



OHIO DEFERRED COMPENSATION

OHIO PUBLIC EMPLOYEES DEFERRED COMPENSATION PROGRAM

OHIO DEFERRED COMPENSATION

REQUEST FOR PROPOSALS FOR ANNUAL STATEMENTS

Issue Date: March 1, 2011

Written Question Deadline: March 14, 2011

Proposal Deadline: April 1, 2011 at 12:00 p.m.
Ohio Deferred Compensation
Cindy Ward
257 E. Town St., Ste 400
Columbus, OH 43215-4623

RFP Contact: Cindy Ward
Executive Assistant
Phone: (614) 466-7245
Fax: (614) 728-2601
Email: cward@OhioDC.org

Description: The Ohio Deferred Compensation Program is requesting proposals to perform printing and fulfillment services for the Ohio Deferred Compensation Annual Statement.

A copy of this RFP can be obtained from the Ohio Deferred Compensation website at www.OhioDC.org. Until the expiration date of this solicitation, Vendors are responsible for checking the website for additional information and/or addendums. RFPs can also be obtained from Ohio Deferred Compensation, 257 E. Town St., Ste 400, Columbus, OH 43215-4623. If you have any questions, please call (614) 466-7245.

Written questions regarding the substance of the RFP or Scope of Services must be submitted via email to the contact listed above no later than the Written Question Deadline indicated above.

Two hard copy, sealed proposals, and one electronic copy are due prior to the Proposal Deadline indicated above and must be delivered to Ohio Deferred Compensation, located at 257 E. Town St., Ste 400, Columbus, OH 43215. Late proposals will not be accepted – NO EXCEPTIONS.

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Attachment A — Current Text Requirements (Examples)

Attachment B — Current Statement Sample

Attachment C — Code of Responsibility

Attachment D — Cost Proposal Matrix

I. CALENDAR OF EVENTS

The following is the time schedule for Ohio Deferred Compensation to search for vendors to provide the requested services. All dates are subject to modification by Ohio Deferred Compensation.

03/01/2011	Release of RFP
03/14/2011	Deadline for letter of intent
03/14/2011	Deadline for receipt of written questions regarding this RFP
03/21/2011	Responses to all written questions will be provided
04/01/2011 Noon (12:00 pm)	Deadline for receipt of completed proposals
04/15/2011	Vendor selected
04/29/2011	Contract negotiations and contract complete

II. INTRODUCTION

The Ohio Public Employees Deferred Compensation Program (Ohio DC) is seeking proposals to perform the printing and fulfillment services for the Ohio DC Annual Statement for a three-year term with the option to extend the contract for two, one-year terms by written consent of both parties, not to exceed a total contract term of five years.

The Annual Statement is produced on an annual cycle. Year-end data is available by mid-January and statements are mailed the first week of February. In order to reduce the call volume in our Service Center, the Annual Statements are usually mailed in two batches several days apart.

The Background section that follows provides a brief description of Ohio DC operations. Visit Ohio DC's participant website at www.Ohio457.org to view general information about Ohio DC.

III. BACKGROUND

Ohio DC is an eligible deferred compensation plan and is administered in accordance with Section 457 of the Internal Revenue Code. A public employer deferred compensation plan is a voluntary fringe benefit that can be established by a state or a political subdivision of a state. The employer and participating employees enter into contractual agreements whereby the employees agree to have part of currently earned income deferred until some future date. Currently, more than 1,700 public employers throughout Ohio participate in Ohio DC with more than 200,000 participant accounts. Total Ohio DC assets exceed \$8 billion.

Ohio DC is a separate legal entity, and is not considered a component unit of the State of Ohio. Ohio DC's current Comprehensive Annual Financial Report, which includes statistical information regarding Ohio DC participation, is available at Ohio DC's employer website www.OhioDC.org.

IV. SCOPE OF SERVICES

Ohio DC is seeking a Vendor to provide the services needed to produce and mail its Annual Statement. For Annual Statement purposes, Ohio DC currently has the participant data divided into 13 groups. The Annual Statements for each group are delineated by format and text. The data file will provide the vendor with the necessary variable numeric data and edited data. The Vendor will place the data on the page location where it is required. Vendor programming will be necessary to print the appropriate educational text for a specific group. Attachment A shows the current text requirements for each page and group.

A sample of the current statement is provided (Attachment B). The Scope of Services listed below includes a Current Programming Summary of the statement format in place today and an Alternate Programming Summary of potential changes to this format. It is **required** that the Vendor will provide a design draft that will display the alternate format which can also include changes to the visual design. Possible alternatives to the printing process are also explained in this section.

The Vendor will also need to produce the statement masthead paper and envelopes required for the printing and fulfillment. The Annual Statements are produced at the end of January and mailed in two batches the first week of February.

Frequency: Annual

Contract Duration: Three-year term with the option to extend the contract for two, one-year terms by written consent of both parties, not to exceed a total contract term of five years.

Data Format

Statement data is provided in a PKZIP password protected file. The data is in a comma separated variables (CSV) file. The data is provided in one file. Each record in the file has 7,284 characters. There is one record per account, with all of the information for that account. The last 2 characters of the record format denote the group ("1A", "1B", "2A", "2B", etc.).

The file contains 13 groups which can alternatively be split into 13 files by group if needed for processing by the Vendor.

Ohio DC will provide educational text, beneficiary messages, and footnotes for each group in a Word document. This text is reviewed and updated each year (See Attachment A).

Quantity (from 2010 statement mailing in February 2011)

GROUP	DESCRIPTION	2010
1A	Active, SMarT, w/o Insurance	4,415
1B	Active, not SMarT, w/o Insurance	122,087
2A	Active, SMarT, with Insurance	10
2B	Active, not SMarT, with Insurance	588
3A	Catch-ups	263
3B	Terminated	25,467
4A	Payout Spousal Beneficiaries	636
4B	Payout Non-Spousal Beneficiaries	376
05	Payout Rollovers	1,267
06	Payout Deferred Compensation	14,598
07	Spousal Beneficiaries	598
08	Non-Spousal Beneficiaries	214
09	Rollovers	7767
		178,286

Current Format Summary–Proposal 1

Page One

Ohio DC Logo, “2010 Annual Statement,” SMarT logo. red divider bar, email picture, gray divider bar, and office address are currently preprinted on the masthead paper.

Name, address, and personal information (see list) will be variable:

- Account type
- Email address
- Account Since Inception–This data can have up to five lines of data (Total Deferrals; Exchanges/Transfers; Withdrawals; Gain/Loss; and Value as of 12/31/20XX).
- Your Asset Allocation

Page Two

Red section title bar is currently preprinted on the masthead paper.

Account Summary table will vary in length based on the number of investment options used by each account holder (maximum of 30). There are 30 fields in the data file but only fields with data will be displayed.

Your Personal Annual Performance figures are variable by participant.

The educational text paragraphs below the account summary will vary by group. The amount of text that will appear will vary based on the number of investment options. Text will “roll-off” from the bottom up depending on the size of the Account Summary table. If the participant’s Account Summary displays more than 25 funds there is no educational text included and the shaded box at the bottom of the page is not printed.

The shaded box at the bottom of the page is currently printed inline. Depending on the size of the Account Summary table, this box may not be displayed.

Page Three

The two red section title bars are currently preprinted on the masthead paper.

