

	following receipt of the Lockbox or e-Filed application/petition.
<b>Measure</b>	Periodic observation and Validated customer complaints

4.5.17 The contractor shall verify the accuracy of manifests for e-File and Lockbox forms in accordance with USCIS policies and procedures.

<b>Standard</b>	The contractor verifies the accuracy of all the manifests of e-Filed and Lockbox forms in accordance with the USCIS policies and procedures.
<b>Measure</b>	Periodic observation and Validated customer complaints

4.5.18 The contractor shall ensure that files are "adjudication ready" when they are sent to an adjudication division within the Center.

<b>Standard</b>	The contractor ensures that at least 98% of files forwarded to an adjudication division for adjudication are correctly assembled, complete, and all papers correctly fastened to the file in accordance with USCIS policies and procedures.
<b>Measure</b>	Random sampling

4.5.19 The contractor shall pick up, continuously sort, and deliver for internal distribution printouts and files between mail stops within the Service Center as established by the COTR. The contractor shall pick up mail, printouts, and files no less than twice daily or as directed by the COTR. Any piece of mail picked up at a mail stop shall be delivered to the designated mail stop not later than close of business on the next business day.

<b>Standard</b>	All mail picked up at a mail stop is delivered to its designated mail stop not later than close of business on the next business day.
<b>Measure</b>	Periodic observation and Validated customer complaints

4.5.20 The contractor shall provide special internal distribution delivery runs as required by the COTR.

<b>Standard</b>	All special mail delivery runs are performed within the time designated by the COTR.
<b>Measure</b>	Validated customer complaints

4.5.21 The contractor shall scan materials no later than close of the third business day following being received in the Service Center or request from USCIS.

<b>Standard</b>	All materials are scanned by the contractor no later than close of the third business day following being received in the Service Center or requested from USCIS.
<b>Measure</b>	Periodic observation & Validated customer complaints

4.5.22 The contractor shall photocopy application- and petition-related documents in accordance with USCIS policies and procedures or as directed by the COTR.

<b>Standard</b>	All application and petition related documents are photocopied by the contractor in accordance with USCIS policies and procedures or as directed by the COTR.
<b>Measure</b>	Periodic observation & Validated customer complaints

4.5.23 The contractor shall generate documents for batch printing as directed by the COTR.

<b>Standard</b>	All documents are generated by the contractor for batch printing as directed by the COTR.
<b>Measure</b>	Periodic observation & Validated customer complaints

4.5.24 Note: This task currently only applies to the Nebraska Service Center. The contractor shall provide travel booklet support including matching consulate notice to booklet, writing applicant's foreign address on notice, and following proper destruction procedures in accordance with USCIS policies and procedures.

<b>Standard</b>	All travel booklet support (this task is currently performed only at the NSC) is provided by the contractor, including matching consulate notice to booklet, writing applicant's foreign address on notice, and following proper destruction procedures in accordance with USCIS policies and procedures.
<b>Measure</b>	Periodic observation & Validated customer complaints

4.5.25 Note: This task currently only applies to the Nebraska Service Center. The contractor shall update USCIS systems to show travel booklet document is prepared and mailed.

<b>Standard</b>	All USCIS systems are updated show that travel booklet documents have been prepared and mailed.
<b>Measure</b>	Periodic observation & Validated customer complaints

4.5.26 Interagency Border Inspection System (IBIS) or Successor Systems:

<b>Background</b>	Systems background checks in IBIS or successor systems on applicants/petitioners/beneficiaries for
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	<p>immigration benefits will be required for most of the application receipts. The systems background check is required on all applicants, petitioners, beneficiaries and any derivatives who will receive an immediate benefit from the applications and petitions. The review of systems background information is a critical part of the adjudicative process. The systems background check does not need to be repeated as long as adjudication of the application or petition occurs within 180 calendar days (or as specified by USCIS) of the prior systems background check. Systems background checks are not required on individuals under the age of 14. All contractor personnel assigned to the systems background check task area must have a full field Background Investigation completed and it must be current.</p> <p>USCIS will provide to the contractor a list of those applications and petitions for which "hits" are reported from the systems background check.</p>
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4.5.26.1 The contractor shall identify, qualify, and request appropriate accesses for users to IBIS, TECS, and DACS, or successor systems.

<b>Standard</b>	All users - but no more than 15 per Service Center - are identified, qualified, and have access to IBIS, TECS, and DACS or successors systems, requested for them by the contractor.
<b>Measure</b>	Periodic observation & Validated customer complaints

4.5.26.2 The contractor shall perform systems background checks in accordance with USCIS policies and procedures.

<b>Standard</b>	All systems background checks are performed by the contractor in accordance with USCIS policies and procedures.
<b>Measure</b>	Periodic observation & Validated customer complaints

4.5.26.3 The contractor shall identify expired biometrics and schedule biometric appointments in accordance with USCIS policies and procedures.

<b>Standard</b>	All expired biometrics are identified by the contractor and biometric appointments are scheduled in accordance with USCIS
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	policies and procedures.
<b>Measure</b>	Periodic observation & Validated customer complaints

4.5.26.4 The contractor shall develop processes for the “hit” lists to ensure that the following actions are completed for IBIS, or analogous actions for successor systems as required:

4.5.26.4.1 The contractor shall conduct an IBIS "individual subject query" (SQ-11) and print the screen relating to positive IBIS hit records in conformity with instructions contained in the Standard Operating Procedures (SOP) for IBIS Pull List. Those screen prints may include RAFACS/NFTS file locations, NCIC, TECS and DACS information.

<b>Standard</b>	All IBIS individual subject queries (SQ-11) are performed by the contractor and the screen relating to positive IBIS hit records is printed, in conformance with instructions contained in the SOP for IBIS Pull List.
<b>Measure</b>	Periodic observation & Validated customer complaints

4.5.26.4.2 The contractor shall match printouts with all relevant files by receipt file numbers, and by name if necessary, so that all relevant files for a positively identified systems background check hit can be pulled on a daily basis. The contractor, after matching all screen prints, shall stamp these screen prints "Law Enforcement Sensitive" and fasten them to the file in accordance with the ROH.

<b>Standard</b>	All printouts are sorted and matched by receipt file numbers and by name if necessary by the contractor so that all relevant files for a positively identified systems background check hit can be pulled on a daily basis. The contractor, after matching all screen prints stamps these screen prints, “Law Enforcement Sensitive” and fastens them to the file in accordance with the ROH.
<b>Measure</b>	Periodic observation & Validated customer complaints

4.5.26.4.3 The contractor shall distribute these screen prints as indicated by their RAFACS/NFTS location.

<b>Standard</b>	All screen prints are distributed by the contractor as indicated by their RAFACS/NFTS location.
<b>Measure</b>	Periodic observation & Validated customer complaints

4.5.26.4.4 The contractor shall take appropriate action when certain remarks appearing on NCIC and TECS screens call for immediate attention. These remarks are listed in the SOP for IBIS Pull List, or successor system procedures.

<b>Standard</b>	All appropriate action is taken by the contractor when certain remarks appearing on NCIC and TECS screens call for immediate attention. These remarks are listed in the SOP for IBIS Pull List, or successor system procedures.
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<b>Measure</b>	Periodic observation & Validated customer complaints
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4.5.26.4.5 The contractor shall direct all files to the triage process in effect in order to resolve all positive hits.

<b>Standard</b>	All files are directed by the contractor to the triage process in effect.
<b>Measure</b>	Periodic observation & Validated customer complaints

4.5.27 IBIS (or Successor System) Alias Search (Optional Requirement)

The contractor shall perform a thorough search of all applications and/or petitions, supporting documentation, and files for aliases used, as well as lists generated by USCIS and enter all aliases into the IBIS ALIAS system(s) or successor system.

<b>Standard</b>	A thorough search of all applications and/or petitions, supporting documentation and files for aliases, as well as lists generated by USCIS is performed by the contractor, and all aliases are entered into the IBIS system(s) or successor system.
<b>Measure</b>	Periodic observation & Validated customer complaints

**5.0 SECURITY REQUIREMENTS**

**5.1 GENERAL**

U.S. Citizenship & Immigration Services (USCIS) has determined that performance of this contract requires that the Contractor, subcontractor(s), vendor(s), etc. (herein known as Contractor), requires access to classified National Security Information (herein known as classified information). Classified information is Government information which requires protection in accordance with Executive Order 12958, Classified National Security Information, and supplementing directives.

The Contractor will abide by the requirements set forth in the DD Form 254, Contract Security Classification Specification, included in the contract, and the National Industrial Security Program Operating Manual (NISPOM) for the protection of classified information at its cleared facility, if applicable, as directed by the Defense Security Service. If the Contractor has access to classified information at a USCIS or other Government Facility, it will abide by the requirements set by the agency.

**5.2 SUITABILITY DETERMINATION**

USCIS shall have and exercise full control over granting, denying, withholding or terminating access of unescorted Contractor employees to government facilities and/or access of Contractor employees to sensitive but unclassified information, based upon the results of a background investigation. USCIS may, as it deems appropriate, authorize and make a favorable entry on duty (EOD) decision based on

preliminary security checks. The favorable EOD decision would allow the employees to commence work temporarily prior to the completion of the full investigation. The granting of a favorable EOD decision shall not be considered as assurance that a full employment 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 USCIS, 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 Office of Security & Investigations (OSI).

### 5.3 BACKGROUND INVESTIGATIONS

Contract employees (to include applicants, temporaries, part-time and replacement employees) under the contract, needing access to sensitive but unclassified information, shall undergo a position sensitivity analysis based on the duties, outlined in the Position Designation Determination (PDD) for Contractor Personnel, 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 OSI. Prospective Contractor employees shall submit the following completed forms to OSI 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"
2. DHS Form 11000-6, "Conditional Access to Sensitive But Unclassified Information Non-Disclosure Agreement"
3. FD Form 258, "Fingerprint Card" (2 copies)
4. Form DHS-11000-9, "Disclosure and Authorization Pertaining to Consumer Reports Pursuant to the Fair Credit Reporting Act"
5. Position Designation Determination for Contract Personnel Form
6. Foreign National Relatives or Associates Statement

Required forms will be provided by USCIS at the time of award of the contract. Only complete packages will be accepted by OSI. Specific instructions on submission of packages will be provided upon award of the contract.

National Security Clearances (NSC) granted by DSS will be accepted by USCIS for access to sensitive but unclassified information. In lieu of security paperwork OSI will accept a Visit Authorization Request (VAR) for a contract employee with an active NSC granted within the last five years and an adequate background investigation completed within the last five years. In addition to the VAR a Personal Data Form (PDF) and cover sheet must be submitted to the COTR.

