance that a full employment suitability authorization will follow as a result thereof. The granting of a favorable EOD decision or a full employment suitability determination shall in no way prevent, preclude, or bar the withdrawal or termination of any such access by INS, at any time during the term of the contract. No employee of the Contractor shall be allowed unescorted access to a Government facility without a favorable EOD decision or suitability determination by the Security Office. ~~Contract employees assigned to the contract not needing access to sensitive~~ INS information or recurring access to INS facilities will not be subject to security suitability screening.

A6.3 Background Investigations

Contract employees (to include applicants, temporaries, part-time and replacement employees) under the contract, needing access to sensitive information, shall undergo a position sensitivity analysis based on the duties each individual will perform on the contract. The results of the position sensitivity analysis shall identify the appropriate background investigation to be conducted. All background investigations will be processed through the Security Office. Prospective Contractor employees shall submit the following completed forms to the Security Office through the COTR no less than 30 days before the starting date of the contract or 30 days prior to entry on duty of any employees, whether a replacement, addition, subcontractor employee, or vendor:

1. Standard Form 85P, "Questionnaire for Public Trust Positions" (original only)
2. FD Form 258, "Fingerprint Card" (2 copies)
3. Foreign National Relatives or Associates Statement (original only)
4. Form DOJ-555, "Disclosure and Authorization Pertaining to Consumer Reports Pursuant to the Fair Credit Reporting Act"
5. Form G-736 - "Pre-Employment Suitability Check" (2 years employment verification)

The Contractor using Form G-736 will provide documentation that previous employers of all new contract employees have been interviewed to ascertain the following information:

- a. Verification of employment history (dates, salary, job titles, and duties for the most recent 2 years).
- b. Reason for leaving employment.
- c. Eligibility for re-hire.
- d. Name of person contacted.
- e. Name of employee doing the interview on behalf of the Contractor.

The Contractor shall conduct and provide the results of the pre-screening employment activity with a credit check no more than 90 days old.

INS will provide required forms at the time of award of the BPA. The Security Office will accept only complete packages. Specific instructions on submission of packages will be provided upon award of the contract.

Be advised that unless an applicant requiring access to sensitive information has resided in the US for three of the past five years, the Government may not be able to complete a satisfactory background investigation. In such cases, INS retains the right to deem an applicant as ineligible due to insufficient background information.

In the interest of limiting access to potentially sensitive information and systems, INS will consider only US Citizens and Legal Permanent Residents for employment on this contract.

A6.4 Continued Eligibility

If a prospective employee is found to be ineligible for access to Government facilities or information, the COTR will advise the Contractor that the employee shall not continue to work or to be assigned to work under the contract.

The Security Office may require drug screening for probable cause at any time and/ or when the Contractor independently identifies, circumstances where probable cause exists.

INS 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 DOJ standards of conduct, 5 CFR 2635 and 5 CFR 3801, or whom INS determines to present a risk of compromising sensitive Government information to which he or she would have access under this contract.

The Contractor will report any adverse information coming to their attention concerning contract employees under the contract to the INS Security Office. Reports based on rumor or innuendo should not be made. The subsequent termination of employment of an employee does not obviate the requirement to submit this report. The report shall include the employee's name and social security number, with the adverse information being reported.

The Security Office must be notified of all terminations/ resignations within five days of occurrence. The Contractor will return any expired INS issued identification cards and building passes, or those of terminated employees to the COTR. If an identification card or building pass is not available to be returned, a report must be submitted to the COTR, referencing the pass or card number, name of individual to whom issued, the last known location and disposition of the pass or card.

A6.5 Employment Eligibility

The Contractor must agree that each employee working on this contract will have a Social Security Card issued and approved by the Social Security Administration. The Contractor shall be responsible to the Government for acts and omissions of his own employees and for any Subcontractor(s) and their employees.

Subject to existing law, regulations and/ or other provisions of this contract, illegal or undocumented aliens will not be employed by the Contractor, or with this contract. The Contractor will ensure that this provision is expressly incorporated into any and all Subcontracts or subordinate agreements issued in support of this contract.

A6.6 Security Management

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

The COTR and the Security Office 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 COTR 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.

A6.7 TAIS Clearance

When sensitive Government information is processed on Telecommunications and Automated Information Systems (TAIS), the Contractor agrees to provide for the administrative control of sensitive data being processed and to adhere to the procedures governing such data as outlined in DOJ Order 2640.2C, Telecommunications and Automated Information Systems (TAIS) Security.