The Your Allocation by Asset Class pie chart is variable. The pie charts are currently shown in shades of black. The Sample Allocations are static but are printed inline with all of the other variable data. The Asset Class percentages are variable data by participant.

The educational text paragraphs below the pie charts will be the same for all groups.

Your Potential Values and Benefits table size and placement will be static. The table column and row headings and the dollar amounts within the table will be variable by participant and group. There are no calculations required by the Vendor to produce this table. All data is provided in the data file.

The educational text paragraphs below the table will vary by group.

Page 4

Red section title bar is currently preprinted on the masthead paper.

Beneficiary information is variable, but will be limited to a maximum of 10 beneficiaries displayed. The beneficiary messages will vary by group.

The footnotes are currently preprinted on the masthead paper.

New Format Summary–Proposal 2

The new format explained in this section is being considered by Ohio DC. Ohio DC would also like to consider alternatives to the visual design, which could include additional graphics, improvements to the shaded graphs, or design elements. The Vendor must provide a sample that will display the new format and recommendations to visual design. Additional changes may occur once Ohio DC begins working with the Vendor on the statement design.

Page One

REMOVE: Remove SMarT logo.

Name, address, and personal information (see list) will be variable:

- Account type
- Email address
- Account Since Inception–This data can have up to five lines of data (Total Deferrals; Exchanges/Transfers; Withdrawals; Gain/Loss; and Value as of 12/31/20XX). **ADD:** Text to explain the withdrawals data category.
- **MOVE:** From page 2 the “Annual Totals” data which is currently at the bottom of the Account Summary table. This data can have up to five data fields.
- **MOVE:** From page 2 the “Your Personal Performance” data which is currently at the bottom of the Account Summary table. This data can have up to four data fields.
- Your Asset Allocation and accompanying chart (**REMOVE:** this table will no longer be displayed)

Page Two

REMOVE: Account Summary table including the Annual Totals, Since Inception, and Your Personal Performance will no longer be displayed on this page.

REMOVE: The educational text paragraphs below the account summary and the shaded box at the bottom of the page.

MOVE: The Allocation Comparison section on page three will be moved to page two in its entirety (charts and text). The Your Allocation by Asset Class pie chart is variable. The pie charts are currently shown in shades of black. The Sample Allocations are static but are printed in line with all of the other variable data. The Asset Class percentages are variable data by participant. The educational text paragraphs below the pie charts will be the same for all groups.

ADD: Another pie chart similar to the Your Allocation by Asset Class chart showing deferral allocation. The first allocation chart will show diversification of the account balance and the second chart will show diversification of new investments (if applicable). There will also be educational text displayed below this chart.

Page Three

ADD: SMaRT logo to this page.

REMOVE: The Allocation Comparison section was moved to page 2.

The Your Potential Values and Benefits table size will be static. The table column and row headings and dollar amounts within the table will be variable by participant and by group. The educational text paragraphs below the table will vary by group. There are not calculations required by the Vendor to produce this table. All data is provided in the data file. This section can move to the top of page three.

Note: There is a desire to see what the Potential Values and Benefits tables would look like if the data was displayed as a bar graph.

ADD: Another Potential Values and Benefits table to show an example with a different rate of return or alternative assumption.

Page Four

Beneficiary information is variable, but will be limited to a maximum of 10 beneficiaries displayed. The beneficiary messages will vary by group.

ADD: Add a data field in the beneficiary section to display the employer code.

The footnotes are currently preprinted on the masthead paper. Depending on available space the footnotes may be divided and printed on the bottom of each appropriate page.

Printing and Fulfillment Criteria

Masthead stock and #10 window envelopes need to be printed by the Vendor. The quantities should be determined by the Vendor to allow for testing, waste, and the Annual Statement printing.

Masthead Stock

Paper: 60lb. White Text
Specifications: 11 x 17, printed duplex, no bleeds
Ohio DC Logo and SMarT logo files provided
Two-Color: Black and PMS 485 Red

Envelopes

Paper: #10 Window Envelopes
24lb. White

Specifications: Two-Color: Black and PMS 485 Red
Ohio DC Logo file provided
Return Address and "Statement Enclosed" typesetting required
Add mailing indicia

Each statement will be printed on the masthead, tri-folded (finished size 3⁵/₈" x 8¹/₂"), and inserted into the #10 window envelopes. Approximately 11,900 participants have two or more statements. Currently, these are mailed individually.

Reprints

After the Annual Statements are mailed, the Vendor will receive weekly reprint requests. The Vendor will need to reprint and mail the requested statement(s) directly to the participant within two days of the request. There are typically 2-8 reprint requests per week. The requests are weekly for the first few months after the mailing. The volume and frequency of requests will drop off after May. The Vendor must have the ability to reprint Annual Statements until March 31 of the following year (i.e., 2010 Annual Statement, February 2011 mailing, reprint requests are allowed until March 31, 2012). After that date the Vendor should securely delete the Annual Statement data.

ALTERNATIVES to Proposal 1 and 2: The Vendor should describe areas or processes not included in this RFP that may be examined in order to provide more complete services. These should include but are not limited to:

- No longer using a preprinted masthead form. All variable and static data will be printed inline.
- Printing the statement with more than two colors.
- Generating an Adobe PDF of each statement which is a color replica of the printed statement. (This will allow Ohio DC to provide electronic statements to participants.)
- The ability to mail multiple statements in one envelope. There could be two more statements in one envelope.

Postage Costs and Billing

Ohio DC will advance adequate postage one week prior to each mailing date. Any shortages or overages of postage will be billed to Ohio DC. To eliminate the need to meter the postage, a first-class mailing indicia can be preprinted on the envelope. Ohio DC currently has a permit account at the Cleveland, OH post office. Ohio DC can purchase a permit or can utilize the

Vendor's permit. Ohio DC currently uses the Vendor's permit.

The mailing addresses for the Annual Statements are primarily concentrated in the state of Ohio. However the mailing will also contain addresses for other areas of the country as well as foreign addresses. The Vendor will process the file for postal sortation and standardization of the city, state, and zip code, to allow for pre-sorting to carrier route level and bar coding. The Vendor will pull all Annual Statements going to foreign addresses and assure that proper postage is applied. The Vendor is responsible for maintaining a post office compliant mail piece. Any charges incurred for non-compliance will be the responsibility of the Vendor. The Vendor is required to provide complete postal documentation to Ohio DC within three business days of the mailing.

Anticipated Design and Production Schedule

Ohio DC attempts to limit changes to the Annual Statement process to once-a-year prior to the mailing. With the exception of initial programming year, the typical cycle starts in August and ends with the data file creation in mid-January and the mailing in two batches the first week of February. Ohio DC will provide the statement design requirements electronically and/or via hard copy. The information supplied will consist of educational text, design modifications, record layout changes, and sample statements. Ohio DC and the Vendor will be required to make the appropriate programming changes based on the design requirements.

Ohio DC will send the Vendor enough test records to ensure all data variations are available for each statement group. After the initial changes are communicated to the Vendor, a small sample file (approximately 20 records) will be provided. Any subsequent changes will be communicated prior to the Vendor producing a larger test file (approximately 200 records). The Vendor will supply sample PDFs and the corresponding printed statements for review by Ohio DC during the testing process.

A data file to produce a "generic" statement record will be provided to the Vendor. This "generic" statement is used to obtain compliance approval from Nationwide Retirement Solutions, our contracted customer service provider. The masthead cannot be printed until we have received compliance approval. An example of the "generic" statement is provided (Attachment B).