Be advised that unless an applicant requiring access to sensitive but unclassified information has resided in the US for three of the past five years, OSI may not be able to complete a satisfactory background

investigation. In such cases, USCIS retains the right to deem an applicant as ineligible due to insufficient background information.

The use of Non-U.S. citizens, including Lawful Permanent Residents (LPRs), is not permitted in the performance of this contract. USCIS will consider only U.S. Citizens for employment on this contract. By signing this contract, the contractor agrees to this restriction.

#### **5.4 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 USCIS for acts and omissions of his own employees and for any Subcontractor(s) and their employees to include financial responsibility for all damage or injury to persons or property resulting from the acts or omissions of the contractor's 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.

#### **5.5 CONTINUED ELIGIBILITY**

If a prospective employee is found to be ineligible for access to USCIS 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.

USCIS reserves the right and prerogative to deny and/ or restrict the facility and information access of any Contractor employee whose actions are in conflict with the standards of conduct, 5 CFR 2635 and 5 CFR 3801, or whom USCIS determines to present a risk of compromising sensitive but unclassified 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 USCIS OSI. The subsequent termination of employment of an employee does not obviate the requirement to submit this report. The report shall include the employees' name and social security number, along with the adverse information being reported.

OSI must be notified of all terminations/ resignations within five days of occurrence. The Contractor will return any expired USCIS 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.

## 5.6 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.

## 5.7 COMPUTER AND TELECOMMUNICATIONS SECURITY REQUIREMENTS

### 5.7.1 Security Program Background

The DHS has established a department wide IT security program based on the following Executive Orders (EO), public laws, and national policy:

- Public Law 107-296, Homeland Security Act of 2002.
- Federal Information Security Management Act (FISMA) of 2002, November 25, 2002.
- Public Law 104-106, Clinger-Cohen Act of 1996 [formerly, Information Technology Management Reform Act (ITMRA)], February 10, 1996.
- Privacy Act of 1974, As Amended. 5 United States Code (U.S.C.) 552a, Public Law 93-579, Washington, D.C., July 14, 1987.
- Executive Order 12829, *National Industrial Security Program*, January 6, 1993.
- Executive Order 12958, *Classified National Security Information*, as amended.
- Executive Order 12968, *Access to Classified Information*, August 2, 1995.
- Executive Order 13231, *Critical Infrastructure Protection in the Information Age*, October 16, 2001.
- National Industrial Security Program Operating Manual (NISPOM), February 2001.
- DHS Sensitive Systems Policy Publication 4300A v2.1, July 26, 2004
- DHS National Security Systems Policy Publication 4300B v2.1, July 26, 2004
- Homeland Security Presidential Directive 7, *Critical Infrastructure Identification, Prioritization, and Protection*, December 17, 2003.
- Office of Management and Budget (OMB) Circular A-130, *Management of Federal Information Resources*.
- National Security Directive (NSD) 42, *National Policy for the Security of National Security Telecommunications and Information Systems (U)*, July 5, 1990, CONFIDENTIAL.
- 5 Code of Federal Regulations (CFR) §2635, Office of Government Ethics, *Standards of Ethical Conduct for Employees of the Executive Branch*.
- DHS SCG OS-002 (IT), National Security IT Systems Certification & Accreditation, March 2004.
- Department of State 12 Foreign Affairs Manual (FAM) 600, *Information Security Technology*, June 22, 2000.
- Department of State 12 FAM 500, *Information Security*, October 1, 1999.
- Executive Order 12472, *Assignment of National Security and Emergency Preparedness Telecommunications Functions*, dated April 3, 1984.
- Presidential Decision Directive 67, *Enduring Constitutional Government and Continuity of Government Operations*, dated October 21, 1998.

- FEMA Federal Preparedness Circular 65, *Federal Executive Branch Continuity of Operations (COOP)*, dated July 26, 1999.
- FEMA Federal Preparedness Circular 66, *Test, Training and Exercise (TT&E) for Continuity of Operations (COOP)*, dated April 30, 2001.
- FEMA Federal Preparedness Circular 67, *Acquisition of Alternate Facilities for Continuity of Operations*, dated April 30, 2001.
- Title 36 Code of Federal Regulations 1236, Management of Vital Records, revised as of July 1, 2000.
- National Institute of Standards and Technology (NIST) Special Publications for computer security and FISMA compliance.

### 5.7.2 GENERAL

Due to the sensitive nature of USCIS information, the contractor is required to develop and maintain a comprehensive Computer and Telecommunications Security 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 DHS Management Directive 4300 IT Systems Security Pub Volume 1 Part A and DHS Management Directive 4300 IT Systems Security Pub Volume I Part B. This shall include conformance with the DHS Sensitive Systems Handbook, DHS Management Directive 11042 Safeguarding Sensitive but Unclassified (For Official Use Only) Information and other DHS or USCIS guidelines and directives regarding information security requirements. The contractor shall establish a working relationship with the USCIS IT Security Office, headed by the Information Systems Security Program Manager (ISSM).

### 5.7.3 IT SECURITY IN THE SYSTEMS DEVELOPMENT LIFE CYCLE (SDLC)

The USCIS SDLC Manual documents all system activities required for the development, operation, and disposition of IT security systems. Required systems analysis, deliverables, and security activities are identified in the SDLC manual by lifecycle phase. The contractor shall assist the appropriate USCIS ISSO with development and completion of all SDLC activities and deliverables contained in the SDLC. The SDLC is supplemented with information from DHS and USCIS Policies and procedures as well as the National Institute of Standards Special Procedures related to computer security and FISMA compliance. These activities include development of the following documents:

- *Sensitive System Security Plan (SSSP)*: This is the primary reference that describes system sensitivity, criticality, security controls, policies, and procedures. The SSSP shall be based upon the completion of the DHS FIPS 199 workbook to categorize the system of application and completion of the RMS Questionnaire. The SSSP shall be completed as part of the System or Release Definition Process in the SDLC and shall not be waived or tailored.
- *Privacy Impact Assessment (PIA) and System of Records Notification (SORN)*. For each new development activity, each incremental system update, or system recertification, a PIA and SORN shall be evaluated. If the system (or modification) triggers a PIA the contractor shall support the development of PIA and SORN as required. The Privacy Act of 1974 requires the PIA and shall be part of the SDLC process performed at either System or Release Definition.
- *Contingency Plan (CP)*: This plan describes the steps to be taken to ensure that an automated system or facility can be recovered from service disruptions in the event of emergencies and/or disasters. The Contractor shall support annual contingency plan testing and shall provide a Contingency Plan Test Results Report.

- *Security Test and Evaluation (ST&E)*: This document evaluates each security control and countermeasure to verify operation in the manner intended. Test parameters are established based on results of the RA. An ST&E shall be conducted for each Major Application and each General Support System as part of the certification process. The Contractor shall support this process.
- *Risk Assessment (RA)*: This document identifies threats and vulnerabilities, assesses the impacts of the threats, evaluates in-place countermeasures, and identifies additional countermeasures necessary to ensure an acceptable level of security. The RA shall be completed after completing the NIST 800-53 evaluation, Contingency Plan Testing, and the ST&E. Identified weakness shall be documented in a Plan of Action and Milestone (POA&M) in the USCIS Trusted Agent FISMA (TAF) tool. Each POA&M entry shall identify the cost of mitigating the weakness and the schedule for mitigating the weakness, as well as a POC for the mitigation efforts.
- *Certification and Accreditation (C&A)*: This program establishes the extent to which a particular design and implementation of an automated system and the facilities housing that system meet a specified set of security requirements, based on the RA of security features and other technical requirements (certification), and the management authorization and approval of a system to process sensitive but unclassified information (accreditation). As appropriate the Contractor shall be granted access to the USCIS TAF and Risk Management System (RMS) tools to support C&A and its annual assessment requirements. Annual assessment activities shall include completion of the NIST 800-26 Self Assessment in TAF, annual review of user accounts, and annual review of the FIPS categorization. C&A status shall be reviewed for each incremental system update and a new full C&A process completed when a major system revision is anticipated.

#### 5.7.4 SECURITY ASSURANCES

DHS Management Directive 4300 requires compliance with standards set forth by NIST, for evaluating computer systems used for processing SBU information. The Contractor shall ensure that requirements are allocated in the functional requirements and system design documents to security requirements are based on the DHS policy, NIST standards and applicable legislation and regulatory requirements. Systems shall offer the following visible security 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 that the subject is who it claims to be (*A*). Systems shall be designed so that the identity of each user shall be established prior to authorizing system access, each system user shall have his/her own user ID and password, and each user is authenticated before access is permitted. All system and database administrative users shall have strong authentication, with passwords that shall conform to established DHS standards. All USCIS Identification and Authentication shall be done using the Password Issuance Control System (PICS) or its successor. Under no circumstances will Identification and Authentication be performed by other than the USCIS standard system in use at the time of a systems development.
- *Discretionary Access Control (DAC)* – DAC is a DHS 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 shall 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 shall be cleared before reallocation.
- *Audit* – DHS systems shall provide facilities for transaction auditing, which is the examination of a set of chronological records that provide evidence of system and user activity. Evidence of active review of audit logs shall be provided to the USCIS IT Security Office on a monthly basis,

identifying all security findings including failed log in attempts, attempts to access restricted information, and password change activity.

- *Banner Pages* – DHS systems shall provide appropriate security banners at start up identifying the system or application as being a Government asset and subject to government laws and regulations. This requirement does not apply to public facing internet pages, but shall apply to intranet applications.

### 5.7.5 DATA SECURITY

SBU systems shall 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 DHS Sensitive Systems Handbook and USCIS policies and procedures. These requirements include:

- *Integrity* – The computer systems used for processing SBU shall 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 shall 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.) shall be used.
- *Confidentiality* – Controls shall be included to ensure that SBU information collected, stored, and transmitted by the system is protected against compromise. A risk analysis and vulnerability assessment shall be performed to determine if threats to the SBU exist. If it exists, data encryption shall be used to mitigate such threats.
- *Availability* – Controls shall 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.
- *Data Labeling*. – The contractor shall ensure that documents and media are labeled consistent with the DHS *Sensitive Systems Handbook*.

## **6.0 DELIVERABLES**

### **6.1 Monthly Records Operation Workload Activity Report (G-23)**

Background: The purpose of the report is for preservation of the agency's historical records, management of electronic files, life cycle of paper files, data entries, fee and mail processing, oversight and evaluation of contracted services, certification of records and verification of information from those records; in other words, for statistical purposes reported in the Performance Analysis System (PAS). This is the official reporting system for the USCIS. The Report captures figures and data from both Government and contractor operations. All reported data must be performed in accordance with Department of Treasury guidelines, the Records Operation Handbook (ROH), and USCIS policies and procedures.

