

Revised 9/10/14. All changes are marked with an * and in red bolded font.

PERFORMANCE WORK STATEMENT

1.0 BACKGROUND

1.1 VBA

The fundamental mission of the Veterans Benefits Administration (VBA) is to provide Veterans, Servicemembers, and their families the benefits they have earned through their military service to the United States. VBA accomplishes its mission by delivering client-centered, personalized services that help Veterans readjust to civilian life and enhance their well-being.

1.2 VBMS

The Department of Veterans Affairs (VA) developed the Veterans Benefits Management System (VBMS), which is a paperless claims processing system that will greatly decrease the time required to establish, develop, rate and pay claims. The VBMS document repository stores and enables electronic management of Veterans' electronic folders (eFolders), replacing the paper folders in use today. Although efforts are underway to enable and encourage VBA's stakeholders to electronically submit claim-related source material, VBA currently maintains a large quantity of paper folders, and will continue to receive physical documents, although at a reduced amount over time.

1.3 Document Conversion Strategy

To fill the VBMS document repository and eliminate the direct use of paper folders and physical documents in VBA's claims process, VBA has embarked on one of the most ambitious and large-scale document conversion efforts ever undertaken by the US Government. Primarily, this effort consists of imaging claims-related paper source materials into Portable Document Format (PDF) files, capturing and associating limited metadata with the PDF files and uploading them into the VBMS repository. In addition to imaging paper source material, VBA is also converting other source materials found in Veterans files, including: microfilm, microfiche, and files stored on CDs, DVDs, and flash memory devices.

While document conversion is not an exceptionally complex process, the consequences for VBA of low quality images and inaccurate document identification are severe. First and foremost, poorly converted source materials can lead VBA staff to make incorrect decisions regarding Veteran eligibility and entitlement for monetary and non-monetary benefits. Making an incorrect decision for a Veteran can affect the remainder of his or her life. Beyond this, VBA's paperless future requires that its VBMS document repository has sufficient quality to be an accepted system of record for storage of Veteran information, allowing for the disposition of paper source materials after scanning. If this quality criterion were not met, VBA's plans to use paperless processing to serve Veterans more efficiently would be severely hampered.

Additionally, VA is transitioning from a claims processing distributed mail system to a streamlined centralized mail system to further reduce complexities and overall claims processing cycle time.

Centralized Mail Processing (CMP) will redirect claims-specific mail conventionally sent to Regional Benefit Offices (RO) to a centralized PO Box (or address), and then to a designated Document Conversion Services (DCS) vendor for processing. The transition from conventionally distributed mail processing to centralized mail processing will require both processes to concurrently operate as the volume is transitioned from the specified ROs to the DCS vendor. Figures 1 and 2 below illustrate the two processes.

1.4 Private Sector Document Conversion

On July 24th, 2012, VBA awarded two (2) Document Conversion Services (DCS) Task Orders against an existing Transformation Twenty-One Total Technology (T4) Indefinite Delivery/Indefinite Quantity (IDIQ) [Ref. Contract Number: VA118-11-D-1000]. These task orders were:

- 1) Order Number: VA118-1000-0011, awarded to Systems Made Simple (SMS), Inc.
- 2) Order Number: VA118-1007-0002, awarded to CACI-ISS (CACI), Inc.

Hereafter in this document, CACI and SMS will be referred to as the “DCS vendors.”

For reference, the periods of performance for the DCS Task Orders included a fifteen-month base period (July 2012 – September 2013) and two twelve-month option periods. These contracts were modified with base period ending December 2013; Option 1 ending December 2014; and Option 2 ending December 2015.

In an effort to continually improve benefits processing efficiency and cycle-time, VBA has modified the above Task Orders to include Centralized Mail Processing (CMP). The CMP activities require the DCS vendor to receive source materials directly from Veterans via physical mail and fax, convert these materials into searchable PDFs, enable the establishment of claims, upload the PDFs to VBMS, and ready the source material for storage.

The transition from conventional RO distributed claims-related mail processing to the CMP method will require concurrent management of both methods as the volume is transitioned from the specified ROs. The key steps in the Conventional and CMP flows are depicted in Figures 1 and 2 below:

Under these task orders, DCS vendors convert existing and incoming VBA claims source material to electronic images for upload into the VBMS image repository. As a result, a record stored in the VBMS electronic folder (eFolder) is now recognized as the official record. Consequently, under VBA and National Archives and Records Administration (NARA) regulations, the original paper document becomes a duplicate that can be scheduled for disposition.

VA is currently evaluating a potential contract modification to the DSC vendor contracts, to include disposition activities to determine the future of specified source material. The disposition activities require the DCS vendor to sort the source material into specific categories, and either put the material in storage, return the material to the Veteran or material owner, or exchange custody of the material to a shredding contractor which will then shred the material. The additional activities within this modification will follow the VBA rollout schedule for the changes.