Security

Because of the sensitive financial information that is being processed, Ohio DC must ensure that participant information is always secure. The Vendor will be required to sign Ohio DC's Code of Responsibility (See Attachment C). The Vendor will not use the confidential information in any manner except in the performance of the obligations under this Proposal. Any breach may be considered cause for immediate termination of the Vendor's contract.

Ohio DC requires that the Vendor perform background checks on their employees or subcontractors involved in the printing and fulfillment process and Ohio DC reserves the right to review the background checks at any time. Ohio DC reserves the right to disallow a person or persons from working on the printing and fulfillment process.

The Vendor will be required to provide a secure facility to perform the obligations of this Proposal. The Vendor should explain how they will maintain security of the data and what steps will be taken to secure the materials while on site during the printing and fulfillment process. The Vendor will need to provide a method of securing the transmitted or electronic data. Ohio DC reserves the right to tour the facilities to ensure their understanding of the physical and electronic security methods.

V. SERVICE PROPOSAL

At a minimum, the Service Proposal must contain the following information. Responses should repeat the question and be answered in order. Please limit each response to no more than one-half page.

(1) FIRM AND PERSONNEL

- a. Give a brief history of your firm including the year the organization was founded.
- b. Describe the organization of the firm and the range of services it provides, its underlying philosophy or mission statement as a variable data printing and mailing Vendor, and any organizational aspects that uniquely qualify the firm for this assignment.
- c. Describe the ownership structure of your organization; giving specific details with regard to your parent, any affiliated companies, or any joint ventures.
- d. Describe any significant developments in your organization within the last three years, such as changes in ownership, personnel reorganization, and staff departures.
- e. Describe any near-term changes in your organization's basic ownership structure or any other significant changes in your organization that you anticipate.
- f. Within the last five years, state whether your organization or an officer or principal has been involved in any business litigation or other legal proceedings relating to your variable data printing and mailing services? If yes, provide an explanation and indicate the current status or disposition.
- g. State whether your firm or an affiliate provides services that could be considered a conflict of interest.
- h. Provide a current list of five (5) clients for whom you have performed similar size and complexity of the Scope of Services described in this Proposal. Include company name, contact, address, telephone number, number of years the client has retained your company, and a summary description of the Scope of Services. Ohio DC may contact any of these clients as references.
- i. For each contact person assigned to this engagement, please provide the following information:
 1. Employee name and title.
 2. Proposed position on this engagement (manager, supervisor, etc.).
 3. Employee work history, including length of employment.
- j. Vendor is requested to perform all services and may not subcontract without written consent of Ohio DC. For each of the Vendor's potential subcontractors, please provide the following information:
 1. The subcontractor's (firm's) name and address.
 2. A brief description of the work said subcontractors might perform.
- k. Indicate if your firm is a women or minority owned business enterprise.

(2) UNDERSTANDING OF THE ENGAGEMENT

- a. Describe in detail your company's understanding of the services requested in this RFP. Confirm that the proposal terms and conditions are agreed to.
- b. Describe areas or processes not included in this RFP that your company may consider in order to provide more complete services.
- c. Provide a tentative schedule for performing the services including estimated hours by major task and staffing plan to include both Vendor and Ohio DC resources. Ohio DC anticipates starting the services immediately after a contract has been signed.
- d. Indicate your ability to provide design services for the suggested changes to the statement as outlined in the New Format Summary. Provide a sample of a proposed design to accomplish these changes.
- e. Detail any changes you are proposing to the print process as outlined by the Alternatives noted in the Printing and Fulfillment Criteria.
- f. Approximately 11,900 participants have two or more statements. Currently, these are mailed individually. Indicate whether your proposal includes the ability to mail the multiple statements in one envelope.

(3) SECURITY AND QUALITY CONTROL

- a. Indicate the method of securing the transmitted or electronic data.
- b. Detail the security measures in place for handling confidential data. Indicate the facility physical security and how materials will be secured during the printing and fulfillment process.
- c. Describe the service management and quality control procedures to be utilized. These should identify and describe any anticipated problems, the Vendor's approach to resolving these problems, and any special assistance that will be requested from Ohio DC.

VI. COST PROPOSAL

A Cost Proposal must be prepared and submitted with the Vendor's hard copy Service Proposal in a separate sealed envelope.

The Cost Proposal Matrix (Attachment D) must include total projected fees charged to Ohio DC, in each of the three years of the anticipated contract, based on the services you have proposed. The Cost Proposal Matrix should be detailed and complete in all respects and provide all the information Ohio DC would need to calculate the fees that would be paid to the Vendor based on the variables contained within this proposal. Any deliverables not included in the matrix should be explained along with the associated costs. If Ohio DC decides to significantly change the level of service from those proposed, the Cost Proposal Matrix must provide a sufficient itemized breakdown, so that Ohio DC can determine the effect on the total proposed cost.

For purposes of estimating cost, Vendors may assume that 180,000 statements will be printed in year 1 (2012), 182,000 statements will be printed in year 2, and 184,000 statements will be printed in year 3.

Cost Proposal Matrix Explanations

Current Format–Cost Proposal 1 — Provide your costs for the services proposed under the Current Format Summary for each of the three contract years. These costs should **exclude postage**.

- Provide a fixed price for the initial programming required for the first year start up including all necessary test runs.
- Provide the cost for the preprinted masthead stock and envelopes (2-color, including paper costs).
- Provide a cost of printing the statement.
- Provide all fulfillment costs. The should include but are not limited to postal presort/cass certification, folding, inserting, and post office delivery.
- Provide any costs required to handle reprint requests.
- Provide an hourly rate for any programming charges that might be required for subsequent years.
- Assuming no design services are needed for the first year, provide an hourly rate for design services for subsequent years.

New Format–Cost Proposal 2 — Provide your costs for the services proposed under the New Format Summary for each of the three contract years. These costs should **exclude postage**.

- Provide a fixed price for the initial design services required to prepare an alternate format of the Annual Statement.
- Provide a fixed price for the initial programming required for the first year start up including all necessary test runs.
- Provide the cost for the preprinted masthead stock and envelopes (2-color, including paper costs).
- Provide a cost of printing the statement.
- Provide all fulfillment costs. The should include but are not limited to postal presort/cass certification, folding, inserting, and post office delivery. These costs can be provided separately or as one cost per statement.
- Provide any costs required to handle reprint requests.
- Provide an hourly rate for any programming charges that might be required for subsequent years.
- Provide an hourly rate for any design services that might be required for subsequent years.

Printing/Fulfillment Alternatives — Provide your proposed cost for the Alternatives proposed in the Printing and Fulfillment Criteria for each of the three contract years. These alternatives are applicable to Cost Proposals 1 and 2.

- Provide the cost of preprinted masthead stock using a full color process.
- Provide the cost of preprinted masthead stock using a 3-color process.
- Provide the cost of printing the entire statement inline. This cost should include paper costs. Indicate how many printed colors can be used with this process.
- Provide the cost for generating an Adobe PDF file for each individual statement.
- Provide the cost to mail multiple statements in one envelope.

VII. SUBMITTAL REQUIREMENTS

Transmittal Letter:

The Vendor's proposal must be accompanied by a transmittal letter, signed by an individual authorized to bind the company and including the following statement: "The information presented in this proposal by (Vendor Representative) is correct to the best of our knowledge and belief as of the date submitted. The individual executing this document on behalf of (Vendor Name) is authorized to execute documents of this nature under the scope of his/her employment responsibilities."