The Monthly Records Operations Workload Activity Report shall include statistical workload and production data for a month's operation. It shall describe the status of any new or ongoing problems during the month and efforts towards their resolution. The contractor shall develop procedures to consolidate the G-23 data from the Service Centers and report the results on a consolidated monthly report to the COTR. The contractor will include a summary narrative to explain trends, backlogs, problems, and proposed/implemented solutions.

Each monthly report will reflect the counts and totals for the current month. Each category will show the counts and totals (as applicable) for the following:

Pending Beginning of Period

Completed

Pending End of Period

Received

The G-23 categories include:

6.1.1 Files Created  
A-Files Created

T-Files Created

Receipt Files Created

6.1.2 File Movement

6.1.3 File Requests  
File Requests – Routine

File Requests – Expedited

- 6.1.4 Interaction with the FRC  
Retire Files
  - Request a Retired File
- 6.1.5 Fee Processing
- 6.1.6 Data Entry
  - Perform Reconciliation of CIS Data
- 6.1.7 Record Certifications - N/A
- 6.1.8 Mail Processing
  - Process Special Handling Incoming Mail
  - Process Incoming Mail
  - Process Special Handling Outgoing Mail
  - Process Outgoing Mail
  - Routing and Delivering Mail
- 6.1.9 Mail Processing (Prior to FY 2002) - N/A
- 6.1.10 Searches
  - Routine Searches
  - Lost File Circular Searches
  - Report Reconciliation
- 6.1.11 Searches (Prior to FY 2002) - N/A
- 6.1.12 Inter-filing
- 6.1.13 Unite Related Files
- 6.1.14 File Audit Process
- 6.1.15 Maintain File Jackets
- 6.1.16 Total Direct Hours - N/A
- 6.1.17 Administration of Records Hours - N/A

- 6.1.18 Total Indirect Hours - N/A
- 6.1.19 Overhead Hours - N/A
- 6.1.20 Overtime - N/A
- 6.1.21 Grand Total Records Program Hours - N/A
- 6.1.22 Non-Records Detail Hours - N/A
- 6.1.23 Hours Gained from Other Programs - N/A
- 6.1.24 AR-11 Forms Received
- 6.1.25 Staff on Board - N/A

## **6.2 Daily Workload Activity Report.**

The Daily Activity Report shall include the same information and be in the format shown in Figure 1 below. The report shall be submitted electronically to the COTR no later than close of business on the next business day following the reported day.

Daily (Weekly or Monthly) Report for:

Process/Form	Beginning	Received	Processed	Pending	Current	Oldest	Pending
	Pending			Adjust			
<b>Mail Operations</b>							
Incoming Mail-Regular Handling							
Incoming Mail-Special Handling							
Administrative Mail-Front Office Mail							
Other Mail - Case Related							
Outgoing Mail-Regular Handling							
Outgoing Mail-Special Handling							
<b>SubTotal:</b>							

<b>Data Collection Operations</b>							
Fingerprint Fee							
AR-11							
Booklet Support							
Consulate Returns							
Corr - Legal G-639							
EOIR-29							
FD-258 (Dead Scanning)							
SNAP Scheduling							
G-625 (PONDS) - # of Entrys							
I-102							
I-129							
I-907/I-129 (Premium)							
I-129 (H1B)							
I-129 (E-Filing)							
I-907/I-129 Premium (E-Filing)							
I-129F							
I-129S							
I-129S (E-Filing)							
<b>I-129 Total</b>							
I-130							
I-131							
I-131 (Cuban)							
I-131 (E.B.)							
I-131 (Indochina)							
I-131 (E-Filing)							
<b>I-131 Total</b>							
I-131 Photo Scan							
I-140							
I-907/I-140 (Premium)							
I-140 (E-Filing)							
I-907/I-140 Premium (E-Filing)							
<b>I-140 Total</b>							
I-181 Copy 3							
I-192							
I-212							
I-290B							
I-360							
I-407							
I-485							
I-485 (Asylum)							
I-485 (Cuban)							
I-485 (DED Haitian)							
I-485 (E.B.)							
I-485 (Family)							
I-485 (Indochina)							
I-485 (Refugee)							
I-485 (EOIR)							
<b>I-485 Total</b>							

Daily (Weekly or Monthly) Report for:

Process/Form	Beginning Pending	Received	Processed	Pending Adjust	Current Pending	Oldest Pending	Pending Value
I-512L							
I-526							
I-539							
I-539(E-Filing)							
I-589							
I-589 (EOIR)							
I-601							
I-612/USIA							
I-687							
I-690							
I-694							
I-698							
I-724							
I-730							
I-751 (GUI ICF)							
I-751 (MFAS)							
I-765							
I-765 (Asylum)							
I-765 (Cuban)							
I-765 (DED Haitian)							
I-765 (E.B.)							
I-765 (Family)							
I-765 (Indochina)							
I-765 (NACARA)							
I-765 (Refugee)							
I-765 (Port of Entry)							
I-765 (TPS) Burundi							
I-765 (TPS) El Salvador							
I-765 (TPS) Liberia							
I-765 (TPS) Mitch							
I-765 (TPS) Nicaragua							
I-765 (TPS) Somalia							
I-765 (TPS) Sudan							
I-765 (E-Filing)							
I-765 (Auto Adjudicate)							
<b>I-765 Total</b>							
I-817							
I-821							
I-821 (TPS) Burundi							
I-821 (TPS) El Salvador							
I-821 (TPS) Liberia							
I-821 (TPS) Mitch							
I-821 (TPS) Nicaragua							
I-821 (TPS) Somalia							
I-821 (TPS) Sudan							
I-821 (E-Filing)							
<b>I-821 Total</b>							

Daily (Weekly or Monthly) Report for:

Process/Form	Beginning Pending	Received	Processed	Pending Adjust	Current Pending	Oldest Pending	Pending Value
I-824							
I-824 (Auto Adjudicate)							
I-829							
I-864							
I-865							
I-881							
I-89 & I-181							
I-89 & I-485							
I-89 & I-687							
I-89 & I-751							
I-89 & I-765							
I-89 & I-817							
I-89 & I-817							
I-89 & I-90							
I-89 & IV (OS-551A)							
I-89 (Only)							
I-90 (Claims)							
I-90 (Legal/SAW)							
I-90 (Renewal)							
I-905							
I-907 (I-129 Upgrade)							
I-907 (I-140 Upgrade)							
I-907 (E-Filing) - I-129 Upgrade							
I-907 (E-Filing) - I-140 Upgrade							
<b>I-907 Total</b>							
I-914							
I-914A							
Motions							
N-400							
N-400 (Military)							
N-400 Old							
N-470							
N-565							
N-600							
N-644							
OS-551A							
DS-230							
I-140/I-485 Concurrent Filing							
I-140 Concurrent Count							
I-140 Standalone Count							
I-485 Concurrent Count							
I-485 Subsequently Filed Count							
Rejects (Claims)							
<b>SubTotal:</b>							

Daily (Weekly or Monthly) Report for:

Process/Form	Beginning Pending	Received	Processed	Pending Adjust	Current Pending	Oldest Pending	
<b>File Operations</b>							
Returned Mail - Address Changes							
Other Address Changes							
A-File Creates I-129F							
A-File Creates I-130							
A-File Creates I-140							
A-File Creates I-360							
A-File Creates I-730							
A-File Creates I-817							
VISA Packets							
A-File Creates Other							
CIS Corrections							
Connects - FD-258 Idents (Rap Sheets)							
Connects - I-89							
Connects - I-508							
Connects - RFE							
Consolidations							
Consulate Returns							
Data/Scan Fraud Case Files							
Files Audited							
Files Requested From FRC							
Files Retired to FRC							
File Transfer Request - A-Files							
File Transfer Request - R-Files							
FOIA Request							
FTCs Received							
Hold Shelf-HBG							
Hold Shelf-NRC							
I-130 Approval							
I-140 A-Number Update							
IBIS							
Interfiling							
Internal File Requests - Expedited							
Internal File Requests - Routine							
IV RAFACS/NFTS Updates							
Maintain File Jackets							
Photocopy							
Refiles							
Report Reconciliation							
Scan & Email							
Screenprints							
Searches - Routine							
Searches - Lost File Circular							
Searches - Manual Search Requests							
Shelf Re-organization							
Special File Pulls							
Special File Sorts							
T-File Creates							
Transferred-A/T File(FTI)(RAFACS/NFTS)-Expedited							
Transferred-A/T File(FTI)(RAFACS/NFTS) - Routine							
Transferred-R File(RAFACS/NFTS) - Expedited							
Transferred-R File(RAFACS/NFTS) - Routine							
SubTotal:							
<b>Total Pending Value:</b>							

### **3 Weekly Workload Activity Report**

The Weekly Activity Report shall be formatted and include the same information as the daily reports. The report will include a summary narrative to explain weekly trends, progress, backlogs, accomplishments, issues/problems, proposed/implemented solutions, number of FTEs at the end of the week, continuous improvement and upcoming plans. The report shall be submitted electronically to the COTR no later than close of business on the first business day of each week.

### **4 Monthly Workload Activity Report**

The Monthly Activity Report shall be formatted and include the same information as the daily and weekly reports. The report will include a summary narrative to explain monthly trends, progress, backlogs, accomplishments, issues/problems, proposed/implemented solutions, continuous improvement and upcoming plans. The report shall be submitted electronically to the CO and COTR no later than close of business on the third business day of the following month.

### **5 Annual Workload Activity Report**

The Annual Workload Activity Report shall be formatted and include the same information as the daily, weekly, and monthly reports. The contractor shall include a summary narrative to explain annual trends, backlogs, problems, and proposed/implemented solutions. The report shall be submitted electronically to the COTR no later than close of business on the tenth business day of the following fiscal year and contract year.

### **6 Program Status Report**

The contractor shall prepare and submit a contractor's Progress, Status, and Management Report. This report shall be required monthly and shall discuss, at a minimum, the following items:

Major contract changes affecting delivery of services:  
Contract Expenditures

Problems in delivery of services

Corrective actions

Any new procedures being considered

A summary of the ongoing support that shall include:

Statistical data on volume of mail, applications, and records processed and any difficulty or delays in meeting milestones.

The contractor's analysis of the success of the overall management of the program.

Recommendations to refine the program.

The report shall be submitted to the Contracting Officer and the COTR on compact disc in Microsoft Office 2000 software.

<b>Standard</b>	Reports are submitted within 10 business days following the end of the required reporting period.
<b>Measure</b>	Contractor submits in format specified with transmittal letter

### 5.7 Report of Accident, Theft, or Robbery

The contractor shall report each incident as soon as discovered to the COTR and provide a written report to the COTR and CO no later than the close of business on the next business day. Continuous status of the incident from inception through resolution shall be provided on request of the COTR.