Figure 1: Conventional DCS Process

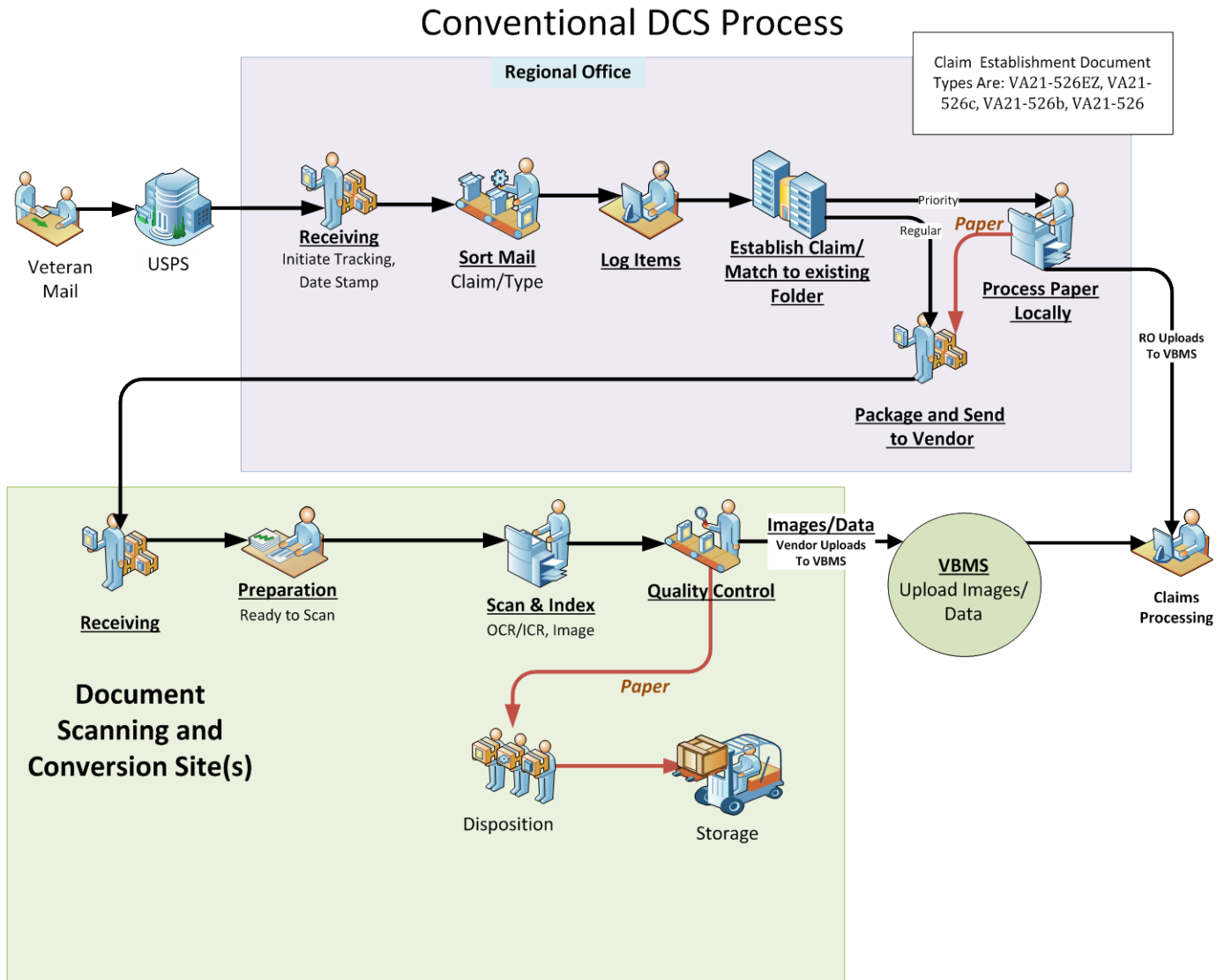
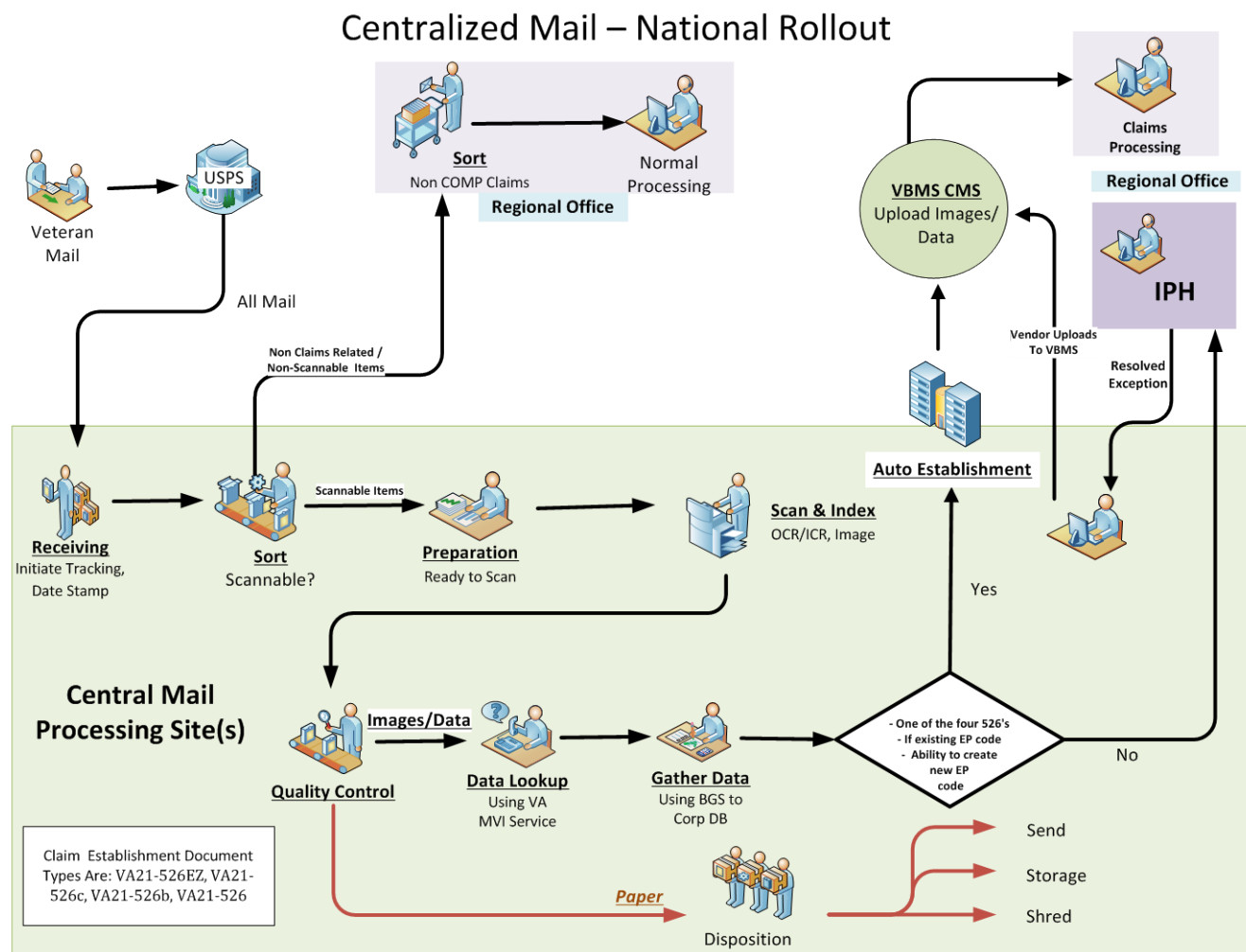


Figure 2: Centralized Mail Processing Flow



To provide a sense of scale for this effort, VBA anticipates that its DCS vendors will convert source materials equivalent to approximately 1.4B images (split between 706M images in the 1st Option Period and 635M total images in the 2nd Option Period). VBA will order at least a guaranteed minimum volume of 936M images (576M images in the 1st option period and 360M images in the 2nd option period), should the 2nd optional period of the Document Conversion Services Task Order be exercised. As VBA awarded two task orders, the minimum volumes described above are split between the two vendors at their four (4) DCS site locations. Table 1 and Table 2 describe the estimated end of month image levels during the execution of the remaining Document Conversion Services Task Order Options.

Table 1: Estimated End of Month Image Volume Levels (millions of images per month)

Month	Guaranteed Minimum Volume (expressed in millions of images)	Plan	Maximum
Jan 2014	48	62	71
Feb 2014	48	62	71
Mar 2014	48	60	70
Apr 2014)	48	59	80
May 2014	48	60	80
Jun 2014	48	59	80
Jul 2104	48	59	80
Aug 2014	48	59	80
Sep 2014	48	58	80
Oct 2014	48	57	80
Nov 2014	48	56	80
Dec 2014	48	55	80
Total Option Period 1	576	706	932
Jan 2015	30	54	63
Feb 2015	30	55	63
Mar 2015	30	54	62
Apr 2015	30	53	61
May 2015	30	53	61
Jun 2015	30	53	61
Jul 2015	30	53	61
Aug 2015	30	52	60
Sep 2015	30	52	59
Oct 2015	30	52	59
Nov 2015	30	52	59
Dec 2015	30	52	59
Total Option Period 2	360	635	728

The estimated end-of-month image volumes provided in Table 1 will be divided asymmetrically between the four (4) DSC sites listed in section 4.2 (Place of Performance). The estimated percentage of volume for the DCS sites is listed in Table 2.

Table 2: Estimated DCS Site Volume Percentages

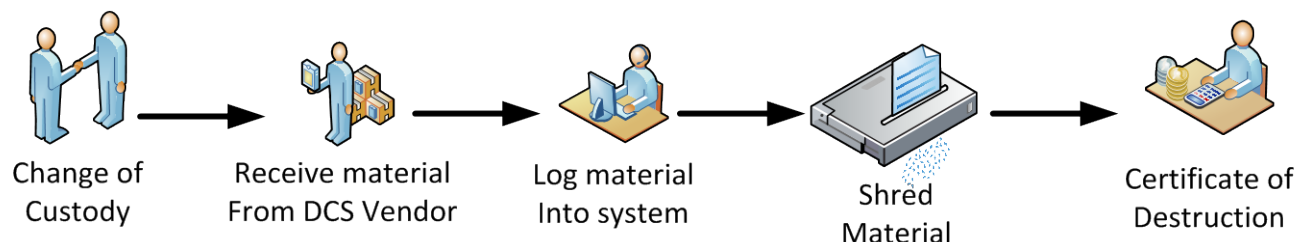
	Option Year 1	Option Year 2
DCS Site A	35%	30%
DCS Site B	35%	30%
DCS Site C	21%	25%
DCS Site D	9%	15%

1.5 Private Sector Document Disposition Contractor

The contract for document disposition service is pending award and this information apply to an optional items under this contract.