The letter must also include a statement regarding the Vendor's legal structure, Federal tax identification number, and principal place of business. Please provide the Vendor's primary contact on this RFP, who has authority to answer questions regarding the proposal. Provide the contact's name, address, phone, fax, and email address. Include any additional contacts.

Submission Format:

A Vendor's proposal must be recorded on Standard 8½" X 11" size white paper. The proposal must be accompanied by a transmittal letter on the Vendor's official letterhead signed by at least one individual who is authorized to bind the Vendor contractually.

The Service Proposal and Cost Proposal are to be mailed together in one package (except for the electronic copy), but the Cost Proposals must in a separate sealed envelope. There shall be no reference to the price of services in the Service Proposal.

Ohio DC will not be liable for any cost incurred in the preparation of a response and will not reimburse any respondents for their submission. Expenses related to the production of a response are the sole responsibility of the Vendor.

Issuance of this RFP does not constitute a commitment by Ohio DC to award a contract. The opening of a proposal does not constitute Ohio DC's acceptance of the Vendor as a responsive and responsible Vendor. Ohio DC reserves the right to reject any or all proposals received in response to this RFP, or to cancel this RFP if it is in the best interests of Ohio DC.

Deadline for Submission of Proposal:

Provide two hard copies of the complete proposal package must be received in Ohio DC's office by April 1, 2011 by 12:00 noon to be considered. Packages (envelopes) must be clearly marked "SERVICE PROPOSAL. "Cost Proposals must be separately sealed and clearly marked "COST PROPOSAL."

Send one electronic copy of the Service Proposal only by April 1, 2011 by 12:00 noon. DO NOT SEND any Cost Proposal information with the electronic copy. The electronic copy should be emailed to Cindy Ward at cward@OhioDC.org.

It is the Vendor's responsibility to insure that Ohio DC receives its proposal prior to the deadline. This responsibility rests entirely with the Vendor, regardless of delays resulting from postal handling or for any other reasons. Proposals received after this date and time will be returned unopened. Ohio DC's timestamp shall be the official time. Proposals will be accepted at any

time during the normal course of business only, said hours being 8:00 a.m. to 4:00 p.m. local time, Monday through Friday, except for legal holidays.

Please send the two hard copies to:

Cindy Ward
Executive Assistant
Ohio Public Employees Deferred Compensation Program
257 East Town Street, Suite 400
Columbus, OH 43215-4623

Modifications to the proposal may be submitted prior to the date and time specified for receipt of responses. Copies of the modifications must be submitted as specified for the actual proposal above. Modifications must have "Modification - Vendor Name" marked in the lower left-hand corner of the envelope. No email or fax modifications will be accepted.

Submission of a proposal establishes a conclusive presumption that the Vendor is thoroughly familiar with the RFP, specifications, and contract requirements and the Vendor understands and agrees to abide by each and all of the stipulations and requirements contained therein.

Withdrawal:

Proposals may only be withdrawn by written notice prior to the deadline date set for opening the proposals. No proposal may be withdrawn after the deadline submission.

Exceptions:

Vendors shall clearly identify any proposed deviations from the language contained herein. Each exception must be clearly defined and referenced to the proper paragraph in this RFP. The exception shall include, at a minimum, the Vendor's proposed substitute language and opinion as to why the suggested substitution will provide equivalent or better service and performance. If no exceptions are noted in the Vendor's proposal, Ohio DC will assume complete conformance with this specification and the successful Vendor will be required to perform accordingly. Proposals not meeting all requirements may be rejected.

VIII. CONTRACT REQUIREMENTS

This section states the minimum requirements of a contract to provide the services described in this RFP. The selected Vendor must remain capable of providing all services as described under Section IV Scope of Services and must maintain those capabilities until the contract is successfully finished. The successful Vendor will be responsible for all Services in this proposal whether they are provided or performed by the successful Vendor or subcontractor(s). Further, Ohio DC will consider the successful Vendor to be the sole point of contact with regard to contractual matters, including payment of any and all charges resulting from the cost of any contract. The successful Vendor must identify all Subcontractors and the services they provide. The successful Vendor is responsible for all payments and liabilities of all subcontractor(s).

Contract Term:

It is expected that the contract shall have an initial term of three years beginning date of May 1, 2011 and an ending date of April 30, 2014. Ohio DC shall have the option to extend the contract for two, one-year terms by written consent of both parties, not to exceed a total contract term of five years.

Contract Revisions:

Revisions to the contract during the contract term or any extensions shall be by mutual agreement.

Miscellaneous Provisions:

Vendors taking exception to any provision below may be rejected as non-responsive. The following provisions shall be included in the contract between the parties:

- (1) The Vendor may not subcontract the furnishing of any significant work or services under the contract except as disclosed in the proposal or without the express written approval of Ohio DC.
- (2) The Vendor shall notify Ohio DC in writing within two weeks of personnel changes involving any officer or key employee whose responsibilities include significant activities related to the contract.
- (3) The Vendor shall be authorized to do business in the State of Ohio prior to the contract initiation day. The Vendor shall comply with all applicable laws, including licensing requirements of the State and Federal government and with applicable accreditation and other standards of quality generally accepted in the field of the Vendor's activities.
- (4) The officers, employees, and agents of the Vendor will act in an independent capacity concerning the terms of the contract and will neither act nor be considered as employees of Ohio DC or of any political subdivision thereof.
- (5) The Vendor also agrees that it will abide by Ohio DC policies and practices regarding the security of participant data. (Code of Responsibility–See Attachment C.)
- (6) The Vendor shall agree that it will not use any information concerning individual Ohio DC participants, information collected under the contract or other Ohio DC data for any purpose other than to fulfill its duties under the contract.
- (7) If at any time during the existence of the contract the Vendor fails to observe or perform any term, condition, stipulation, agreement, provision, or obligation of the Vendor hereunder or becomes insolvent or if an application or petition in bankruptcy is filed by or against the Vendor, the Vendor shall be in default of the contract without any demand, notice, or putting in default, as time is of essence to the Vendor's satisfactory observance and performance thereof and any failure by the Vendor with respect thereto shall constitute an active breach of the contract.
- (8) The Vendor shall agree to hold harmless and indemnify the State of Ohio, the Board, Ohio DC, the participants, the Board of Trustees and its employees against all losses and liability and shall defend them against all claims and legal actions arising from the acts or omissions of the Vendor or any of its officers and employees in servicing Ohio DC, insofar

as such acts or omissions were not specifically directed by the Board nor were necessarily implicit therein.

- (9) The Vendor must subscribe to the Ohio Ethics laws regarding business conducted with a State Board.
- (10) Ohio DC may terminate the agreement without cause by providing 60 days written notice to the Vendor.
- (11) Any provision of any contract arising hereunder is severable if that provision is in violation of the laws of the State of Ohio or the United States, or becomes inoperative due to changes in State or Federal law, or applicable State or Federal regulations.
- (12) The contract shall be subject to and governed by the laws of the State of Ohio.
- (13) The Vendor agrees that Vendor, any subcontractor, and any person acting on behalf of Vendor or subcontractor, will not discriminate, by reason of race, color, religion, sex, age, handicap, national origin, or ancestry against any citizen of this state in the employment of any person qualified and available to perform the work under this Agreement. The Vendor further agrees that Vendor, any subcontractor, and any person acting on behalf of the contractor or subcontractor shall not, in any manner, discriminate against, intimidate, or retaliate against any employee hired for the performance of work under this Agreement on account of race, creed, color, religion, sex, age, handicap, national origin or ancestry.