### 5.8 Postage Transaction Report

The contractor shall notify the Service Center COTR of the need to replenish postage meters whenever the balance falls below \$25,000. All postage meter transactions for the prior month shall be reported to the Service Center COTR on the first business day of the following month.

### 5.9 Overnight Courier Report

The contractor shall prepare a monthly report to the Service Center COTR on the amount spent for overnight courier services due no later than the first business day of each month for the previous month.

### 5.10 Daily Deposit Report

The contractor shall generate and deliver daily deposit reports to the Service Center COTR by close of the business day in accordance with Department of Treasury and USCIS policies and procedures.

### 5.11 Cost/Schedule Status Report (C/SSR)

A Cost/Schedule Status Report (C/SSR) is required for this contract. The C/SSR is applicable to File Operations, CLIN 0004 only. The C/SSR shall be prepared in accordance with Data Item Description DI-MGMT-81467 and delivered monthly to the Contracting Officer and Contracting Officer's Technical Representative. Data Item Descriptions are attached at Section J to the contract.

### 5.12 Contract Funds Status Report (CFSR)

A Contract Funds Status Report (CFSR) is required for this contract. The CFSR is applicable to File Operations, CLIN 0004 only. The CFSR shall be prepared in accordance with Data Item Description DI-MGMT-81468 and delivered monthly to the Contracting Officer and Contracting Officer's Technical Representative. Data Item Descriptions are attached at Section J of the contract.

### 5.13 Work Breakdown Structure (WBS)

A Work Breakdown Structure (WBS) shall be provided with the proposal and the negotiated WBS shall be incorporated into the contract. The WBS shall be updated by the contractor as required. The WBS shall be prepared in accordance with the format prescribed in Data Item Description DI-MGMT-81334A.

## 7.0 ATTACHMENTS

### Attachment 7.1 - Performance Requirements Summary

#### Introduction

The USCIS has specified performance standards in each task area related to processes that USCIS believes are critical to successful performance of the Direct Mail Program. These requirements and their associated performance standards define the work to be performed, although these may change over time. The USCIS established these performance requirements and associated standards after careful analysis of current operations based on historical performances against similar established standards. The USCIS will be using disincentives in certain cases when contractor performance does not meet the established minimum performance as established in the performance requirements.

USCIS requires the contractor to conduct ongoing quality and process control and to effectively monitor the performance continually. The USCIS will measure performance against the published requirements and standards on an ongoing basis and will report the summarized results monthly.

If the contractor fails to achieve the minimum quality standard in one or more of the performance requirements, the USCIS may notify the contractor and require 100% re-inspection of any affected work in process and the correction of non-conforming product. As stated earlier, the contractor may then be assessed a *deduction* (see attachment 7.2). The performance requirements are summarized below as well as in the Performance Work Statement.

#### The USCIS Service Center *Quality Acceptance Surveillance Procedures*

The Quality Acceptance Surveillance Procedures involve all planned and systematic actions necessary to provide adequate confidence that the services and resulting product from the contractor will satisfy the requirements. This program involves making sure that quality is what it should be and includes a continuing evaluation of adequacy and effectiveness with a view toward the use of timely corrective and preventive measures where necessary.

Quality Acceptance Surveillance is the activity the Government utilizes to monitor the in-process product quality, based upon the outcome of attribute inspection of product units. Quality Acceptance Surveillance is primarily conducted by the Contract Performance Analysis Unit (CPAU), an organization staffed by functionally qualified and trained personnel who are involved in the ongoing monitoring of the contractor's product quality.

Attachment 7.1 Performance Requirements Summary in addition to attachment 7.2, Deduction Schedule outlines the performance standards (i.e., selected service outputs of the contract) to be monitored and evaluated by USCIS to ensure that in-process product quality remains fully acceptable. The standard for each performance requirement is the minimum acceptable level of performance

required. If the standard for any performance requirement is reached, the contractor is considered to have passed that performance requirement.

Quality Acceptance Surveillance will be performed on all performance requirements to some extent since each are important in their own way. Documented results will be provided to the contractor at least once per month.

**4.1 General Requirements:  
Performance Requirements**

Requirement	SOW Section	Measurement
4.1.1 The contractor shall provide on-site management and implement appropriate management systems to assure the quality, reliability, accuracy, and timeliness of all services and products provided to USCIS. In addition the contractor shall keep the Service Center COTRs updated on operational status and plans.	4.1	General Monitoring
4.1.2 The contractor shall comply with all USCIS policies, procedures, and regulations in effect during the performance of the contract.	4.1	General Monitoring
4.1.3 The contractor shall provide all reports required in this contract in accordance with paragraph 6.0 Deliverables.	4.1	General Monitoring
4.1.4 The contractor shall immediately report suspected fraud, waste and abuse to the USCIS onsite COTR and Contracting Officer.	4.1	General Monitoring
4.1.5 The contractor shall require all contractor personnel to sign nondisclosure statements affirming that they will not disclose data they encounter in the performance of this contract to any unauthorized entity.	4.1	General Monitoring
4.1.6 The contractor shall maintain accounting of a 45-day supply of all consumables, including mail supplies available through USPS and courier companies, to meet all requirements of this contract. The contractor shall provide sufficient notice to the COTR of the need for additional consumables to enable timely replenishment.	4.1	General Monitoring
4.1.7 The contractor shall perform a 100% audit of file holdings semi-annually to include all Service Center operating units to ensure physical location of the files is properly recorded in the electronic tracking systems in accordance with USCIS policies and procedures.	4.1	General Monitoring
4.1.8 The contractor shall track and secure blank pre-printed A-File jackets in the contractor's possession in accordance with USCIS policies and procedures.	4.1	General Monitoring
4.1.9 The contractor shall prepare manifests in accordance with Service Center procedures.	4.1	General Monitoring
4.1.10 The contractor shall generate USCIS pre-approved letters, notices, messages (including E-mail).	4.1	General Monitoring
4.1.11 The contractor shall expedite special file operations requests within the timeframes designated by USCIS policies and procedures, and/or as directed by the COTR. (See 4.5.2)	4.1	General Monitoring
4.1.12 The contractor shall carry out document destruction when necessary in accordance with USCIS policies and procedures, and/or as directed by the COTR.	4.1	General Monitoring
4.1.13 The contractor shall conduct system searches when requested in accordance with USCIS policies and procedures, and/or by the COTR. (See 4.5.5)	4.1	General Monitoring
4.1.14 The contractor shall update data in various electronic data systems as necessary and as required in accordance with USCIS policies and procedures and/or by the COTR.	4.1	General Monitoring
4.1.15 The contractor shall operate and perform basic user maintenance on government provided equipment in accordance with Original Equipment Manufacturer (OEM) and Service Center instructions and as directed by the COTR. This may include, but is not limited to making necessary adjustments to equipment to accommodate various size letters and correspondence, clearing paper jams, and changing toner cartridges, etc.	4.1	General Monitoring
4.1.16 The contractor shall provide notification within one (1) hour (measured during normal hours of operation) of government provided equipment malfunctions or failure to the COTR.	4.1	General Monitoring
4.1.17.1 The contractor shall obtain written approval of the COTR for work schedules different from the normal operating hours one (1) week prior to the commencement of the schedule.	4.1	General Monitoring
4.1.17.2 The contractor shall actively manage its workforce to maintain operational flexibility	4.1	General

Requirement	SOW Section	Measurement
to perform all the requirements of this contract, at all times, regardless of variation of the workload at any specific processing areas within the records management lifecycle.		Monitoring
4.1.18 The contractor shall maintain the capability to accommodate spikes in receipt volumes that occur from time to time and that are predicted at least 45 calendar days in advance of the anticipated sudden increase in receipt volumes. These spikes may be attributable to the beginning of an application period, anticipated changes in fees to be charged, or other phenomena.	4.1	General monitoring
4.1.19 The contractor shall maintain the capability to accommodate surges in volume receipts of up to 20% above the daily average receipt volume for the previous twenty business days. In the event the receipt volume exceeds 120% of the rolling daily average for the previous twenty business days, the contractor shall only be held responsible for meeting the timeliness requirements for 120% of the rolling daily average; the balance may be processed on the next business day and may be considered - for the purposes of surge management only - as part of the receipts for the next day. If the surge extends beyond one day, then the contractor will continue to perform under the same rule for as long as the surge lasts, recalculating the rolling daily average receipt volume and the 120% volume each day based on the previous twenty business days.	4.1	General monitoring

**4.2 Mail Operations Support:  
Performance Requirements without**

Requirement	SOW Section	Quality Standard	Measurement
<p><b>.2.1</b> The contractor shall perform all tasks necessary or, or incidental to, the receipt, processing and delivery of incoming and outgoing mail for all components in the Service Centers and for the USCIS Regional Headquarters for the Western Region (co-located within the Federal Building housing the California Service Center in Laguna Niguel, CA). This includes the handling of registered mail which is an authorized means of transmitting classified information at the Secret level.</p>	4.2	N/A	Ongoing General Monitoring
<p><b>.2.2</b> The contractor shall route, process, and account for all internally and externally generated mail, to include but not be limited to USPS mail, courier service packages, etc., in a manner that optimizes proper file management and security, expedites data collection, maintains financial accountability, and maximizes throughput. The contractor shall process suspicious packages in accordance with USCIS policies and procedures.</p>	4.2	N/A	Ongoing General Monitoring
<p><b>.2.3</b> The contractor shall stage and maintain a count of mail for pickup by presort contractor in accordance with the USCIS policies and procedures.</p>	4.2	N/A	Ongoing General Monitoring
<p><b>.2.4</b> Full adherence to applicable USCIS security policies and procedures is required for all handling of mail and fee instruments.</p>	4.2	N/A	Ongoing General Monitoring
<p><b>.2.5.1</b> The contractor shall pick up mail from the United States Postal Service (USPS) facilities serving the Service Center, in a timely manner, using contractor provided transportation. The contractor shall also receive mail delivered by the USPS, any third party couriers, and/or authorized Government agencies during normal hours of operation.</p>	4.2	The contractor picks up mail from each USPS facility serving the Service Center a minimum of two times every business day – except at VSC where the requirement shall be once every business day - (Monday through Friday – except Federal holidays) and all such mail is received during regular work hours.	Validated customer complaints
<p><b>.2.5.2</b> All incoming mail, including undeliverable and returned mail shall be opened (excluding certain exceptions), sorted, date stamped, properly handled and routed to the appropriate area, in a timely manner, in accordance with local policies and procedures.</p>	4.2	No more than 10 pieces of mail per day received before 12:00 noon are not opened, sorted, date stamped, and routed to appropriate areas no later than close of the same business day the mail is received in the Service Center in accordance with USCIS policies and procedures.	Periodic observation and validated customer complaints