VBA requires disposition services for source material processed in accordance with the DCS vendors in order to properly and permanently disposition Veterans' paper claims files within a designated period of time after successful electronic upload into VBA's system of records (SOR). Under these task orders, the Shredding vendors accept custody of the VBA source material separated by each DCS vendor at their locations and destroy the material on site with mobile shredding units. The major steps in the disposition and shredding process are depicted in Figure 3 below:

Figure 3: Shredding Vendor Basic Process



2.0 APPLICABLE DOCUMENTS

In the performance of the tasks associated with this PWS, the IV&V contractor shall comply with the following:

1. VA Handbook 6300.8, Section 5;
2. VA Handbook 0730, Security and Law Enforcement;
3. VA Handbook 0730/1, Security and Law Enforcement;
4. VA Directive 6500, "Information Security Program," August 4, 2006;
5. VA Handbook 6500, "Information Security Program," September 18, 2007;
6. VA Handbook 6500.1, "Electronic Media Sanitization," March 22, 2010;
7. VA Handbook 6500.2, "Management of Security and Privacy Incidents," June 17, 2008;
8. VA Handbook 6500.3, "Certification and Accreditation of VA Information Systems," November 24, 2008;
9. VA Handbook, 6500.5, Incorporating Security and Privacy in System Development Lifecycle;
10. VA Handbook 6500.6, "Contract Security," March 12, 2010;
11. VA Directive 6508, VA Privacy Impact Assessment, October 3, 2008;
12. VA Directive 6300, Records and Information Management, February 26, 2009;
13. VA Handbook, 6300.1, Records Management Procedures, March 24, 2010;
14. VBA Fast Letter 09-47: Disposition of Pension Management Center (PMC) Documents Scanned into the Virtual VA eFolder
15. VBA Decision Memorandum, Disposition of Paper Claims File Documents, dated March 21, 2014

3.0 SCOPE OF WORK

The Independent Verification & Validation (IV&V) contractor shall provide VBA with onsite QA surveillance services to provide validation that the DCS vendors' quality assurance (QA) and quality control (QC) processes and plans will result in deliverables (images, data, workflow tools, and established claims) meeting VBA quality requirements. QA surveillance is described in detail in Sections 5.1.5, 5.1.6, 6.1.3 (optional). In addition, the IV&V contractor shall, in accordance with industry best practices, recommend an approach to, and then conduct periodic and randomly selected QC reviews of the DCS vendors' work products. These QC reviews are described in detail in Sections 5.1.7 through 5.1.10, and 6.1.4 (optional).

In addition to providing VBA with confidence that the DCS vendors are supplying VBA with quality images and data, the QA surveillance and QC reviews will provide VBA with data for internal and external reporting, as well as documentation for system of records purposes.

If optional task(s) (Section 6.0) is exercised, the IV&V contractor shall also provide VBA QA surveillance services to provide confidence that the Shredding vendors' QA and QC processes and plans will result in deliverables meeting VBA requirements. The QA and QC activities are detailed in section 6.1.2 (optional), 6.1.3 (optional), and 6.1.5 (optional).

4.0 PERFORMANCE DETAILS

4.1 PERFORMANCE PERIOD

The period of performance shall be one year from the date of award, with one optional period of performance, for one year. Work at the Government site shall not take place on Federal holidays or weekends unless directed by the Contracting Officer. Deliverables due on Federal holidays will be due the following business day. Estimated award date is October 21, 2014; however, the Contracting Officer reserves the right to adjust the actual award date.

There are ten Federal holidays set by law (5 U.S.C. § 6103) that VA follows:

Under current definitions, four are set by date:

New Year's Day	January 1
Independence Day	July 4
Veterans Day	November 11
Christmas Day	December 25

If any of the above falls on a Saturday, then Friday shall be observed as a holiday. Similarly, if one falls on a Sunday, then Monday shall be observed as a holiday.

The other six are set by a day of the week and month:

Martin Luther King's Birthday	Third Monday in January
Washington's Birthday	Third Monday in February
Memorial Day	Last Monday in May
Labor Day	First Monday in September
Columbus Day	Second Monday in October
Thanksgiving	Fourth Thursday in November

4.2 PLACE OF PERFORMANCE

Tasks under this PWS shall be performed at VBA Central Office, the IV&V contractor's facility, and in DCS vendor facilities, as necessary. No specified number of staff is mandatory, unless explicitly indicated, but during the course of performance, the IV&V contractor will need to either locate personnel at, or travel to, the following Government and DCS vendor locations:

Government Location:

VBA Central Office, 1800 G Street Washington, DC

- A senior member of the IV&V contractor's management staff shall work on site at VBA Central Office for a period not to exceed one week per month.
- Other personnel recommended by the IV&V contractor shall be clearly described in the proposal.

DCS Vendor Locations:

- CACI:
 - Newnan, GA,
 - Mt Vernon, KY; and
 - San Jose, CA (storage location)*
- Systems Made Simple (SMS):
 - Janesville, WI;
 - Clinton, IA; and
 - Elgin, IL (storage location)*

* The DCS Vendor storage locations have functionality limited to disposition, and optionally, on-site shredding. All other sites may include the full spectrum of DCS vendor and Shredding vendor processes.

The IV&V contractor shall clearly and completely describe the anticipated resources necessary to execute each task outlined in this PWS at each of the identified locations.

4.3 TRAVEL

The Government anticipates travel to perform the tasks associated with the effort, as well as to attend program-related meetings or conferences throughout the periods of performance. Include all estimated travel costs in your firm-fixed price line items. Travel costs will be covered through the firm-fixed price line item, not through direct reimbursement by the Government.

VBA cannot estimate the total number of trips for this effort, but the Contractor shall use the requirements in the PWS below to form their estimate. At a minimum, the IV&V contractor should assume trips to VBA Central Office in Washington, DC, to attend an official kick-off meeting, as well as occasional trips back and forth to the DCS vendor locations to complete the Initial IV&V Review, Periodic IV&V Reviews, and to conduct random QC/QA reviews.

5.0 SPECIFIC TASKS AND DELIVERABLES

The IV&V contractor shall perform the following:

5.1 PROJECT MANAGEMENT

5.1.1 CONTRACTOR PROJECT MANAGEMENT PLAN AND IV&V APPROACH

The IV&V contractor shall submit a detailed Project Management Plan (PMP) and IV&V approach for the Veterans Claims Intake Program (VCIP) project team, presenting the Contractor's plan for completing the tasks required in the PWS. The Contractor's plan shall be responsive to this PWS and describe, in further detail, the project management and technical approaches to be used for each aspect of the task order, as defined in the proposal, including a detailed schedule for deliverables and draft deliverables. The schedule shall outline the Contractor's tasks, as well as necessary reviews, including quality reviews. This plan shall describe the activities, personnel, schedule, standards, and methodology for conducting the IV&V reviews. The PMP and IV&V approach will be delivered 30 calendar days after the date of contract award, updated on a monthly basis, and delivered to VBA on the first business day of the month. Prior to the initiating IV&V efforts at the vendor sites, the IV&V contractor shall lead an in-person review of the approach at the VBA office. The in-person review should outline the specific detail of the following, at a minimum: proposed processes for IV&V, recording techniques, sampling calculations, quality measure calculations, and reporting techniques to be employed. The PMP and IV&V approach shall contain the following:

- a) Project Schedule;
- b) Work Breakdown Structure (WBS);
- c) A WBS Dictionary containing descriptions of all deliverables, including expected format, content, and organization, to be developed and delivered during the IV&V Reviews
- d) Risk and Issue Management Plan;
- e) Staffing Plan including:
 - a. An organization chart reflecting the IV&V Contractor's team, including each on-site Lead, the team's place within the IV&V Contractor's corporate structure, and providing the key names, addresses, and other contact information to be used for dispute resolution and customer feedback; and,
 - b. A plan to encourage and facilitate the hiring of Veterans with skills appropriate to perform the tasks described in the PWS.
- f) IV&V Approach detailing the Contractor's technical approach to performing the IV&V assessments and gathering the quality assurance data required.
- g) Communications plan detailing the Contractor's reporting approach and communications procedures for interacting with the Government, including:
 - a. Communication of deliverables,
 - b. Regular and ad hoc meetings,
 - c. Availability of IV&V data to Government,

- d. Automated reporting capability with on-demand and ad-hoc data and trend reports from the IV&V data, allowing Government access (see section 5.1.3),
- e. Ad hoc communications reporting, and;

Unless otherwise specified, the PMP and its subcomponents will include content consistent with the most recent version of the Project Management Institute's (PMI) Project Management Body of Knowledge (PMBOK) best practices, as well as any other applicable information relative to the requirements of the PWS.

Deliverables:

- A. Contractor Project Management Plan and IV&V Approach; and
- B. Monthly PMP Updates.

5.1.2 CONTRACT KICK-OFF AND RECURRING STATUS MEETINGS

Within seven calendar days of contract award, unless otherwise specified by VA, the IV&V contractor shall attend an in-person contract kick-off meeting at VBA Central Office at 1800 G St., NW, Washington, DC, 20006. At the kick-off meeting, the CO and COR shall review the contract requirements with the Contractor as well as information relevant to contract performance. The Contractor shall facilitate a detailed presentation to VBA regarding its approach to perform the requirements of the contract. The Contractor shall deliver meeting minutes from this meeting within three business days.

On a monthly basis at a date determined by VBA, the IV&V contractor shall attend and facilitate a monthly status meeting. At the meeting, the Contractor shall inform the COR of current contract status, risks, issues, work and deliverables expectations prospective to the next 30 days in the task order schedule.

Deliverables:

- A. Kick-Off Meeting Attendance and Presentation;
- B. Kick-Off Meeting Minutes;
- C. Monthly Status Meetings; and
- D. Monthly Status Meeting Minutes.

5.1.3 REPORTING REQUIREMENTS

The Contractor shall submit Monthly Progress Reports to the COR in electronic form in Microsoft Word and Project formats. The report shall include detailed instructions/explanations for each required data element to ensure that data are accurate and consistent. These reports shall reflect data as of the last day of the preceding month.

The Monthly Progress Reports shall cover all work completed during the reporting period and work planned for the subsequent reporting period. The report shall also identify any problems that arose and a description of how the problems were resolved. If problems have not been completely resolved, the Contractor shall submit an explanation including their plan and timeframe for resolving the issue. The Contractor shall monitor performance against the PMP and report any deviations. It is expected that the IV&V contractor will keep in communication with VA accordingly so that issues that arise are transparent to both parties to prevent escalation of outstanding issues.

Additionally, the contractor shall make the IV&V source data available to the government through an automated reporting capability. The government shall be able to access the raw data, and readily create regular and custom/ad-hoc reports on-demand.

Deliverables:

- A. Monthly Progress Report
- B. Automated Reporting Capability with current data for Government Access

5.1.4 IV&V REVIEW CHECKLIST

The IV&V contractor shall develop, in accordance with IV&V industry best practices, checklists for reviewing, observing and monitoring DCS vendor daily operational elements. The IV&V Checklists are to be compiled and delivered on an ongoing basis, with the first checklists being delivered applicable to the project lifecycle phase to be monitored and reviewed. Checklist delivery will be made to the IV&V COR not less than three business days prior to the onsite portion of the review being performed. As IV&V work progresses and project lifecycle phases change, applicable, updated IV&V Checklists will be delivered, as needed, prior to commencement of the on-site portion of that respective, periodic IV&V Review. Completed checklists shall be submitted as an attachment to the specific DCS Vendor Review Report.

Deliverables:

- A. DCS IV&V Checklists

5.1.5 INITIAL DCS VENDOR REVIEW

The first Initial DCS Vendor Review shall commence within 30 calendar days from the date of contract award and all DCS Vendor Reviews shall be completed within 60 calendar days from the date of contract award. The IV&V contractor shall review document conversion and Centralized Mail Processing (CMP) operations at DCS vendor locations. The IV&V contractor shall complete the review within seven calendar days following the start of each DCS Vendor Review. The report shall be delivered within seven calendar days following completion of each Initial DCS Vendors Review.

In preparation for the Initial DCS Review, the IV&V contractor shall:

- a) Submit to the COR a proposed schedule of review activities to be performed with the associated IV&V Checklist;
- b) Submit to the COR a list of Project Team and Stakeholder interviews to be performed and DCS vendor documentation required to be reviewed;
- c) Submit to the COR a list of Project Documentation required for IV&V Contractor review; and,
- d) Submit to the COR a list of Project Meetings and/or other DCS vendor activities to be attended and observed by the IV&V Contractor.

The Initial DCS Vendor Review shall include a thorough analysis of all DCS task order requirements and applicable VA imaging requirements with regards to those metrics, measures, and processes, which should be controlled. The IV&V contractor shall also use the DCS vendors' and VA scanning Quality Assurance (QA) Plans to identify where, and how, the IV&V tasks can be integrated into the DCS processes to verify and validate the VA DCS and scanning requirements are met, with a goal of

minimizing any impact on the timely delivery of images and data to VA. The IV&V contractor should also evaluate the vendor's ability to meet the forecasted monthly volume while sustaining the required quality measures. Upon completion of the review, the IV&V Contractor shall analyze collected Project artifacts and draft the Initial IV&V Review Report.

The IV&V contractor shall structure the reviews and reports around the following four (4) categories:

1. DCS Vendor Quality Assurance Plans

- a) Evaluate and make recommendations on the document conversion vendor's Quality Assurance plans, procedures and organization.
- b) Verify that conversion vendor internal QA has an appropriate level of independence from project management.
- c) Verify that the conversion vendor internal QA organization monitors the fidelity of all defined processes in all phases of the project.
- d) Verify that the quality of all products produced by the project is monitored by formal reviews and sign-offs.
- e) Evaluate the quality of the contracted Document Conversion Services by reviewing their processes and reports and performing spot checks of system documentation; assess findings and performance of the processes and reports.

2. DCS Vendor Operational Performance

- a) Evaluate and make recommendations on the vendors' operational plans, procedures and organization against the contractor's Project Management Plan.
- b) Evaluate implementation of the vendor's process activities to determine if processes are effective and are being followed.
- c) Evaluate the operational performance of the DCS vendors by reviewing their processes and reports and performing spot checks of documentation; assess findings and performance of the processes and reports.
- d) Evaluate and make recommendation on the DCS vendors' Centralized Mail Process (CMP) specific plans, procedures, and document traceability.

3. DCS Vendor Project Management

- a) Evaluate and make recommendations on project management policies and procedures.
- b) Evaluate tracking and reporting tools for effectiveness in monitoring project status and quality control.

4. DCS Vendor Disposition Management (as applicable)

- a) Evaluate and make recommendations on the DCS vendors' Disposition plans, procedures, and performance
- b) Evaluate implementation of the vendor's process activities to determine if processes are effective and are being followed.