IX. SELECTION PROCESS AND EVALUATION CRITERIA

Representatives of the Board and the Board office will screen the written proposals. During the evaluation process, Ohio DC may, at its discretion, request any or all Vendors to make oral presentations. Such presentations will provide Vendors with an opportunity to answer questions regarding the Vendor's proposal. Not all Vendors will be asked to make such oral presentations. Ohio DC will select the Vendor that it believes will best meet its needs.

Ohio DC reserves the right to withdraw the RFP. Ohio DC may waive informalities if it is in its best interest. The Vendor who is chosen will be notified at the earliest possible date. Tentative acceptance of the proposal, intent to recommend award of a contract, and actual award of the contract will be provided by written notice sent to the Vendor at the address designated in the proposal. All proposals must be for a firm fixed price unless modified. If, for any reason, a contract is not executed with the selected Vendor within two weeks after notice of recommended award, then Ohio DC may recommend the next most responsive and responsible Vendor.

The successful proposal will demonstrate a clear understanding of the Annual Statement printing and fulfillment services, a well-reasoned strategy for success, and a proven capability to perform the required services with distinction. Evaluation of each Vendor will include, but not be limited to the following:

- (1) Quality of the Vendor's proposal as an indicator of its probability for success.
- (2) Responsiveness to the Scope of Services.
- (3) Vendor's qualifications and experience, including established record of success with similar projects as indicated in its listing of current clients.

- (4) Proposed fee structure and costs.

X. GENERAL TERMS AND CONDITIONS FOR SUBMITTING PROPOSALS

Amendments to RFP:

Ohio DC reserves the right to issue amendments to this RFP or to provide any additional information or responses to questions received prior to the deadline for submission of proposals. It is the Vendor's responsibility to periodically check Ohio DC's website until the posted Proposal Deadline to obtain any issued addenda.

RFP Requirements:

- (1) All proposals become the property of Ohio DC and will not be returned to the Vendor. All proposals submitted are subject to the laws of the State of Ohio regarding public access to such documents and are, therefore, not confidential. **All Responses and the contents thereof will be deemed to be public records open to public inspection after the vendor has been selected and the contract has been executed, provided that all proprietary trade secret information, if clearly marked as such, will not be disclosed except as required by law.** A Vendor may include one additional copy of its Response with any proprietary trade secret information redacted and marked as such with a brief written basis why it believes the information is protected from disclosure.
- (2) Failure to adequately furnish information specifically required in this RFP may disqualify a proposal.
- (3) All Vendors are bound by the cost proposals for a period of six months.
- (4) This RFP and Vendor responses submitted in the selected proposal will become part of the resulting contract and binding through the contract term, except as otherwise amended in the contract.
- (5) The selected Vendor will have two weeks after written notice of selection to execute the necessary contract with Ohio DC. Failure to execute the contract within this time may result in removal as the selected company.
- (6) Ohio DC will notify all unsuccessful Vendors within two weeks following final selection.

Notice of Intent:

If the vendor intends to respond to this RFP, a Notice of Intent to do so should be sent to Ohio DC by **March 14, 2011**. The Notice of Intent should be sent by e-mail to the RFP Contact listed on page one, and contain the Vendor's name, its intent to respond, the name of a contact person and the contact person's telephone number, email, and fax number. Submitting this Notice of Intent will not obligate a Vendor to submit a response but will allow Ohio DC to send out any necessary information to interested Vendors.

Questions Concerning the RFP:

Questions regarding this RFP must be submitted in writing by mail, email, or fax not later than March 14, 2011 and addressed to Cindy Ward.

Questions and answers will be put in writing and distributed to all companies who have returned a Notice of Intent by March 14, 2011. No verbal responses are to be relied upon.

Questions by the Staff

The Staff may present a Vendor with questions about its proposal. The response to Ohio DC's question(s) shall also be submitted in writing and shall be incorporated as part of the proposal.

Terms and Conditions

Ohio DC makes no representations or warranties, expressed or implied, as to the accuracy or completeness of the information in the RFP and nothing contained herein is or shall be relied upon as a promise or representation, whether as to the past or the future. The RFP does not purport to contain all of the information that may be required to evaluate the RFP and any recipient hereof should conduct its own independent analysis of Ohio DC and the data contained or referenced herein. Ohio DC does not anticipate updating or otherwise revising the RFP. However, this RFP may be withdrawn, modified, or re-circulated at any time at the sole discretion of Ohio DC.

Ohio DC reserves the right, at its sole discretion and without giving reasons or notice, at any time and in any respect, to alter these procedures, to change and alter any and all criteria, to terminate discussions, to accept or reject any response, in whole or in part, to negotiate modifications or revisions to a response and to negotiate with any one or more respondents to the RFP.

Ohio DC is not and will not be under any obligation to accept, review, or consider any response to the RFP and is not and will not be under any obligation to accept the lowest offer submitted or any offer at all. Ohio DC is not and will not be under any obligation to any recipient of, or any respondent to, the RFP except as expressly stated in any binding agreement ultimately entered into with one or more parties, either as part of this RFP process, or otherwise.

This RFP is not an offer but a request to receive a response. Ohio DC will consider a response as an offer to develop an agreement based upon the contents of the response. Respondents agree that the contents of their responses are valid for one year from the date of submission.

Annual Statement Education Text

Page 2 “Roll-up” Text

Groups 1A, 1B, 2A, 2B, & 3A

Think long-term. Saving for retirement is a long-term project. Look beyond short-term market uncertainties and headlines, develop a plan. Review your plan annually.

PLAN Ahead. Take control of your future with the latest calculators, news, facts, and seminars. **Plan, Learn, Act, Now** with the Ohio Retirement & Savings Awareness Initiative: www.PlanandRetire.org.

Start SMarT. Do you plan to save more, but just never get around to it? By enrolling in the SMarT Plan, your deferral will automatically increase each year by the amount you choose. Small increases every year can add up to big savings over time.

Be a Program Champion. If you're like most participants, a co-worker cared about your financial well-being and encouraged you to find out about Ohio Deferred Compensation. Share your story with your co-workers today!

Page 2 “Roll-up” Text

Groups 3B, 4A, 4B, 5, 6, 7, 8, & 9

Think long-term. Saving for retirement is a long-term project. Look beyond short-term market uncertainties and headlines, develop a plan. Review your plan annually.

PLAN Ahead. Take control of your future with the latest calculators, news, facts, and seminars. **Plan, Learn, Act, Now** with the Ohio Retirement & Savings Awareness Initiative: www.PlanandRetire.org.

Take Advantage. Ohio DC offers competitive investment options and plan services you might not find elsewhere.

Ask Questions. Make an appointment with a Retirement Planning Specialist for a personal account review at no additional cost.

Page 3 ALLOCATION COMPARISON

(All Groups)

The chart above labeled “Your Allocation by Asset Class” shows the percentage of your year-end account value that is invested in each asset class. The five smaller charts are suggested allocations for various types of investors.