Requirement	SOW Section	Quality Standard	Measurement
Registered mail shall be properly handled, secured and delivered in accordance with USCIS policies and procedures.		All registered mail is properly handled, secured, and delivered in accordance with USCIS policies and procedures.	Periodic observation and validated customer complaints
.2.5.3 The contractor shall log registered and certified mail.	4.2	All registered and certified mail is accurately logged.	Periodic observation
.2.5.4 The contractor shall process outgoing third party courier mail by utilizing the courier's computer-based system.	4.2	The contractor utilizes the third party courier's tracking and delivery verification system for third party courier mail in all cases.	Validated customer complaints
.2.5.5 The contractor shall receive and prepare a manifest for Post Office Non-Deliverable Securities (PONDS) in accordance with Service Center procedures.	4.2	All PONDS mail is accounted for in the manifest per month.	Validated customer complaints
.2.5.6 The contractor shall correctly process all outgoing mail in a timely manner and all uncorrectable nonconforming mail shall be returned to USCIS for disposition guidance.	4.2	<p>All outgoing mail is metered no later than the scheduled time for the presort contractor.</p> <p>All outgoing mail has the appropriate postage for the weight and class affixed.</p> <p>All outgoing mail is properly prepared for mailing with complete and visible delivery addresses and correct billing information in accordance with Service Center procedures. Any uncorrectable nonconforming mail shall be returned to USCIS for disposition guidance.</p>	<p>Validated customer complaints</p> <p>Validated customer complaints</p> <p>Validated customer complaints</p>
.2.5.7 The contractor shall deliver sealed and metered outgoing mail on a regular basis to the USPS or to designated third parties on the same date it was metered.	4.2	All outgoing mail is delivered to USPS, or to third parties designated by the COTR, a minimum of once per business day (Monday through Friday, excluding Federal holidays) on the same date mail was metered.	Validated customer complaints

**4.3 Data Collection Support:  
Performance Requirements**

Requirement	SOW Section	Quality Standard	Measurement
.3.1 The contractor shall assemble forms and other materials in accordance with the USCIS policies and procedures.	4.3	The contractor assembles all forms and other materials in accordance with USCIS policies and procedures.	Periodic observation & Validated customer complaints
.3.2 The contractor shall review applications and/or petitions for acceptability in accordance with USCIS policies and procedures.	4.3	<p>2% or less acceptable forms are rejected.</p> <p>The contractor correctly logs 98% of manually rejected forms.</p> <p>98% of rejected forms (and fees, as appropriate) are return mailed to the applicant/petitioner no later than close of business the day following rejection.</p> <p>2% or less of acceptable applications and petitions are rejected.</p>	<p>Random sampling</p> <p>Random sampling</p> <p>Random sampling</p> <p>Random sampling</p>
.3.3 The contractor shall collect information from source documents and input data into various formatted screens in accordance with USCIS policies and procedures. Accurate data entry of all fee-bearing forms with the exception of the N-400 must be completed no later than close of working day (11:30 p.m.) on the day received in the service center. Accurate data entry of the N-400 form must be completed no later than close of working day (11:30 p.m.) on the next business day following being received in the service center. Accurate data entry	4.3	<p>Accurate data entry of all fee-related forms other than the N-400 must be completed no later than close of the working day (11:30 p.m.) on the day received at the service center.</p> <p>Accurate data entry of the N-400 must be completed no later than close of the working day (11:30 p.m.) on the next business day after being received at the service center.</p> <p>Accurate data entry of all non-fee related forms must be completed no later than close of</p>	<p>Random sampling</p> <p>Random sampling</p> <p>Random Sampling</p> <p>Random Sampling</p>

Requirement	SOW Section	Quality Standard	Measurement
<p>of nonfee-bearing forms must be completed no later than close of working day (11:30 p.m.) on the 2<sup>nd</sup> business day following being received in the service center.</p>		<p>the working day (11:30 p.m.) on the 2<sup>nd</sup> business day after being received at the service center.</p>	
<p>.3.4 The contractor shall appropriately and correctly prepare and affix barcode labels and other identifiers.</p>	4.3	<p>All identifiers, including barcode labels, are appropriately and correctly prepared and affixed to all applications, petitions, and file jackets in accordance with USCIS policies and procedures.</p>	Validated customer complaints
<p>.3.5 The contractor shall generate screen printouts in conjunction with data entry in accordance with USCIS policies and procedures.</p>	4.3	<p>All screen prints are generated in accordance with USCIS policies and procedures.</p>	Periodic observation & Validated customer complaints
<p>.3.6 The contractor shall scan biometric information from documents as required, and cropping, scaling and adjusting of contrast and brightness are performed as necessary to achieve an acceptable quality image for document production.</p>	4.3	<p>All biometric information is scanned from documents as required, and cropping, scaling and adjusting of contrast and brightness are performed as necessary to achieve an acceptable quality image for document production.</p>	Periodic observation & Validated customer complaints
<p>.3.7 The contractor shall scan, process, and verify fingerprint submissions for submission to the Federal Bureau of Investigation (FBI).</p>	4.3	<p>All fingerprint submissions are scanned, processed accurately and submitted to the FBI no later than close of the third business day following being received in the Service Center (exception : Orphan and adoption cards are processed and submitted no later than close of the next business day).</p>	Validated customer complaints.
<p>.3.8 The contractor shall create files during data collection in accordance with USCIS policies and procedures. Fee-bearing forms and premium applications and/or petitions requiring either an A-file, or T-file or a receipt file (as appropriate) shall have a file created no later than close of working day (11:30 p.m.) on the day received in the service center. The nonfee-bearing forms will be created no later than close of working day (11:30 p.m.) on the 2<sup>nd</sup> business day following being</p>	4.3	<p>All fee-bearing forms and premium applications and/or petitions requiring either an A-File, T-File, or a receipt file (as appropriate) shall have a file created no later than close of working day (11:30 p.m. on the day received in the service center.</p> <p>All non fee-bearing forms requiring either an A-File, T-File or receipt file (as appropriate) shall have a file created no later than close of</p>	Validated customer complaints  Validated customer complaints

Requirement	SOW Section	Quality Standard	Measurement
<p>received in the service center. The I-485 A-file shall have the A-file created no later than close of working day (11:30 p.m.) on the 3<sup>rd</sup> business day following being received in the service center.</p>		<p>working day (11:30 p.m.) on the 2<sup>nd</sup> business day following being received in the service center.</p> <p>All I-485 A-Files, when needed, shall have an A-File created no later than close of working day (11:30 p.m.) on the 3<sup>rd</sup> business day following being received in the center.</p> <p>No duplicate A-file records are created.</p>	<p>Validated customer complaints</p> <p>Validated customer complaints</p>
<p>3.9 The contractor shall schedule biometric appointments in accordance with USCIS policies and procedures.</p>	4.3	<p>All biometrics appointments are scheduled in accordance with USCIS policies and procedures.</p>	<p>Validated customer complaints</p>

**4.4 Collection:**

**Performance Requirements**

Requirement	SOW Section	Quality Standard	Measurement
<p><b>4.1</b> The contractor shall endorse and deposit fees not later than the depository pick up on the next business day after the fees were received in the Service Center.</p>	4.4	<p>All fees are prepared for deposit in accordance with USCIS policies and procedures.</p> <p>Contractor endorses, and deposits all fees not later than the depository pick up on the next business day after the fees were received in the Service Center.</p>	<p>Random sampling</p> <p>100% audits and Validated customer complaints</p>
<p><b>4.2</b> The contractor shall accurately generate, prepare, reconcile, and report daily deposits in accordance with USCIS policies and procedures.</p>	4.4	<p>All deposits are accurately generated, prepared, reconciled, and reported daily.</p>	<p>Periodic observation &amp; Validated customer complaints</p>
<p><b>4.3</b> The contractor shall monitor and safeguard fees at all times while within the contractor's custody in accordance with USCIS policies and procedures.</p>	4.4	<p>All fees are monitored and safeguarded at all times when in the custody of the contractor.</p>	<p>Periodic observation &amp; Validated customer complaints</p>

**4.5 File Operations Support:  
Performance Requirements**

Requirement	SOW Section	Quality Standard	Measurement
.5.1 The contractor shall create files using file operations in accordance with USCIS policies and procedures.	4.5	All files for which an A-file or a receipt file is requested by USCIS has an A-file or a receipt file created no later than close of the next business day following request from USCIS.  No duplicate A-file records are created.	Validated customer complaints  Validated customer complaints
.5.2 The contractor shall, at any time including outside normal hours of operation), accurately identify, locate and retrieve files requested by the COTR, OSI, and/or FDU, in a timely manner, in accordance with USCIS policies and procedures.	4.5	All files are accurately identified, located and retrieved within four (4) hours, when requested by USCIS, or within the designated timeframe, when requested by the COTR.	Periodic observation
.5.3 The contractor shall request files from external sources in accordance with USCIS policies and procedures.	4.5	Contractor makes all system file requests no later than close of the next business day following request from USCIS or awareness of the need.	Validated customer complaints
.5.4 The contractor shall fulfill internal and external requests for files in a timely manner and in accordance with USCIS policies and procedures.	4.5	Contractor responds to 98% of requests, by correctly retrieving and delivering files no later than the close of the next business day (or within other designated timeframes) following request from USCIS.	Random sampling
.5.5 During normal hours of operation, the Contractor shall fulfill customer requests for information located in Service Center files in the requested media.	4.5	Contractor provides requested information to customer within four (4) normal operating hours.	Validated customer complaints
.5.6 The contractor shall perform file sorts in accordance with USCIS policies and procedures.	4.5	All files are segregated, stored, and routed in accordance with USCIS policies and procedures.	Validated customer complaints
.5.7 The contractor shall file and A-file records in a timely manner and in accordance with USCIS policies and procedures.	4.5	Unless otherwise directed by the COTR, all new applications and/or petitions are filed no later than close of the 2nd business day following data entry.	Periodic observation