Deliverables:

- A. Initial DCS Vendor Review Reports

5.1.6 PERIODIC DCS VENDOR REVIEW

The IV&V contractor shall conduct periodic IV&V reviews beginning 90 calendar days following final acceptance by VA of the Initial Vendor Review Reports. Periodic IV&V reviews shall then be conducted every 90 calendar days thereafter, throughout the base and option periods. Additional Periodic Vendor Reviews may be requested at the CO's discretion to evaluate process changes, degradation of quality, or to provide further IV&V services for a comprehensive process—Periodic Vendor Reviews are not to exceed a 30 day frequency. During the periodic reviews, the Contractor shall review changes made to DCS vendor operations (i.e., changes to metrics and / or measures, changes in the scope of imaging requirements based on VBA transformational activities, modifications to the quality review process, fluctuations in resources, installation of new imaging equipment, etc.) and any impact those changes may have upon quality. Upon completion of each Periodic Review, the IV&V Contractor shall analyze collected project artifacts and draft the respective Periodic IV&V Review Report. The report shall be delivered within five calendar days of completion of the periodic review and shall include special attention to progress since the previous review and focus areas presenting opportunities for improvement.

During the Option Period, the IV&V contractor shall conduct periodic IV&V reviews every 90 calendar days.

Deliverables:

- A) Periodic IV&V Report.

5.1.7 QUALITY CONTROL SURVEILLANCE OF CONVERTED IMAGES

As the DCS vendor completes the processes of scanning and performing their internal QC, there is a need for continued quality control surveillance of the DCS vendor's adherence to required document conversion services task order quality levels. The large volume and relative uniformity of the produced images indicates that a sampling of completed work to validate the achieved quality levels is appropriate. Validation inspections are needed to ensure the images and data produced by the DCS vendors will fully support the electronic and automated processing critical to meeting the VBA transformational goals. VBA requires quality in three primary areas as described in paragraphs 5.1.7.1, 5.1.7.2, and 5.1.7.3 below. There is a fourth area, related to timeliness (turn-around time), which is described in detail in Section 5.8.1. These quality requirements are important and costly if not adhered to by the DCS vendors. Therefore, IV&V services are needed to provide confidence that the DCS vendor output meets VBA's requirements. To validate the specific quality requirements, the IV&V contractor should compare the digital images and information to the original source material provided. The IV&V contractor shall, in collaboration with VCIP, determine a scoring guide to determine the degree to which any subjectivity quality measure is graded. The scoring guide shall also be used to align specific QC measure determinations between the IV&V contractor and DCS vendors.

The statistically valid random sampling for each of the following quality control tasks will use different units of measure. Image quality will be validated from a sampling of the total image population. Indexing quality will be validated from a sampling of the total document population. Character

extraction quality will be validated from a sampling of the total characters extracted population. Shredding quality (optional tasks 6.1.5) will be validated from a sampling of the total box population.

For the purposes of estimating volumes, table 3 provides estimated averaged conversion values for each of the different units of measure.

Table 4: Conversion Factors

	Document	Image	Extracted Character
Box	7 doc/box	3150 image/box	-
Document	-	450 image/doc-	50 char./doc

The IV&V contractor shall submit a weekly report to the VCIP Program Office detailing the results of the quality control activities and accuracy rates on the categories outlined in sections 5.1.7.1, 5.1.7.2, 5.1.7.3, and 5.1.8 below. The weekly report shall contain information from the previous week, along with cumulative information for the DCS Vendors' Period of Performance with trend analysis. The formatting will be set by VCIP (e.g., PowerPoint and/or executive summary), with input and recommendations from the IV&V contractor. Likely contents include, but are not limited to, identifying the specific errors encountered (e.g., missing page, orientation, incorrect date of receipt, incorrect claim number, etc.), qualitative details, and general status and trend information. The IV&V contractor shall deliver the weekly report to the VCIP National Quality Manager (or designee) and COR not later than the close of the first workday following the end of the previous week. The contractor shall participate in weekly Vendor Error Calls (tentatively scheduled for Friday at 9:30 AM EST).

Deliverables:

- A. Weekly IV&V Quality Report.
- B. Automated Reporting Capability with current data for Government Access

5.1.7.1 QUALITY CONTROL SURVEILLANCE OF IMAGE QUALITY

As the DCS vendors scan paper documents, a computer-based image is created for each page that must accurately depict the source material. During the Base Period, and any executed option period of performance, the IV&V contractor shall conduct IV&V reviews on a statistically valid random sampling of the images created during the conversion process. The IV&V contractor shall compare the computer-based view of the source material created through imaging to the original material. The IV&V contractor shall ensure image quality requirements outlined in the vendors Task Order PWS are met and ensure images adhere to the VBA published *Document Conversion Rules*. The IV&V contractor shall utilize Table 1: Estimated End of Month Image Volume Levels (millions of images per month), Table 2: Estimated DCS Site Volume Percentages, and industry best practices to determine the appropriate sampling methodologies to provide confidence that required quality levels are met. Image quality is validated from a sampling of the total image population. In accordance with the DCS vendor's PWS, acceptable image quality is 99%. IV&V image quality review includes verification that:

- a) Image exists for each piece of source material (paper, CDs, etc.);

- b) The use of the “Best Copy” process is used;
- c) Images are as legible and interpretable as the source material;
- d) An “x” imprint is made on the front side of each piece of source material;
- e) Images are not skewed;
- f) Document types are split correctly with all associated pages (526, etc.) and not processed as a common single document;
- g) Completely blank images are deleted;
- h) Bleed through pages showing as images are deleted;
- i) Images are properly oriented; and
- j) Documents or images are not out of sequence.

5.1.7.2 QUALITY CONTROL SURVEILLANCE OF DOCUMENT TYPE INDEXING

After images are created from source materials, the DCS vendors are currently required to assign four index values (Veteran Name, File Number, Document Type, and Date of Receipt) to each image. These index values are used during claims processing to retrieve and sort the images in VBMS. The IV&V of index values is meant to validate that the DCS vendor quality processes are working to identify incorrect index values and make corrections as needed to meet requirements. During the Base Period and any executed option period of performance the IV&V contractor shall conduct reviews on a statistically valid random sampling of DCS vendor applied index values. The IV&V contractor shall utilize Table 1: Estimated End of Month Image Volume Levels (millions of images per month), Table 2: Estimated DCS Site Volume Percentages, and industry best practices to calculate the appropriate sampling size and random selection techniques to provide confidence that the required quality levels are achieved. Indexing quality will be validated from a sampling of the total document population. In accordance with the DCS vendor’s PWS, acceptable document indexing accuracy is 99%. IV&V document indexing review includes verification that:

Indexing values are assigned at the document level in accordance with the current *VBA Document Conversion Rules*, and the current *VBA Document Type Indexing Guide – Supplement to the Document Conversion Rules*

5.1.7.3 QUALITY CONTROL SURVEILLANCE OF DATA EXTRACTION

The DCS vendors are currently required to extract pre-defined information from a select number of forms and transmit the information as metadata to VBMS. The information to be extracted may be typed or hand written. The IV&V contractor shall compare a statistically valid random sampling of the extracted characters against the characters on the physical source material to validate that the DCS vendor processes result in the required quality levels for this extracted information. The IV&V contractor shall utilize Table 1: Estimated End of Month Image Volume Levels (millions of images per month), Table 2: Estimated DCS Site Volume Percentages, and industry best practices to calculate the appropriate sampling size and random selection techniques to provide confidence that the required quality levels are achieved. Character extraction quality will be validated from a sampling of the total characters extracted population. Acceptable data extraction accuracy rates are set at:

- Accuracy of data extraction, compared to the source material is set at 95% for CACI and 96.4% for SMS.

IV&V data extraction accuracy review includes validation that:

- a) The document conversion vendor has extracted data from the imaged source material in accordance with the approved *Addendum C: Document Indexing Recommendation and Data Extraction Field List* of the Document Conversion Services PWS; and
- b) Contention values have been extracted and / or entered manually exactly as they appear on the source material and **NOT** corrected for grammar or spelling.