Diversification helps you reduce your overall market risk by spreading your investments over a wide range of asset classes. You might offset losses from poorly performing areas with gains in areas that are doing well. Diversification does not guarantee a profit and does not protect against loss in a declining market.

To learn more about how to use an asset allocation strategy, go to www.Ohio457.org to try out our allocation planning tools, and log in to your account to make updates.

Page 3 POTENTIAL VALUES AND BENEFITS (Examples)

Active w/o insurance, Active w/insurance (Groups 1A, 2A)

This is a hypothetical compounding example and is not intended to predict the investment results of any specific investment. Investment return is not guaranteed and will vary depending on your investments and market experience. The cost of participating in the Program is not reflected in the returns shown. Federal and state income taxes will be due on withdrawals, which will reduce the estimated monthly income amounts. Withdrawals may need to be more than the amount shown to meet the requirements of the Required Minimum Distribution.

The illustration above shows potential values and monthly income at two possible retirement ages. The potential values are based on your December 31, 2010 account value, your current age, continued deferrals at differing amounts, and 7% annual account earnings. The income estimates are based on equal monthly withdrawals over a 20-year period. The potential value amounts assume that no withdrawals are taken prior to the time period indicated.

To change your SMarT deferral amount or further customize your projections, visit our website or call our Service Center.

Page 3 POTENTIAL VALUES AND BENEFITS (SMarT Examples)

Active w/o insurance, Active w/insurance (Groups 1B, 2B)

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The illustration above shows potential values and monthly income at two possible retirement ages. The potential values are based on your December 31, 2010 account value, your current age, continued deferrals at differing amounts, and 7% annual account earnings. The income estimates are based on equal monthly withdrawals over a 20-year period. The potential value amounts assume that no withdrawals are taken prior to the time period indicated.

To change your deferral amount, enroll in the SMarT Plan, or further customize your projections, visit our website or call our Service Center.

Page 3 POTENTIAL VALUES AND BENEFITS

Terminated, Catch-up, Spousal Beneficiary, Rollovers (Groups 3A/B, 7, 9)

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Managing your financial resources is important, even when you can no longer make payroll deferrals to this account. The table above compares your current account value to the total potential income you may receive over 10-, 15-, or 20-year payout periods. Your total potential income is based on your December 31, 2010 account value with an assumed 7% annual earnings rate and equal monthly withdrawals. The potential value amounts assume that no withdrawals are taken prior to the time period indicated.

The longer your money remains invested, the greater the potential for your retirement savings to grow. If you need assistance, please contact our Retirement Planning Specialists or visit our Service Center.

Page 3 POTENTIAL VALUES AND BENEFITS]

Beneficiary in payout, Rollovers in payout, Payout, Non-Spousal Beneficiary (Groups 4A/B, 5, 6, 8)

This is a hypothetical compounding example and is not intended to predict the investment results of any specific investment. Investment return is not guaranteed and will vary depending on your investments and market experience. The cost of participating in the Program is not reflected in the returns shown. Federal and state income taxes will be due on withdrawals, which will reduce the estimated monthly income amounts. Withdrawals may need to be more than the amount shown to meet the requirements of the Required Minimum Distribution.

Your asset allocation is the greatest factor in determining your potential future rate of return and total potential income. The table above compares your monthly and total potential income over 10-, 15-, or 20-year payout periods, assuming you achieve either a 4% or an 7% annual rate of return on your account. Total potential income is based on your December 31, 2010 account value. You may visit the Program's website and use the payout calculator to simulate alternative payout options, based on age, assumed rate of return, and withdrawal option.

The longer your money remains invested, the greater the potential for your retirement savings to grow. If you need assistance, please contact our Retirement Planning Specialists or visit our Service Center.

Page 4 Annual Statement Beneficiary Messages

Active w/o insurance, Catch-up, Active w/insurance, Ohio 457 Payout
(Groups 1, 2, 3A/B, 6)

Text following listed beneficiaries:

You can download a form at www.Ohio457.org to update your beneficiary information.

The beneficiary information listed above reflects your current designation. Your contingent beneficiaries will be paid only if your primary beneficiaries are not living at the time of your death. You can call our automated telephone system or our Service Center to have a form mailed to you.

Text when beneficiary fields are blank:

[with STOP sign graphic]

Your beneficiary election is on file, but may be incomplete. Please consider updating your beneficiary election to ensure your beneficiary can be contacted at the time of your death.

To update your beneficiary information, you can download a form at www.Ohio457.org, or call our automated telephone system or our Service Center to have a form mailed to you.

Rollovers (Groups 5, 9)

Text when beneficiary fields are blank:

[with STOP sign graphic]

You have not separately elected a beneficiary for this rollover account. If you would like to elect a beneficiary different from your primary account, you must complete a new Beneficiary Election form. If you do not complete a separate beneficiary form, your beneficiary election from your primary account also will be designated on your rollover account. You can download a form from the Program's website, or call our automated telephone system or our Service Center to have a form mailed to you.

Spousal Beneficiaries (Groups 4A, 7)

Text following listed beneficiaries:

You can download a form at www.Ohio457.org to update your beneficiary information.

The beneficiary information listed above reflects your current designation. Your contingent beneficiaries will be paid only if your primary beneficiaries are not living at the time of your death. You can call our automated telephone system or our Service Center to have a form mailed to you.

Text when beneficiary fields are blank:

[with STOP sign graphic]

Changes in the IRS laws now allow you to elect a beneficiary for this account. Currently your estate is your beneficiary. To update your beneficiary selection, you can download a form at www.Ohio457.org, or call our automated telephone system or our Service Center to have a form mailed to you.

Non-Spousal Beneficiaries (Groups 4B, 8)

Your estate is required to be your beneficiary for this account.

Page 4 Footnotes

(All Groups)

¹All investment options within a single asset class are combined into one asset class allocation in your pie chart. An investment in a balanced fund will result in multiple asset class allocations in your pie chart. Some balanced funds have real estate trust investments, which are included in the small-cap stock asset allocation for this presentation. Asset allocation percentages will vary due to rounding.

²Your Personal Performance refers to how your account has performed rather than how the investment options have performed. The annualized performance is calculated using the modified Dietz formula which is a time-weighted methodology providing a percentage return based on the timing of cash flows. This calculation is net of Program fees and expenses. You might want to compare your personal performance with the current Investment Performance Report sent with your quarterly account statement. Past performance is no guarantee of future results. Investing may involve market risk, including possible loss of principal.

³The sample allocations were established by Ibbotson Associates. Ibbotson uses a broad approach to diversify holdings across six general asset classes, which include combinations of different types of stock investments, bonds, and cash equivalents.

⁴Asset classes identify funds that tend to have similar investment objectives and strategies, and generally react in a similar manner to market fluctuations as do other funds in the same class. The asset classes appear in order of declining market risk from higher risk on the left to lower risk on the right.

Neither the Ohio Public Employees Deferred Compensation Program nor any of its representatives will give legal or tax advice. For such guidance, consult your personal legal or tax advisors.

Your Beneficiaries

PRIMARY BENEFICIARY

PARTICIPANT, DAVID NEAL

Relationship: HUSBAND

SSN: ON FILE

Percentage: 100.00%

Date of Birth: 01/19/1945

CONTINGENT BENEFICIARY

NOTTEN LUCY K

Relationship: DAUGHTER

SSN: ON FILE

Percentage: 100.00%

Date of Birth: 04/03/1970

You can download a form at www.Ohio457.org to update your beneficiary information.