Requirement	SOW Section	Quality Standard	Measurement
		Other incoming files and re-files are filed no later than close of the next business day following being received in the Service Center.	Periodic observation
.5.8 The contractor shall update appropriate records in USCIS systems e.g., Receipt and Alien File Accountability Control System (RAFACS), National File Tracking System (NFTS), and Central Index System (CIS), etc.) for files.	4.5	When files are moved all systems are correctly updated located in USCIS tracking systems.  The contractor reconciles and resolves 99% of issues identified through system-generated reports in accordance with USCIS policies and procedures.	Periodic observation  Random sampling
.5.9 The contractor shall identify, consolidate, and merge all files related to a beneficiary of an application or petition and update all USCIS systems to accurately reflect the consolidation or merger in accordance with USCIS policies and procedures.	4.5	The contractor consolidates all files, to include system updates, no later than close of the third business day following being received in the Service Center or identified in the Service Center, and prior to file movement.	Validated customer complaints
.5.10 The contractor shall create and maintain temporary holding areas within the Service Centers for files that are on hold pending further actions (i.e. receipt of payment, fingerprints, or evidence).	4.5	The contractor maintains a tracking tickler-filing process that accurately identifies the expiration of all files held in the temporary holding areas.  The contractor moves temporary holdings to the next stage of the appropriate process when required.	Validated customer complaints  Validated customer complaints
.5.11 The contractor shall interfile and connect correspondence or Request for Evidence (RFE) with corresponding file(s) and update systems in a timely manner and in accordance with USCIS policies and procedures.	4.5	All Requests for Evidence (RFE) is connected no later than close of the third business day following being received in the Service Center.  All correspondence is interfiled no later than close of the fifth business day following being received in the Service Center.  The contractor moves all files to the adjudicator no later than close	Validated customer complaints  Validated customer complaints  Validated customer complaints

Requirement	SOW Section	Quality Standard	Measurement
		of the next business day following the requested evidence being connected to the file.	
.5.12 The contractor shall maintain files in accordance with USCIS policies and procedures.	4.5	<p>All file maintenance is performed in accordance with USCIS policies and procedures.</p> <p>All files are in suitable jackets at all times in accordance with USCIS policies and procedures.</p> <p>All barcodes are readable at all times.</p>	<p>Validated customer complaints</p> <p>Validated customer complaints</p> <p>Validated customer complaints</p>
.5.13 The contractor shall electronically transfer in USCIS systems and physically ship files to the National Records Center (NRC), Harrisonburg File Storage Facility (HBG FSF), or other locations as directed in accordance with USCIS policies and procedures.	4.5	All files are properly prepared and shipped to the NRC, HBG FSF, or other locations as directed.	Periodic observation and validated customer complaints
.5.14 The contractor shall perform system queries and searches and generate associated screen prints in a timely manner, in accordance with USCIS policies and procedures, and as directed by the COTR.	4.5	The contractor performs all system queries and searches, and generates all associated screen prints within the required timeframes.	Validated customer complaints
.5.15 The contractor shall scan materials accurately.	4.5	<p>The contractor makes all necessary adjustments to the system data that scanning equipment read incorrectly.</p> <p>No scanned material is rejected due to contractor error.</p>	<p>Periodic observation and validated customer complaints</p> <p>Periodic observation and validated customer complaints</p>
.5.16 The contractor shall assemble e-Filed and Lockbox applications and/or petitions and other materials in accordance with the USCIS policies and procedures.	4.5	<p>The contractor assembles all e-filed and lockbox Premium Processing forms no later than close of the same business day the application/petition is received.</p> <p>The contractor assembles all Lockbox and e-Filed non-Premium Processing forms no later than close of the next business day following receipt of</p>	<p>Periodic observation and validated customer complaints</p> <p>Periodic observation and validated customer complaints</p>

Requirement	SOW Section	Quality Standard	Measurement
		the Lockbox or e-Filed application/petition.	
.5.17 The contractor shall verify the accuracy of manifests for e-File and Lockbox forms in accordance with USCIS policies and procedures.	4.5	The contractor verifies the accuracy of all the manifests of e-Filed and Lockbox forms in accordance with the USCIS policies and procedures.	Periodic observation and validated customer complaints
.5.18 The contractor shall ensure that files are "adjudication ready" when they are sent to an adjudication division within the Center.	4.5	The contractor ensures that at least 98% of files forwarded to an adjudication division for adjudication are correctly assembled, complete, and all papers correctly fastened to the file in accordance with USCIS policies and procedures.	Random sampling
.5.19 The contractor shall pick up, continuously sort, and deliver for internal distribution printouts and files between mail stops with the Service Center as established by the COTR. The contractor shall pick up mail, printouts, and files no less than twice daily or as directed by the COTR. Any piece of mail picked up at a mail stop shall be delivered to the designated mail stop not later than close of business on the next business day.	4.5	All mail picked up at a mail stop is delivered to its designated mail stop not later than close of business on the next business day.	Periodic observation and validated customer complaints
.5.20 The contractor shall provide special internal distribution delivery runs as required by the COTR.	4.5	All special mail delivery runs are performed within the time designated by the COTR.	Validated customer complaints
.5.21 The contractor shall scan materials no later than close of the third business day following being received in the Service Center or request from USCIS.	4.5	All materials are scanned by the contractor no later than close of the third business day following being received in the Service Center or requested from USCIS.	Periodic observation & validated customer complaints
.5.22 The contractor shall photocopy application- and petition-related documents in accordance with USCIS policies and procedures or as directed by the COTR.	4.5	All application and petition related documents are photocopied by the contractor in accordance with USCIS policies and procedures or as directed by the COTR.	Periodic observation & validated customer complaints
.5.23 The contractor shall generate documents for batch printing as directed by the COTR.	4.5	All documents are generated by the contractor for batch printing as directed by the COTR.	Periodic observation & validated customer complaints
.5.24. This task currently only applies to the Nebraska Service Center. The contractor shall provide travel booklet support including		All travel booklet support (this task is currently performed only at the NSC) is provided by the contractor, including matching	Periodic observation & validated customer complaints

Requirement	SOW Section	Quality Standard	Measurement
atching consulate notice to booklet, writing applicant's foreign address on notice, and following proper destruction procedures in accordance with USCIS policies and procedures.		consulate notice to booklet, writing applicants foreign address on notice, and following proper destruction procedures in accordance with USCIS policies and procedures.	
.5.25 This task is currently performed only at the NSC. The contractor shall update USCIS systems to show travel booklet document is prepared and mailed.	4.5	All USCIS systems are updated to that show travel booklet documents have been prepared and mailed.	Periodic observation & validated customer complaints
.5.26.1 The contractor shall identify, qualify and request appropriate accesses for users to IBIS, TECS, and DACS, or successor systems.	4.5	All users - but no more than 15 per Service Center - are identified, qualified, and have access to IBIS, TECS, and DACS or successors systems, requested for them by the contractor.	Periodic observation & validated customer complaints
.5.26.2 The contractor shall perform systems background checks in accordance with USCIS policies and procedures.	4.5	All systems background checks are performed by the contractor in accordance with USCIS policies and procedures.	Periodic observation & validated customer complaints
.5.26.3 The contractor shall identify expired biometrics and schedule biometric appointments in accordance with USCIS policies and procedures.	4.5	All expired biometrics are identified by the contractor and biometric appointments are scheduled in accordance with USCIS policies and procedures.	Periodic observation & validated customer complaints
.5.26.4.1 The contractor shall conduct an IBIS "individual subject query" (SQ-11) and print the screen relating to positive IBIS hit records in conformity with instructions contained in the Standard Operating procedures (SOP) for IBIS Pull List. Those screen prints may include AFACS/NFTS file locations, NCIC, TECS and DACS information.	4.5	All IBIS individual subject queries (SQ-11) are performed by the contractor and the screen relating to positive IBIS hit records is printed, in conformance with instructions contained in the SOP for IBIS Pull List.	Periodic observation & validated customer complaints
.5.26.4.2 The contractor shall match printouts with all relevant files by receipt file numbers, and by name if necessary, so that all relevant files for positively identified IBIS hit can be pulled on a daily basis. The contractor, after matching all screen prints, shall stamp these screen prints "Law Enforcement Sensitive" and fastens them to the file in accordance with the ROH.	4.5	All printouts are sorted and matched by receipt file numbers and by name if necessary by the contractor so that all relevant files for a positively identified IBIS hit can be pulled on a daily basis. The contractor, after matching all screen prints stamps these screen prints, "Law Enforcement Sensitive" and fastens them to the file in accordance with the ROH.	Periodic observation & validated customer complaints
.5.26.4.3 The contractor shall	4.5	All screen prints are distributed	Periodic observation &

Requirement	SOW Section	Quality Standard	Measurement
Distribute these screen prints as indicated by their RAFACS/NFTS location.		by the contractor as indicated by their RAFACS/NFTS location.	validated customer complaints
.5.26.4.4 The contractor shall take appropriate action when certain remarks appear on NCIC and TECS screens call for immediate attention. These remarks are listed in the SOP for IBIS Pull List.	4.5	All appropriate action is taken by the contractor when certain remarks appear on NCIC and TECS screens call for immediate attention. These remarks are listed in the SOP for IBIS Pull List, or successor system procedures..	Periodic observation & validated customer complaints
.5.26.4.5 The contractor shall direct all files to the triage process in effect in order to resolve all positive hits.	4.5	Files are directed by the contractor to the triage process in effect.	Periodic observation & validated customer complaints
.5.27 The contractor shall perform a thorough search of all applications and/or petitions, supporting documentation, and files for aliases identified, as well as lists generated by USCIS and enter all aliases into the IBIS ALIAS system(s) or successor system.	4.5	A thorough search of all applications and/or petitions, supporting documentation and files for aliases, as well as lists generated by USCIS is performed by the contractor, and all aliases are entered into the IBIS system(s) or successor system.	Periodic observation & validated customer complaints.

**Attachment 7.2 - Schedule of Deductions**

Section	RO	Requirement	Severity	Measure	Rate and Deduction
Data Collection	4.3.2	The contractor shall review applications and/or petitions for acceptability in accordance with USCIS policies and procedures.	2% or less acceptable forms are rejected.	Random sampling	2% or less..... None >2%.....\$15,000  Per Service Center Per month
Data Collection	4.3.3	The contractor shall collect information from source documents and input data into various formatted screens in accordance with USCIS policies and procedures.	Accurate data entry of all forms must be completed no later than the close of business on the 2 <sup>nd</sup> day following being received in the service center.	Random sampling	98% or higher..... None <98%.....\$15,000  Per Service Center Per month
Data Collection	4.3.4	The contractor shall appropriately and correctly prepare and affix barcode labels and other identifiers.	All identifiers, including barcode labels, are appropriately prepared and affixed to all applications, petitions, and file jackets in accordance with USCIS policies and procedures.	Validated customer complaints	6 or fewer..... None >6.....\$15,000  Per Service Center Per month
Fee Collection	4.4.1	The contractor shall endorse and deposit fees not later than the depository pick up on the next business day after the fees were received in the Service Center	Contractor endorses, and deposits all fees not later than the depository pick up on the next business day after the fees were received in the Service Center.	100% audits and Validated customer complaints	Each infraction.....\$5,000
Fee Collection	4.4.3	The contractor shall monitor and safeguard fees at all times while within the contractor's custody in accordance with USCIS policies and procedures..	All fees are monitored and safeguarded at all times when in the custody of the contractor.	Periodic observation & Validated customer complaints	Each infraction..... \$2,000

**Attachment 7-3 – Definitions and Acronyms**

The following definitions and acronyms are provided to the contractor to support understanding of the Performance Work Statement.