5.1.8 QUALITY CONTROL SURVEILLANCE OF TURNAROUND TIME TO UPLOAD

VBA requires that images and data be delivered to VBA to support the VBA transformational goal of reducing the time needed to process claims for benefits. The source materials provided to the DCS vendors are also needed to support other VBA processing that depends on paper, rather than electronic folders. To support these requirements, there are upload and return time requirements for the DCS vendors. Additionally, VBA distinguishes between pending and completed claims for factoring turnaround time. Completed claims are claims that are already in process or complete within VBMS and therefore are not included in the turnaround time calculations for pending claims. Completed claims were initiated outside of the document conversion methods and require the image to be added to the existing VBMS eFolder. During the Base Period and any executed option period of performance the IV&V contractor shall conduct IV&V to validate that conversion vendors are meeting the required turn-around-time to upload images to VA assets as set forth in the Document Conversion Services PWS at Section 5.9. The time required for VA to complete activities required for successful document upload will be excluded from the contractor's turnaround time requirement.

IV&V vendor turn-around-time to upload review includes validation that:

- a) Conversion vendor has delivered images, indices, and extracted data to VA within five (5) business days (excluding time for VA QC) after receipt of source material for at least 99% of images delivered.

5.1.9 QUALITY CONTROL SURVEILLANCE OF CENTRALIZED MAIL PROCESSING

With the modified DCS vendor requirements for claims-related Centralized Mail Processing (CMP), the DCS vendors will receive physical mail and faxes directly from Veterans, VBA locations, and non-VBA locations. The IV&V contractor shall review the CMP operations and determine quality gates to be monitored from the primary CMP operational activities and measures:

- a) Receiving
 - a. Date Stamp
 - b. Fax Date Stamp
 - c. Material Tracking
- b) Scanning
- c) Existing Claim lookup
- d) Claims Establishment
- e) Exceptions to Claims Establishment
- f) VBMS Upload
- g) Disposition

The IV&V contractor shall utilize a statistically valid random sampling to validate the following DCS vendor document conversion services task order quality levels, in addition to the DCS vendor's standard document conversion services task order quality levels:

- a) Documents fitting the rules for items not to be scanned shall be pulled from the process flow and returned to the original destination RO prior to scanning: 95%
- b) For Veterans whose identity is verified using information contained in the received document, the correct Veteran Identity is verified: 99%
- c) If data lookup is attempted to collect additional information in support of upload or claims establishment, data pertaining to the correct veteran is obtained: 99%
- d) If an automated claims establishment is attempted, the service call contains all required data elements to establish the claim, as defined in the Claims Service description document: 99%

Deliverables:

- A. Weekly IV&V Quality Report.

5.1.10 QUALITY CONTROL SURVEILLANCE OF THE DCS VENDOR PORTAL

Each DCS Vendors has developed a web-based portal for use within the Centralized Mail Processing (CMP) Intake Processing Hub (IPH). The unrelated DCS vendor systems meet equivalent requirements; however, they have different access methods and user experiences. Scanned images and associated metadata unable to be uploaded into VBMS are denoted with in exception and queued in the portal. VBA personnel utilize the portal to access the images and associated metadata to resolve the exceptions, allowing upload to VBMS. The IV&V contractor will validate the following required DCS vendor quality measures in the Vendor Portal processes:

- a) Documents forwarded to VA for additional data required to establish a claim which are of one of the types specified as being subject to claims establishment: 99%
- b) Documents forwarded to VA for additional information to support upload via the VBMS CMS are absent of at least one of the required index values required for upload: 99%
- c) Documents forwarded to VA for additional information to support claims establishment are absent of at least one of the required data elements to support automatic establishment via the VBMS Claims Service: 99%
- d) All VA personnel authorized to view and update images and data in the vendor system shall be authenticated via the VA Common Security Services: 100%
- e) VA personnel can exercise all functions they require in the contractor application from their standard VA desktop system without the need for modification of the VA configuration baseline: 99%

Deliverables:

- A. Weekly IV&V Quality Report.

5.1.11 Training on VBA Document Conversion Rules and Document Type Identification Guide

Within ten calendar days of the Kick-Off Meeting, unless otherwise specified by VA, the IV&V contractor shall attend in-person VBA-provided training at the DCS vendors' locations. The focus of

the training is adherence to VBA Document Conversion Rules and Document Type Identification Guide.

The VA will provide additional training for new hires, during the Initial Vendor Review, and 90-day Period Vendor Reviews, as needed.

Deliverables:

- A. Attendance at VBA-provided training

6.0 OPTIONAL TASKS AND DELIVERABLES

The IV&V contractor shall perform the following, as exercised by the CO:

6.1.1 IV&V DISPOSITION AND SHREDDING REVIEW CHECKLIST

The IV&V contractor shall develop, in accordance with IV&V industry best practices, checklists for reviewing, observing and monitoring DCS vendor Disposition operational elements and Shredding vendor weekly operations. The IV&V Checklists are to be compiled and delivered on an ongoing basis, with the first checklists being delivered applicable to the project lifecycle phase to be monitored and reviewed. Checklist delivery will be made to the IV&V COR not less than three business days prior to the onsite portion of the review being performed. As IV&V work progresses and project lifecycle phases change, applicable, updated IV&V Checklists will be delivered, as needed, prior to commencement of the on-site portion of that respective, periodic IV&V Review. Completed checklists shall be submitted as an attachment to the specific DCS Vendor Review Report or Shredding Vendor Review Report.

Deliverables:

- A. Disposition IV&V Checklists
- B. Shredding IV&V Checklists

6.1.2 INITIAL SHREDDING VENDOR REVIEW

The first Initial Shredding Vendor Review shall commence within 30 calendar days from the date of contract award and all Shredding Vendor Reviews shall be completed within 60 calendar days from the date of contract award. The IV&V contractor shall review the shredding operations of dispositioned VBA source material at DCS vendor locations. The IV&V contractor shall complete the review within two calendar days following the start of the review. The report shall be delivered within seven calendar days following completion of the Initial Shredding vendors Review.

In preparation for the Initial Shredding Vendor Review, the IV&V contractor shall:

- a) Submit to the COR a proposed schedule of review activities to be performed with the associated IV&V Checklist;
- e) Submit to the COR a list of Project Team and Stakeholder interviews to be performed and VBA source material required to be traced through the shredding process
- f) Submit to the COR a list of Project Documentation required for IV&V Contractor review; and,
- g) Submit to the COR a list of Project Meetings and/or other Shredding vendor activities to be attended and observed by the IV&V Contractor.

The Initial Shredding Vendor Review shall include a thorough analysis of all Shredding task order requirements and applicable VA shredding requirements with regards to those metrics, measures, and processes, which should be controlled. The IV&V contractor shall also use the Shredding vendors' Quality Assurance (QA) Plans to identify where, and how, the IV&V tasks can be integrated into the shredding processes to verify and validate the VA shredding requirements are met, with a goal of minimizing any impact on the timely shredding of dispositioned VBA source material. Upon completion of the review, the IV&V Contractor shall analyze collected project artifacts and draft the Initial IV&V Shredding Vendor Review Report.

Deliverables:

- A. Initial Shredding Vendor Review Reports

6.1.3 PERIODIC DISPOSITION AND SHREDDING VENDOR REVIEWS

The IV&V contractor shall conduct periodic IV&V reviews beginning 90 calendar days following final acceptance by VA of the Initial Disposition and Shredding Vendor Review Reports. Periodic IV&V reviews shall then be conducted every 90 calendar days thereafter, throughout the base and option periods. Additional Periodic Vendor Reviews may be requested at the CO's discretion to evaluate process changes, degradation of quality, or to provide further IV&V services for a comprehensive process—Periodic Vendor Reviews are not to exceed a 30 day frequency. During the periodic reviews, the Contractor shall review changes made to Disposition and Shredding vendor operations and any impact those changes may have upon quality. Upon completion of each Periodic Review, the IV&V Contractor shall analyze collected project artifacts and draft the respective Periodic IV&V Review Report. The report shall be delivered within five calendar days of completion of the periodic review and shall include special attention to progress since the previous review and focus areas presenting opportunities for improvement.