The beneficiary information listed above reflects your current designation. Your contingent beneficiaries will be paid only if your primary beneficiaries are not living at the time of your death. You can call our automated telephone system or our Service Center to have a form mailed to you.



OHIO DEFERRED
COMPENSATION

OHIO PUBLIC EMPLOYEES DEFERRED COMPENSATION PROGRAM

Attachment B

2010 ANNUAL
STATEMENT



MARLENE PARTICIPANT
123 HARD DAYS NIGHT LANE
REYNOLDSBURG, OH 43068
||

1-877-644-6457 • www.Ohio457.org

Personalized Annual Statement Prepared For: MARLENE PARTICIPANT
Account: Ohio 457

Stay Connected

According to our records, your email address is:

MARLENEPART@SBCGLOBAL.NET

If this is not correct, or if the line above is blank, please provide us with your email address to make sure you get the latest Program information. To make a change, log in to your account on our website and choose “Change online profile” or call 1-877-644-6457.



Your Account Since Inception (05/23/2000)

Total Deferrals	\$ 24,630.00
Gain/Loss	+ 2,833.76
Value as of 12/31/2010	\$ 27,463.76

(see page 2 for more details on your account)

Your Asset Allocation¹

Asset Class	Your Allocation (as of 12/31/2010)
International Stock Funds	8.7%
Small-Cap Stock Funds	10.9%
Mid-Cap Stock Funds	12.7%
Large-Cap Stock Funds	12.6%
Bond Funds	6.1%
Stable Value	49.0%
Total	100.0%

(see page 3 for more information on asset allocation)

¹ All investment options within a single asset class are combined into one asset class allocation in your pie chart. An investment in a balanced fund will result in multiple asset class allocations in your pie chart. Some balanced funds have real estate trust investments, which are included in the small-cap stock asset allocation for this presentation. Asset allocation percentages will vary due to rounding.

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³ The sample allocations were established by Ibbotson Associates. Ibbotson uses a broad approach to diversify holdings across six general asset classes, which include combinations of different types of stock investments, bonds, and cash equivalents.

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Your Account Summary for 2010

Asset Class	Investment Option	12/31/2009 Value	Deferrals	Exchanges/ Transfers	Benefit Payments	Gain/ Loss	12/31/2010 Value	Fund Allocation
INTERNATIONAL STOCK	Vanguard International Growth	1,654.91	.00	.00	.00	198.78	1,853.69	6.8%
SMALL-CAP STOCK	FPA Capital	2,397.88	.00	.00	.00	510.40	2,908.28	10.6%
MID-CAP STOCK	Vanguard Capital Opportunity	2,952.30	.00	.00	.00	370.24	3,322.54	12.1%
LARGE-CAP STOCK	Fidelity Growth Company	1,429.43	.00	.00	.00	247.17	1,676.60	6.1%
BALANCED	Ohio DC LifePath 2010 (OLD)	1,459.36	.00	-1,569.08	.00	109.72	.00	0.0%
BALANCED	Ohio DC LifePath Retirement	.00	.00	1,569.08	.00	80.34	1,649.42	6.0%
BALANCED	Dodge & Cox Balanced	2,326.91	.00	.00	.00	347.35	2,674.26	9.7%
STABLE VALUE	Ohio DC Stable Value Option	11,607.55	1,300.00	.00	.00	471.42	13,378.97	48.7%
Annual Totals		23,828.34	1,300.00	.00	.00	2,335.42	27,463.76	100%
Since Inception 05/23/2000			24,630.00	.00	.00	2,833.76	27,463.76	
YOUR PERSONAL PERFORMANCE ²								
1 Year		+9.5%	3 Year	-2.0%	5 Year	+1.7%	10 Year	N/A

Think long-term. Saving for retirement is a long-term project. Look beyond short-term market uncertainties and headlines, and develop a plan. Review your plan annually.

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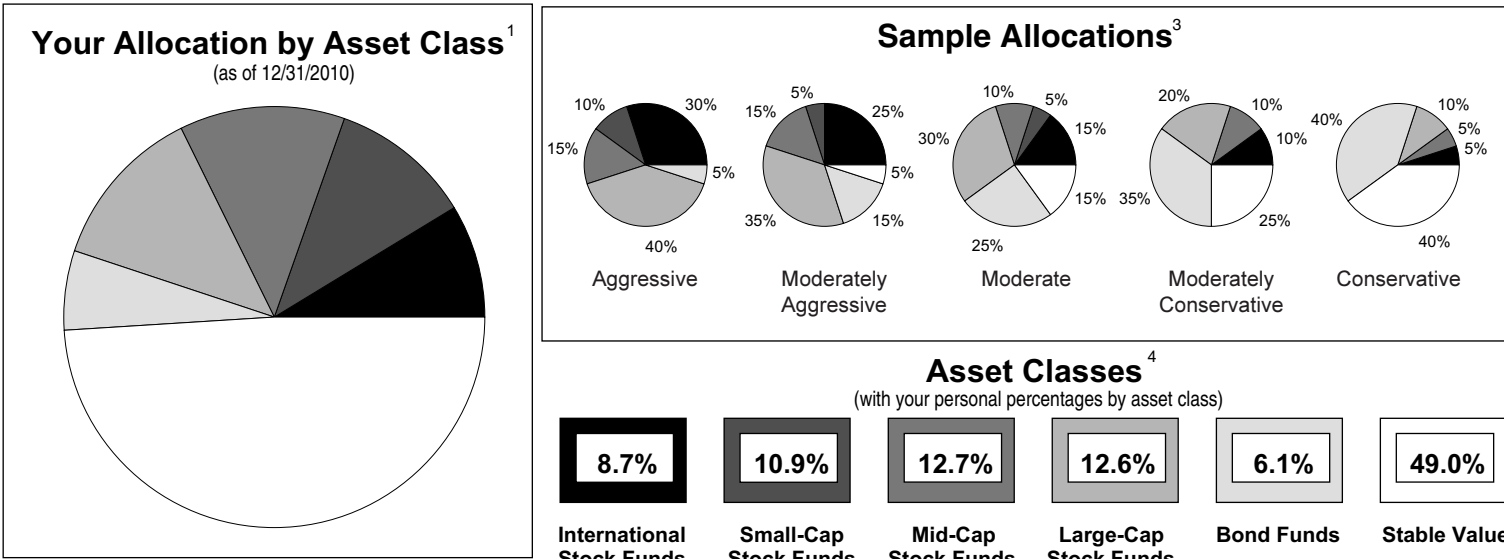
Start SMarT. Do you plan to save more, but just never get around to it? By enrolling in the SMarT Plan, your deferral will automatically increase each year by the amount you choose. Small increases every year can add up to big savings over time.

Be a Program Champion. If you’re like most of out plan participants, a co-worker cared about your financial well-being and encouraged you to find out about Ohio Deferred Compensation. Share your story with your co-workers today!

Did you know that you can...

- Talk to a licensed Account Executive from 8:00 a.m.–5:30 p.m. Monday–Friday?
 - Make account changes and investment transactions online or over the phone?
 - Meet with one of our Retirement Planning Specialists as you approach retirement?
- Access online calculators and planning tools on our website?
 - Complete a questionnaire online to find an appropriate investment mix?
 - Have an Account Executive visit your work location? Ask your human resources department to contact us.