**Definitions**

<b>Term</b>	<b><u>Definition</u></b>
Accepted application or petition	An application or petition received at the Service Center where the correct fee is properly submitted or waived, and the application or petition is properly signed. The qualifications for acceptance may change in accordance with statute, regulations, and agency policy.
Accuracy	Data entered in an automated system 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).
Action Stamp	A facsimile stamp that is used when action is completed on a piece of loose material and then sent to another unit or office to file. The document is stamped or annotated in the lower right-hand corner with Action Completed-Approved for Filing and includes initials, FCO/Unit, and the date.
Address Request	(AR-11) Form used to report the change of address of an alien in the United States.
Adjudication	The process by which applications and/or petitions for benefits are reviewed for decision.
Adjudication Backlog	Files pending adjudication longer than USCIS prescribed timeframes.
Adjudication Ready	This is the end result of file assembly. It establishes that a file is complete with screen-prints produced, A-Files requested and consolidated, valid fingerprint results, workable name checks and accurately assembled to decrease the time and effort for an adjudicator to render a decision.
Administrative Manual	(AM) Identifies internal and external regulations and policies; provides procedures for management and administrative support activities of the service.
Alien	Any person who is not a citizen or national of the United States.
Alien File	(A-File) A hard copy file containing all data, history, and documentation relating to a single individual concerning any type of USCIS action, other than a non-immigrant petition.
A-Number	An eight or nine digit number assigned to an alien at the time of entry, arrest, or as required, and used to uniquely identify an alien record.
Appeal	A written request by a petitioner for review of denied application by a higher authority (Administrative Appeals

<b>Term</b>	<b>Definition</b>
	Unit (AAU), or Board of Immigration Appeals (BIA)) as specified in the INA.
Application	A form submitted by an individual requesting an Immigration benefit.
Application Support Center	(ASC) Some USCIS applications require the USCIS to conduct a FBI fingerprint background check on the applicant. Most applicants that require a background check will be scheduled to appear at a specific Application Support Center (ASC) or Designated Law Enforcement Agency (DLEA) for fingerprinting. Fingerprints, photographs, and signatures of people seeking benefits are collected at the ASC's.
Automated Biometric Identification System	(IDENT) An automated system that allows USCIS officers to identify individuals quickly and accurately. IDENT captures the index fingerprints and a photo and enables searches of on-line databases to identify criminal and non-criminal deportable aliens.
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 or in accordance with USCIS policies and procedures.
Barcode	A machine generated label affixed to a file folder or document corresponding to the file number of the file to facilitate the electronic tracking of the file or document.
Batch	A collection of forms received in the mail and provided by the agency to the contractor for data collection.
Beneficiary	Aliens on whose behalf a U.S. Citizen, legal permanent resident (LPR), or employer have filed a petition for such aliens to receive immigration benefits from the USCIS. Beneficiaries generally receive a lawful status as a result of their relationship to a U.S. citizen, LPR, U.S. employer.
Bi-Specialization	Plan by SCOPS to split and distribute the incoming workload between two Service Centers. Current plan teams the Nebraska and Texas Service Centers, and the California and Vermont Service Centers beginning FY 2006. Some of the workload would continue to be the sole responsibility of one Center.
Biometrics Scanning	The process of attaching images of the photograph, signature and/or fingerprint (biometrics) of the applicant to a record in CLAIMS.
Board of Immigration Appeals	(BIA) An independent unit within the Executive Office for Immigration Review (EOIR) that hears appeals of decisions made by the Service.
Border Crossing Identification Cards	Documents of identity bearing that designation issued to an alien who is lawfully admitted for permanent residence or to

Term	Definition
	an alien who is a resident in foreign contiguous territory by consular officer or immigration officer for the purpose of crossing over borders between the U.S. and foreign contiguous territories.
Bucket	A section of shelf space (approximately 1 linear foot in length) in a Service Center file room, 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, field office, and/or date application was received by USCIS.
Business Day	A business day is considered to be between the hours of 8:00 a.m. and 5:00 p.m., Monday through Friday; except for U.S. Government holidays. Close of business day is 5:00 p.m.
Case Control Office	(CCO) An office authorized to hold files while a case is being processed by USCIS and is under the jurisdiction of an FCO. A CCO may receive and transfer files, and must have either NFTS or a networked version of RAFACS.
Case Resolution Unit	(CRU) A unit within the Service Center Records program that provides technical guidance in the records, fee and systems related operations to the internal customers.
Center Information Processing System	(CIPS) An automated system providing electronic processing of requests to retrieve retired A-Files from the Federal Records Center.
Central Index System	(CIS) The master records management system that collects and distributes automated biographical information on aliens. The system contains the physical status of alien files (A-file) and provides the tracking capability to move these files to various USCIS locations.
Completed Case	An application and/or petition which has been approved, denied, 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 automated 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 and Management System 3	(CLAIMS 3 or C3) USCIS automated GUI/DOS-based system that currently supports receipting, adjudication, and notification processes for all applications and petition types (except Naturalization applications).
Computer Linked Application Information and Management	(CLAIMS 4 or C4) USCIS automated GUI Windows-based system that currently supports receipting and notification

<b>Term</b>	<b>Definition</b>
System 4	processes for N-400, Application to File for Naturalization, and I-881, Application for Suspension of Deportation or Special Rule Cancellation or Removal.
Computer Linked Application Information and Management System Mainframe	(CLAIMS Mainframe) USCIS 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.
Contract Performance Analysis Unit	(CPAU) A unit within the Service Center Records program that is responsible for assisting with contract compliance oversight, monitoring the contractor on site, and liaison with other non-Records Units within the Service Centers.
Contracting Officer	(CO) The Government employee responsible for executing/administering and providing direction on the contract.
Contracting Officer's Technical Representative	(COTR) USCIS employee designated by the CO to assure technical compliance with the contract, or their designee. The COTR will be appointed by letter and be based in Washington, DC. Their designated representatives at each service center will be known as the Service Center COTR, i.e. responsible only for contract oversight at their center.
Consolidate	The process of both physically and electronically consolidating two or more A-Files (or Substitute Files) relating to the same individual. Also, used to refer to the "merge" of T-Files or Receipt Files into A-Files.
Contractor Backlog	The backlog of front-end processing caused by contractor actions or failures within their responsible task areas. Contractor backlog time excludes delays awaiting applicant response, FBI fingerprint check, USCIS adjudicator action, or other actions that occur after the front end processing is completed.
Correctness	Data elements captured from source documentation match the source documentation.
Correspondence	Incoming written material, some of which relates to the processing of applications and/or petitions. Types of written material may include congressional or public inquiries, and responses from applicants to miscellaneous communications.
Critical Data	USCIS 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 USCIS 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.

<b>Term</b>	<b>Definition</b>
Data Change	Altering information in automated systems without affecting the status of the case.
Defective Service	A service output that does not meet the associated standard of performance in the Performance Requirements Summary.
Denial	A decision by USCIS to deny, terminate, revoke, or rescind a benefit.
Department of Justice	(DOJ) Department of Justice
Department of Homeland Security	(DHS) Department of Homeland Security
Deportable Alien Control System	(DACS) An 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 USCIS to take fingerprints of USCIS 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 either a District or Sub Office. Direct Mail can also include cases in which fees were received by another USCIS office.
District Office	(DO) Geographic areas into which the U.S. and its territories are divided for the USCIS field operations or one of three overseas offices located in Rome, Bangkok, and Mexico City. Each DO has a specific service area that may include part of a state, an entire state, or many states. DO's are where most USCIS field staff are located. DO's are responsible for providing certain immigration services and benefits to people resident in their service area, and for enforcing immigration laws in that jurisdiction. Certain applications are filed directly with DO's, many kinds of interviews are conducted at the offices, and USCIS staff is available to answer questions, provide forms, etc.
Document	Recorded information, regardless of physical form or characteristics and is often used interchangeably with "Record".

<b>Term</b>	<b>Definition</b>
Employment Authorization Documentation	(EAD) A document issued by the USCIS as evidence that the holder is authorized to work in the US.
Enforcement Case Tracking System	(ENFORCE) A case management system that integrates and supports functions including subject processing, biometric identification, allegations and charges, preparation and printing of appropriate forms, data repository, and interface with the national database of enforcement events.
Executive Office of Immigration Review	(EOIR) An organization within DOJ comprised of Immigration Judges and the Board of Immigration Appeals who have responsibility for hearing cases in Immigration matters.
Express Mail	Generic term for next day delivery of mail using various private carriers, couriers, and/or the US Postal Service.
FBI fingerprint card	(FD-258) The form that is used to record an applicant's fingerprints for submission to the FBI.
FBI Fingerprint Query	An automated USCIS database that tracks fingerprint results.
Federal Bureau of Investigation	(FBI) DOJ agency that maintains fingerprint records in automated form. USCIS submits fingerprint forms to the FBI to verify the applicant's identity and to determine if the applicant has a criminal record.
Federal Records Center	(FRC) Locations where federal records are stored. These centers are under the control of the National Archives and Records Administration (NARA).
Fee	Amount of money charged for the filing of a particular type of application/petition. Fees must be submitted for exact amount (US Funds), in form of check or money order.
Fee Exempt	Fee is not required for action.
Fee Infraction	A fee instrument or group of instruments not controlled by the contractor in accordance with USCIS policies and procedures.
Fee Received Elsewhere	(FRE) Applications and/or petitions that were processed at another USCIS location where the fee was removed and deposited before being forwarded to a Service Center.
Fee Waived	Although a fee is normally charged, the USCIS may make the determination (based on criteria) not to require a fee for an application and/or petition submitted to the Service Center.
Fees and Applications Receipt and Entry System	(FARES) A mainframe system that documents all the applications and petitions received by all SCs and some Field Offices.
File Connection	Accomplished when applications, petitions, and/or correspondence are matched to and filed within the corresponding A-File.
File Control Office	(FCO) An USCIS field office—either a District Office (including USCIS overseas offices) or a sub office of that

<b>Term</b>	<b>Definition</b>
	district—where alien case files are maintained and controlled.
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.
Filed	A case is filed when it is deposited on or in a shelf, box, cabinet or other holding device waiting for the next action to be imposed upon it.
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.
Fiscal Quarter	(FQ) A 3-month period during the Fiscal Year (1 <sup>st</sup> FQ: October 1-December 31; 2 <sup>nd</sup> FQ: January 1-March 31; 3 <sup>rd</sup> FQ: April 1-June 30; 4 <sup>th</sup> FQ: July 1-September 30).