During the Option Period, the IV&V contractor shall conduct periodic IV&V reviews every 90 calendar days.

Deliverables:

- B) Periodic IV&V Report.

6.1.4 QUALITY CONTROL SURVEILLANCE OF DCS VENDOR DISPOSITION

VBA requires dispositioning services for source material processed in accordance with the DCS vendors in order to properly and permanently disposition Veterans' paper claims files within a designated period of time after successful electronic upload into VBA's system of record (SOR). The processed source materials are separated into the following three categories:

- a) Service Treatment Records (STRs)
- b) Original documents and those of sentimental value
- c) All other claimant materials
- d) Litigation hold materials are returned to Regional Office

It is crucial that the DCS vendor accurately dispose of and track the source documents through their life-cycle to prevent accidental shredding or improper disposition of source material. The IV&V

contractor shall perform quality assurance reviews and quality control in accordance with statistically valid random sampling methods to validate:

- a) STRs:
 - a. Classification accuracy: 99%
 - b. Correct Service association: 99%
 - c. Correct Veteran association: 99%
- b) Original documents:
 - a. Classification accuracy: 90%
 - b. Correct Veteran association: 99%
- c) All other claimant materials:
 - a. Classification accuracy: 99%
- d) Litigation Hold:

Deliverables:

- A. Weekly IV&V Quality Report.

6.1.5 QUALITY CONTROL SURVEILLANCE OF THE SHREDDING VENDORS

The Shredding vendors will exchange custody of the scanned VBA physical source material for shredding from the DCS vendors and Veteran Benefit Regional Offices (ROs) through two procedures: (1) Accumulation of Paper Claims Folders and (2) Day-to-Day Disposition Procedure. The Accumulated Paper Claims Folders at ROs and DCS vendors will be destroyed during distinct scheduled events at multiple locations. The Day-to-Day Disposition Procedure will occur on a regularly scheduled basis at the DCS Vendor locations. The Shredding vendors are responsible for providing on-site shredding of scanned VBA source material (paper, photographs, fax, eFax, microfilm, microfiche, CD/DVD, and flash drives, and the boxes in which the paper is provided) with a mobile vehicle at the RO and DCS vendor facilities.



The IV&V contractor shall use a statistically valid random sampling (based on the volumes in **Table**

5) to validate the Day-to-Day Disposition Procedure:

- a) VBA personnel have the ability to track the status of all dispositioned material through shredding by RMS and Shredding Date.
- b) The Shredding Tracking reports are submitted and accurate
- c) Certificate of Shredding is available for each document
- d) Classified documents are destroyed in the presence of a qualified witness to comply with confidentiality requirements
- e) The destroyed material fragment size complies with the specified dimensions requirements

Table 5: Day-to-Day Disposition Procedure Estimated Volume by Site

Location	Estimated Maximum boxes per Month
DCS Site A	3,700 boxes
DCS Site B	3,700 boxes
DCS Site C	3,500 boxes
DCS Site D	1,500 boxes

Deliverables:

- A. Weekly IV&V Quality Report.

7.0 Contractor Experience Requirements - Key Personnel

Certain skilled experience professional and/or technical personnel are essential for accomplishing the work to be performed. These individuals are defined as “Key Personnel” and are those persons whose résumés shall be submitted and marked by the contractor as “Key Personnel.” Resumes for Key Personnel should demonstrate applicable experience and skills fitting the individual IV&V requirements and domain knowledge contained in the PWS. Substitutions shall only be accepted if in compliance with the “Substitution of Key Personnel” provision identified below.

The contractor shall be responsible for managing and overseeing the activities of all contractor personnel, as well as subcontractor efforts used in performance of this effort. Contractor management responsibilities shall include all activities necessary to ensure the accomplishment of timely and effective support, performed in accordance with the requirements contained in the PWS.

Substitution of Key Personnel: All Contractor requests for approval of substitutions hereunder shall be submitted in writing to the COR, or Authorized Designee, and the CO at least 15 calendar days in advance of the effective date, whenever possible, and shall provide a detailed explanation of the circumstances necessitating the proposed substitution, a complete résumé for the proposed substitute, and any other information requested by the CO necessary to approve or disapprove the proposed substitution. The Contractor shall also provide the COR with a training plan for the proposed substitutionary Key Personnel, outlining the training, timeframes, and materials necessary for the specified role. New personnel shall not commence work until all necessary security requirements have been fulfilled and resumes provided and accepted. The COR, or Authorized Designee, and the CO will evaluate such requests and promptly notify the Contractor of approval or disapproval in writing.

8.0 GENERAL REQUIREMENTS**8.1 POSITION/TASK RISK DESIGNATION LEVEL(S) AND VENDOR PERSONNEL SECURITY REQUIREMENTS*****VA Information and Information System Security/Privacy Requirements*****General**

All Contractors and Contractor personnel shall be subject to the same Federal security and privacy laws, regulations, standards and VA policies as VA, including the Privacy Act, 5 U.S.C. §552a, and VA personnel, regarding information and information system security. Contractors must follow policies and procedures outlined in VA Directive 6500, Information Security Program; and VA Handbook 6500.6, Contract Security which are available at: <http://www1.va.gov/vapubs> and its handbooks to ensure appropriate security controls are in place.

Access to VA Information and VA Information Systems

VA will supply the Contractor with the minimum logical (technical) and/or physical access to VA information and VA information systems for employees, sub-contractors: (1) to perform the services specified in the contract, (2) to perform necessary maintenance functions for electronic storage or transmission media necessary for performance of the contract, and (3) for individuals who first satisfy the same conditions, requirements, and restrictions that comparable VA employees must meet to have access to the same type of VA information.

All Contractors and subcontractors working with VA Sensitive Information are subject to the same investigative requirements as those of regular VA appointees or employees who have access to the same types of information. The level of background security investigation will be in accordance with VA Directive 0710, Handbook 0710, which are available at: <http://www1.va.gov/vapubs>, and VHA Directive 0710 and Implementation Handbook 0710.01, which are available at: <http://www1.va.gov/vhapublications/index.cfm>. Contractors are responsible for screening their employees. The following are VA's approved policy exceptions for meeting VA background screenings/investigative requirements for certain types of Contractor personnel:

- Contractor personnel not accessing VA information resources, such as personnel hired to maintain the medical facility grounds, construction contracts, utility system contractors, etc.
- Contractor personnel with limited and intermittent access to equipment connected to networks on which no VA sensitive information resides
- Contractor personnel with limited and intermittent access to equipment connected to networks on which limited VA sensitive information resides and with limited and intermittent access to facilities at which they are escorted

VA Information Custodial Requirements

VA information provided to the Contractor for either the performance or administration of this contract shall only be used for those purposes. No other use is permitted without the CO's express written authorization. This clause expressly limits the Contractor's rights to use data as described in Rights in Data - General, FAR 52.227-14(d)(1). The Government shall retain the rights to all data and records produced in the execution or administration of this contract.

Prior to termination or completion of this contract, Contractor will not destroy information received from VA or gathered or created by the Contractor in the course of performing this contract without prior written approval by the CO. A Contractor destroying data on VA's behalf must do so accordance with National Archives and Records Administration (NARA) requirements as outlined in VA Directive 6300, Records and Information Management and its Handbook 6300.1 Records Management Procedures, and applicable VA Records Control Schedules. All data and reports shall be transferred to VBA upon contract completion.