A6.8 TAIS Security

All Contractor employees using automated systems or processing INS sensitive data will be required to receive Security Awareness Training as outlined in the Computer Security Act of 1987. The Information Resources Management (IRM) Security Representative will provide this training. All personnel who access INS information systems will be continually evaluated while performing these duties. Supervisors should be aware of any unusual or inappropriate behavior by personnel accessing systems. Any unauthorized access, sharing of passwords, or other questionable TAIS procedures should be reported to the Security Office.

A6.9 Minimum Computer and Telecommunications Security Requirements

A6.9.1 General

Due to the sensitive nature of INS information, the Contractor is required to develop and maintain a comprehensive Computer and Telecommunications Security (C&TS) program to address the integrity, confidentiality, and availability of sensitive but unclassified (SBU) information during collection, storage, transmission, and disposal. The Contractor's security program shall adhere to the requirements set forth in the DOJ Order 2640.2C, *Telecommunications and Automated Information Systems Security*, INS C&TS Guidance Documents, and other DOJ/INS guidelines and directives regarding information security requirements. The Contractor shall establish a working relationship with the INS C&TS program, lead by the Computer Security Program Manager (CSPM).

A6.9.2 C&TS in the INS Systems Development Life Cycle (SDLC)

C&TS activities in the SDLC are outlined in the INS Systems Development Life Cycle (SDLC) Manual, Appendix A3, C&TS in SDLC. The Contractor shall assist the INS Computer System Security Officer (CSSO) with the following activities:

- *Sensitive System Security Plan (SSSP)*: the primary reference that documents system sensitivity/ criticality, security controls, policies, and procedures.
- *Contingency Plan (CP)*: ensures system's ability to recover from service disruptions in the event of emergencies and/or disasters.

- *Security Operating Procedures (SOP)*: provide users and administrators with detailed requirements on how to operate and maintain the system securely.
- *Risk Assessment (RA)*: identifies threats and vulnerabilities, assesses the impacts of the threats, evaluates in-place countermeasures, and identifies additional countermeasures.
- *Security Test and Evaluation (ST&E)*: evaluate each security control and countermeasure to verify operation in the manner intended, based on the RA results.
- *Certification and Accreditation (C&A)*: establish the extent to which a particular design and implementation meet a specified set of security requirements, based on the ST&E of security features of a system (certification), and the management authorization and approval of a system to process sensitive unclassified information (accreditation).

A6.9.3 C2 Level of Trust

DOJ Order 2640.2C requires that computer systems used for processing SBU information must have the C2 level of trust, as defined in the Department of Defense (DOD) Standard 5200.28-STD, *Trusted Computer System Evaluation Criteria*. The Contractor shall ensure that requirements are allocated in the functional requirements and system design documents to address C2 level of trust, and that these requirements are based on the INS C&TS Guidance Document 9.0, *Minimum Requirements Document*. C2 systems offer the following user-visible features:

User Identification and Authentication (I&A) – I&A is the process of telling a system the identity of a subject (for example, a user) (*I*), and providing evidence that the subject is who they claim to be (*A*). Systems must be designed so that the identity of each user must be established prior to authorizing system access, each system user must have his/her own user ID, and each user is authenticated before access is permitted.

Discretionary Access Control (DAC) – DAC is a DOJ access policy that restricts access to system objects (for example, files, directories, devices) based on the identity of the users and/or groups to which they belong. All system files must be protected by a secondary access control measure.

Object Reuse – Object Reuse is the reassignment to a subject (for example, user) of a medium that previously contained an object (for example, file). Systems that use memory to temporarily store user I&A information and any other SBU information must be cleared before reallocation.

Audit – INS systems must provide facilities for transaction auditing, which is the examination of a set of chronological records that provide evidence of system activity.

A6.9.4 Data Security

SBU systems must be protected from unauthorized access, modification, and denial of service. The Contractor shall ensure that all aspects of data security requirements (i.e., confidentiality, integrity, and availability) are included in the functional requirements and system design, and ensure that they meet the minimum requirements as set forth in the INS C&TS Guidance Document 9.0.

Integrity – The computer systems used for processing SBU must have data integrity controls to ensure that data is not modified (intentionally or unintentionally) or repudiated by either the sender or the receiver of the information. A risk analysis and vulnerability assessment must be performed to determine what type of data integrity controls (e.g., cyclical redundancy checks, message authentication codes, security hash functions, and digital signatures, etc.) must be used.

Confidentiality – Controls must be included to ensure that SBU information collected, stored, and transmitted by the system is protected against compromise. A risk analysis and vulnerability assessment must be performed to determine if threats to the SBU exist. If so, data encryption must be used to mitigate such threats.

Availability – Controls must be included to ensure that the system is continuously working and all services are fully available within a timeframe commensurate with the availability needs of the user community and the criticality of the information processed.