<b>Term</b>	<b>Definition</b>
Fiscal Year	(FY) A 12-month period beginning October 1 and going through September 30 of the following calendar year. FY is determined by calendar year in which it ends (i.e. FY2006 begins October 1, 2005 and ends September 30, 2006).
Field	A specific section of an application or petition that requires data entry (e.g. name, street address, country of birth,) A field may consist of any number or combination of keystrokes.
Form	An application and/or petition provided through the mail, electronically, or by the agency to have data entered from specific fields on the form. The form may contain any number of fields that require keying and may consist of one or more pages.
Fraud Detection Unit	(FDU) A unit within the Service Center that reviews applications and/or petitions for suspected applicant fraud.
Freedom of Information Act/Privacy Act	(FOIA/PA) The Freedom of Information Act provides that any person has a right to request access to immigration records, except those records exempted by the act. The Privacy Act provides legal permanent residents and US citizens a right of access to records filed and retrieved by their name or personal identifier.
Freedom of Information Act/Privacy Act (FOIA/PA) Case Tracking	(FIPS) Automated case tracking and processing system for FOIA/PA requests.
Government Provided Property	Supplies/equipment in the possession of or directly acquired by the Government and subsequently made available to the Contractor for use in performing services under a contract.
Graphical User Interface	(GUI) The design and appearance of screens that includes icons, pictures, pop-up menus, etc.
Green Card	Alien Registration Receipt Card (Form I-151 or Form I-551).
Haitian Refugee Immigration Fairness Act of 1998	(HRIFA) Signed into law on October 21, 1998, it provided immigration benefits and relief from deportation to certain Haitian nationals. HRIFA allowed eligible Haitians to obtain LPR status without applying for an immigrant visa at a U.S. consular office overseas, and waived many of the usual requirements for this benefit.
Harrisonburg File Storage Facility	(HBG FSF) Located in Harrisonburg, VA, the HBG FSF was originally established in 1997 to serve as a repository for all non-pending receipt files from the four Service Centers, as well as the National Benefits Center. The Office of Records Management has oversight for this facility, which is operated by SI International.
I-551	Green Card; Alien Registration Card; Permanent Resident Card.
Immigrant	Any person not a citizen of the U.S. who is residing in the

<b>Term</b>	<b>Definition</b>
	U.S. under legally recognized and lawfully recorded permanent residence as an immigrant. Also known as "Green Card Holder" or "Lawful Permanent Resident."
Immigration and Nationality Act	(INA) The Act, which along with other immigration laws, treaties, and conventions of the U.S., relates to the immigration, temporary admission, naturalization, and removal of aliens.
Immigration Marriage Fraud Amendments of 1986	Public law passed in order to deter immigration-related marriage fraud. Its major provision stipulates that aliens deriving their immigrant status based on a marriage of less than two years are condition immigrants. If the aliens cannot show that the marriage through which the status was obtained was and is a valid one, their conditional immigrant status may be terminated and they may become deportable.
Immigration Reform and Control Act of 1986	(IRCA) Public law passed in order to control and deter illegal immigration to the U.S. Its major provisions stipulate legalization of undocumented aliens, legalization of certain agricultural workers, sanctions for employers who knowingly hire undocumented workers, and increased enforcement at U.S. borders.
Interagency Border Inspection System	(IBIS) IBIS resides on the Treasury Enforcement Communications System (TECS) at the CBP Data Center. It tracks information on suspect individuals, businesses, vehicles, aircraft, and vessels. IBIS terminals can also be used to access NCIC records on wanted persons, stolen vehicles, vessels, or firearms, license information, criminal histories, and previous Federal inspections. The information is used to assist law enforcement and regulatory personnel.
Integrated Card Production System	(ICPS) The hardware and associated software used to manufacture USCIS cards and Laser Visas for the Department of State, located in Corbin, KY and in the USCIS Service Centers.
Intent to Deny	A notice sent by USCIS to an applicant or petitioner advising of possible adverse action to be taken on an application or petition for a benefit.
Interfile	The act of identifying and placing loose material, or a set of related documents, into the appropriate file.
Keying Change	A keying change constitutes a change in the number or type of entry to a field or form. The change may consist of alpha to numeric, numeric to alpha, a change in the number or size of each field to be keyed, or the addition of fields.
Keystroke	Each character within a field that is keyed.
Labor Certification	A clearance issued by the Secretary of Labor certifying that with regard to a prospective immigrant's occupation: (1) There are insufficient U.S. workers ready, willing and able to

<b>Term</b>	<b>Definition</b>
	perform a particular labor, and (2) that the alien's employment in the U.S. will not adversely affect the wages and working conditions of similarly employed persons in the U.S. A labor certification is required for certain applications for permanent residence.
Lawful Permanent Resident	(LPR) Any person not a citizen of the U.S. who is residing in the U.S. under legally recognized and lawfully recorded permanent residence as an immigrant. Also known as "Green Card Holder" or "Immigrant."
Letters Express Program	Automated pre-printed letters that are mailed to applicants or petitioners requesting additional information or evidence.
Lockbox	Facility where designated form types are mailed by applicants. Forms are data entered and fees deposited, prior to shipping acceptable files to the applicable Service Center.
Machine Readable Data	(MRD) 2D 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. MRD is also used to verify receipt of FD-258 Fingerprint Cards to and from the FBI.
Mail	Envelopes, files, or packages of any kind that are incoming to the service center or outgoing from the Service Center.
Mailstop	Any location within the service center where the contractor delivers or picks up mail, including individual workstations.
Manifest	A listing of the contents of a shipment, normally by package. Normally, a manifest would be prepared for each box of files in a shipment, for example.
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) A USCIS automated database system for tracking and processing applications to terminate conditional residence status.
Motion	A request to reopen a denied case and to reconsider the decision.
Motion on Appeal	A request to re-open an appeal denied by the BIA or AAU.
National Archives and Records Administration	(NARA) The agency which manages the RRC and the FRC.
National File Transfer System	(NFTS) An USCIS automated system that supports national file tracking (replacement for RAFACS).
National Records Center	(NRC) A USCIS facility that serves as the central repository for storage of active and inactive USCIS files. The NRC is located in Lee's Summit, MO.
National Visa Center	(NVC) The Department of State facility which houses approved petitions until visas become available, after which the petitions are forwarded to the applicable American

<b>Term</b>	<b>Definition</b>
	Consulate.
Naturalization	The conferring, by any means, of citizenship upon a person after birth.
National Data Integrity Project	(NDIP) A project to enable USCIS to track naturalization cases through all stages of the process; USCIS 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 USCIS policy document 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.
New Forms	Any application, petition, or other form that requires keying and has not been included in this contract.
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 who seeks temporary entry to the U.S. for a specific purpose. The alien must have a permanent residence abroad and qualify for the non-immigrant classification sought. Non-immigrants include: foreign government officials, officials and employees of international organizations, visitors for business and pleasure, crewmen, students, trainees and temporary workers of distinguished merit and ability or who perform services because U.S. workers are unavailable in the U.S.
Normal hours of operation	Normal hours of operation at a Service Center are between 6:00 a.m. to 11:30 p.m. on Monday through Friday, except for U.S. Government holidays.
Notice of Action	A document sent to respondent describing intended action on an application/petition.
Notice To Appear	(NTA) The "96 Act" requires that one charging document be used to begin removal proceedings for inadmissible and deportable aliens. The previous documents, Order to Show Cause and the I-122, were combined into a single charging document, the Notice To Appear.
Office of Chief Information Officer	(OCIO) The USCIS office responsible for information technology services.
Office of Security Investigations	(OSI) USCIS Law Enforcement Agency
Open Database Connectivity	(ODBC) A standard application programming interface for accessing a database.
Other Mail - Case Related	Mail that is not administrative mail or an application/petition. This mail consists mostly of A-files, interfiling, and cards

<b>Term</b>	<b>Definition</b>
	sent by other offices for destruction.
Peak Period	The time(s) when the volume of work increases in direct response to changes brought about by technological advances, USCIS reorganizations, implementation of new laws and policies, changes in United States Government administration, or changing global events.
Performance Requirement	Key service outputs of the contract that will be evaluated by the USCIS to ensure adequate Contractor compliance and to determine the amount of the award fee.
Periodic Observation	Periodic observations are planned assessment visits to a work area intended to allow for verification that processes are properly implemented and carried out, that all relevant documents and procedures are available and correct and that the contractor's Management team is implementing effective corrective and preventive action in the event of significant non-conformance conditions.
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.
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 USCIS forms available on the USCIS web site.
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 USCIS 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 accounts for the document sometime after 120 days.
Premium Processing	A service that provides American businesses with the opportunity to obtain faster processing of a petition or application to meet their needs for a foreign worker. Specifically, USCIS provides 15-calendar day processing to those who choose to use this service or USCIS will refund the Premium Processing fee and the relating case will continue to receive expeditious service.
Prep/Prepping	Preparing a work item for the next processing step. An example would be prepping work for imaging may include removing staples, straightening corners of documents, taping

<b>Term</b>	<b>Definition</b>
	paper rips, and inserting patch sheets, or verifying a completed action file against the database record in preparation for archiving.
Pre-sort Contractor	A firm which has contracted with the Government to sort mail by zip codes prior to delivery of the outgoing mail to the USPS.
Quality Assurance Surveillance	The sum of all activities performed by the USCIS in the ongoing monitoring of product quality, to confirm that reviewed product meets or exceeds the stated requirements and needs.
Quality Assurance Surveillance Plan	A Plan document prepared by the USCIS describing the roles and responsibilities, types of work to be performed, surveillance methods and activities used and basic guidance to the Quality Assurance Surveillance Personnel for the assessment and documentation of contractor product quality performance.
Quality Control	(QC) The operational techniques and activities (and the use of them) that sustain a quality of product or service that will satisfy given needs. The goal of Quality Control is to provide quality that is acceptable and satisfactory, (e.g., safe, adequate, dependable and economical). QC is performed by and the responsibility of the Contractor.
Quality Management	The totality of functions involved in the determination and achievement of quality. Quality management is part of overall management and includes Quality Control.
Random Sample	A set of product or service output units that are selected in such a manner that all combinations of units under consideration have an equal chance of being selected as the sample.
RAP Sheet	Police Arrest Records
Receipt and Alien File Accountability and Control System	(RAFACS) A USCIS 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 of application and/or petition by USCIS.
Receipt Number	An alphanumeric 13-character designator assigned by CLAIMS to each case accepted for USCIS processing.
Received	When the Government or contractor takes possession. This can be of a physical object (mail, files, reports) or nonphysical (requests, inquiries).
Record	A record consists of fields entered from a form. The record is the electronic version of the form. Some forms will