Your Allocation Comparison



The chart above labeled “Your Allocation by Asset Class” shows the percentage of your year-end account value that is invested in each asset class. The five smaller charts are suggested allocations for various types of investors.

Diversification helps you reduce your overall market risk by spreading your investments over a wide range of asset classes. You might offset losses from poorly performing areas with gains in areas that are doing well. Diversification does not guarantee a profit and does not protect against loss in a declining market.

To learn more about how to use an asset allocation strategy, go to www.Ohio457.org to try out our allocation planning tools, and log in to your account to make updates.

Your Potential Values and Benefits

Based on your 12/31/2010 value of \$ 27,463.76	IN FIVE YEARS		IN TEN YEARS	
	Potential Value	Monthly Income	Potential Value	Monthly Income
\$50 Current Deferral Per Pay	\$48,966	\$407	\$81,036	\$674
\$10 Per Pay One Time Increase	\$50,566	\$420	\$85,024	\$707
\$10 Per Pay SMarT Increase	\$53,514	\$445	\$100,371	\$834

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The illustration above shows potential values and monthly income at two possible retirement ages. The potential values are based on your December 31, 2010 account value, your current age, continued deferrals at differing amounts, and 7% annual account earnings. The income estimates are based on equal monthly withdrawals over a 20-year period.

To change your deferral amount, enroll in the SMarT Plan, or further customize your projections, visit our website or call our Service Center.



OHIO DEFERRED COMPENSATION

OHIO PUBLIC EMPLOYEES DEFERRED COMPENSATION PROGRAM

TO: Employees and All Other Authorized Users of the Ohio Deferred Compensation Data and Information Systems

FROM: R. Keith Overly, Executive Director

SUBJECT: Code of Responsibility for Security and Confidentiality of Participant Data and Safeguarding Program Assets

Security, confidentiality and the safeguarding of Program assets is a matter for concern of employees of the Program and of all other persons who have access to the Program's facilities whether they are employees of vendors, employees of user agencies or others. The Program is a repository of information in computerized data files for the public entities of the State of Ohio. Each person serving the Program holds a position of trust relative to this information and recognizes the responsibilities entrusted to him and to the Program in preserving the security and confidentiality of this information and safeguarding Program assets. The employee's conduct either on or off the job may threaten the security and confidentiality of this information. Therefore, an employee of the Program or a person authorized access to the Program information systems:

is not to make or permit unauthorized use of any information in files maintained by the Program;

is not to seek to benefit personally or permit others to benefit personally by any information which has come to him/her by virtue of his/her work assignment;

is not to knowingly include or cause to be included in any record or report a false, inaccurate, or misleading entry;

is not to remove or cause to be removed copies of any official record or report from any file from the office where it is kept except in the performance of his/her duties;

is not to operate or request others to operate any of the Program's equipment for personal business;

is not to make copies of software or literature in violation of copyright laws;

is not to abuse or permit abuse of the Program's system communications capabilities (e.g., inappropriate/personal messages);

is not to divert the Program's resources and Program property for personal gain;

is not to aid, abet or act in conspiracy with another to violate any part of this Code;

is to report any violation of this Code by anyone to the supervisor immediately;

is to adhere to the rules, policies and procedures of the Program.

For employees, violation of the Code, either intentionally or due to negligence, will result in disciplinary action, such as a reprimand, suspension or dismissal, consistent with Program rules and regulations.

For non-Program employees, violation of this Code, either intentionally or due to negligence, will result in denial of access to the Program information system and criminal charges as appropriate.

I have read and understand the Program's Code of Responsibility for Security and Confidentiality of Participant Data and Safeguarding Program Assets.

Signed: _____
(employee)

Signed: _____
(supervisor)

Date: _____

Date: _____

Cost Proposal Matrix

(indicate "NB" if you are not providing a bid in a certain area)

Attachment D

NEW FORMAT—COST PROPOSAL 2

	YEAR 1			YEAR 2			YEAR 3		
<u>Programming/Design</u>	<u>Quantity</u>	<u>Price Per</u>	<u>Total</u>	<u># of Hours</u>	<u>Per Hr</u>	<u>Total</u>	<u># of Hours</u>	<u>Per Hr</u>	<u>Total</u>
Initial Design Services (fixed price)	----	----		N/A	N/A	N/A	N/A	N/A	N/A
Programming—Initial Set-up (fixed price)	----	----		N/A	N/A	N/A	N/A	N/A	N/A
	<u>Estimated</u>			<u>Estimated</u>			<u>Estimated</u>		
<u>Paper Cost</u>	<u>Quantity</u>	<u>Per M</u>	<u>Total</u>	<u>Quantity</u>	<u>Per M</u>	<u>Total</u>	<u>Quantity</u>	<u>Per M</u>	<u>Total</u>
Preprinted Masthead (2-color)	182,000			184,000			186,000		
Envelopes (2-color)	182,000			184,000			186,000		
	<u>Estimated</u>			<u>Estimated</u>			<u>Estimated</u>		
<u>Printing</u>	<u>Quantity</u>	<u>Per M</u>	<u>Total</u>	<u>Quantity</u>	<u>Per M</u>	<u>Total</u>	<u>Quantity</u>	<u>Per M</u>	<u>Total</u>
Statement Printing	180,000			182,000			184,000		
	<u>Estimated</u>			<u>Estimated</u>			<u>Estimated</u>		
<u>Fulfillment</u>	<u>Quantity</u>	<u>Per M</u>	<u>Total</u>	<u>Quantity</u>	<u>Per M</u>	<u>Total</u>	<u>Quantity</u>	<u>Per M</u>	<u>Total</u>
Postal Presort/Cass Certification	180,000			182,000			184,000		
Folding/Inserting	180,000			182,000			184,000		
Post office delivery (fixed price)	----	----		----	----		----	----	
Other									
	<u>Estimated</u>	<u>Per</u>		<u>Estimated</u>	<u>Per</u>		<u>Estimated</u>	<u>Per</u>	
<u>Reprints</u>	<u>Quantity</u>	<u>Reprint</u>	<u>Total</u>	<u>Quantity</u>	<u>Reprint</u>	<u>Total</u>	<u>Quantity</u>	<u>Reprint</u>	<u>Total</u>
Annual estimate	50			50			50		
Base Cost - Total									

Additional Costs (list and explain)

				<u>Per Hr</u>	<u>Per Hr</u>
Programming—On-going	N/A	N/A	N/A		
Design—On-going	N/A	N/A	N/A		
Other (list and explain):					

Cost Proposal Matrix

(indicate "NB" if you are not providing a bid in a certain area)

PRINTING/FULFILLMENT ALTERNATIVES (applicable to Cost Proposals 1 and 2)

	YEAR 1			YEAR 2			YEAR 3		
	Estimated Quantity	Per M	Total	Estimated Quantity	Per M	Total	Estimated Quantity	Per M	Total
<u>Paper Cost</u>									
Preprinted Masthead									
Full color	182,000			184,000			186,000		
3-colors	182,000			184,000			186,000		
Other									
<u>Printing</u>									
Statement Printing	180,000			182,000			184,000		
Printing entire statement inline (include paper costs). Indicate the number of printed colors.									
Other									
<u>Fulfillment</u>									
Generate Adobe PDF file	180,000			182,000			184,000		
Mail multiple statements in one envelope (there could be two or more statements in one envelope)	11,900			12,100			12,300		

Additional Costs (list and explain)