The Contractor shall not make copies of VA information, electronic or otherwise, except as necessary to perform the terms of the agreement or to preserve electronic information stored on Contractor electronic storage media for restoration in case any electronic equipment or data used by the Contractor needs to be restored to an operating state.

The Contractor shall not use technologies banned in VA in meeting the requirements of the contract (e.g., Bluetooth-enabled devices).

Physical Security

If the contract requires taking VA data to a contractor site and the data contains Personally Identifiable Information, the contractor will provide an independent physical security assessment of their facility to the COR prior to commencing work. General guidelines for physical security can be found in VA Directive 0730, Section 6 (Physical Security) and VA Memorandum (subj: IT Oversight & Compliance Information Physical Security Assessments) dated October 24, 2007.

Training

All Contractor and subcontractor personnel requiring access to VA information and VA information systems shall complete the following before being granted access to VA information and networks:

1. Sign and acknowledge understanding of and responsibilities for compliance with the ***National Rules of Behavior*** related to access to VA information and information systems
2. Successfully complete VA Information Security Awareness training and annual refresher training as required
3. Successfully complete VA Privacy Awareness training and annual refresher training as required
4. Successfully complete any additional Information Security or Privacy training as required for VA personnel with equivalent information system access

The Contractor shall provide to the COR a copy of the training certificates for each applicable employee within 1 week of the initiation of the contract and annually thereafter, as required. These online courses are located at www.tms.va.gov. To **self-enroll, click the “Create New User” button on the red bar and complete the assigned training. The COR will provide the contractor with the appropriate information to complete self-enrollment. Technical issues with TMS should be** directed to the TMS help desk at vatmshelp@va.gov or 1.866.496.0463.

Failure to complete this mandatory training within the timeframe required will be grounds for suspension or termination of all physical and/or electronic access privileges and removal from work on the contract until such time as the training is completed.

Contractor Personnel Security

All contract employees who require access to the VA site(s) and/or access to VA local area network (LAN) systems shall be the subject of a background investigation and must receive a favorable

adjudication from the VA Security and Investigations Center (SIC). These requirements are applicable to all subcontractor personnel requiring the same level of Background Investigation.

The level of background security investigation will be in accordance with VA Directive 0710 dated September 10, 2004 and is available at

http://www1.va.gov/vapubs/viewPublication.asp?Pub_ID=487&FTYPE=2

Background Investigation

The contract employee level of background investigation required for this effort is: **NACI**

Contractor Responsibilities

1. The Contractor shall bear the expense of obtaining background investigations or reciprocals of previous investigations held that meet or exceed the required investigation level. **The cost of background investigations is based on the current Office of Personnel Management (OPM) rate at the time the application is processed at OPM.** Fiscal Year 2014 rates are as follows: Low Risk (NACI) **\$279**, Moderate Risk (MBI) **\$989**, High Risk (BI) **\$4,225** or Reciprocals are **\$30**. VA will pay for investigations or reciprocals processed through the VA SIC and conducted by OPM in advance; however, the Contractor shall reimburse the full cost of background investigations/reciprocals to VA within 30 days of Bill of Collections received from VA. VA shall send up to three plus one final delinquent notice to the Contractor. If the Contractor does not adhere to the Bill of Collections, future invoices may be subject to be offset by VA to recoup background investigation/reciprocal costs.

2. Immediately after contract or task order award, the COR will provide the Contractor with the following background investigation documents to be completed by the Contractor and returned to the COR to begin the background investigation process for all contract employees working on the contract who will have access to VA facilities, VA systems, or privacy data:

- a. Background Investigation Request Worksheet**
- b. Optional Form 306 – Declaration of Federal Employment**
- c. Fingerprint Request Form**

3. Upon receipt of the above-stated documents from the COR, the VBA Acquisition Staff will submit the background investigation package to the VSC Security Specialist for processing through the SIC. **Upon notification of favorable fingerprint results, the contractor may begin work while the background investigation is ongoing.** Thereafter, the Contractor will receive an email notification from the SIC identifying the website link that includes detailed instructions regarding completion of the background clearance application process in the Electronic Questionnaires for Investigations Processing (e-QIP) system. E-QIP is an online, Internet accessible system where the contractor employee shall complete the security questionnaire required for OPM to process the background investigation.

4. Contractors who have a current favorable background investigation previously conducted by OPM or Defense Security Service (DSS) may be accepted through reciprocation. When a previous

clearance is currently held, it does not preclude the vendor from submitting a complete Background Investigation Package as stated above to the COR immediately after contract or task order award for all contract employees who will be working on the contract.

5. The Contractor shall prescreen all personnel who require access to VA site(s) and/or access to VA LAN systems to ensure they maintain a U.S. citizenship or Alien Registration that authorizes them to work in the U.S. and are able to read, write, speak and understand the English language.

6. Contract performance **shall not** commence before:

- The VSC has confirmed favorable fingerprint results, or
- SIC confirms that it has received the Contractor's investigative documents, the documents are complete, and that the investigation information has been released to OPM for scheduling of the background investigation, or
- VSC or the SIC has confirmed that the verified investigation will be reciprocated.

7. The COR will notify and forward the Contractor a copy of the Certificate of Investigation when the background investigation has been favorably completed or a Certificate of Eligibility (Form 4236) if the investigation has been reciprocated. The Contractor, if notified of an unfavorable adjudication by the Government, shall withdraw the employee from consideration from working under the contract. Failure to comply with the Contractor personnel security requirements may result in termination of the contract for default.

8. The Contractor will be responsible for the actions of those contract and subcontract employees they provide to perform work for VA. In the event damage arises from work performed by Contractor personnel, under the auspices of the contract, the Contractor will be responsible for resources necessary to remedy the incident.

9. Should the Contractor use a vendor other than OPM or DSS to conduct investigations, the investigative company must be certified by OPM/DSS to conduct Contractor investigations. The Vendor Cage Code number must be provided to the VA SIC, which will verify the information and conclude whether access to the Government's site(s) and/or VA LAN systems can be granted.

10. The investigative history for Contractor personnel working under this contract must be maintained in the databases of either OPM or the Defense Industrial Security Clearance Organization (DISCO).

Government Responsibilities

1. After the SIC has adjudicated the background investigation package from the Contractor, the SIC will send an e-mail notification to the Contractor and their POC identifying the e-QIP website link

that includes detailed instructions regarding completion of the background clearance application process and the level of background that was requested.

2. Upon receipt of required investigative documents, SIC will review the investigative documents for completion and initiate the background investigation by forwarding the investigative documents to OPM to conduct the background investigation. If the investigative documents are not complete, the SIC will notify the vendor of deficiencies and include corrective instructions.

3. VA will pay for investigations and reciprocals processed through the VA SIC and conducted by OPM in advance, however, the Contractor shall reimburse the full cost of background investigations/reciprocals to VA within 30 days of Bill of Collections from VA. VA shall send up to three plus one final delinquent notice to the Contractor. If the Contractor does not adhere to the Bill of Collections, future invoices may be subject to be offset by VA to recoup background investigation costs and may be considered grounds for default.

4. The COR will notify and forward the Contractor a copy of the Certificate of Investigation when the background investigation has been favorably adjudicated or a Certificate of Eligibility (Form 4236) if the investigation has been reciprocated. The COR will also notify the Contractor of an unfavorable adjudication by the Government.

Security Incident Investigation

The term "security incident" means an event that has, or could have, resulted in unauthorized access to, loss or damage to VA assets, or sensitive information, or an action that breaches VA security procedures. The contractor/subcontractor shall immediately notify the COR and simultaneously, the designated ISO and Privacy Officer for the contract of any known or suspected security/privacy incidents, or any unauthorized disclosure of sensitive information, including that contained in system(s) to which the contractor/subcontractor has access.

M. LIQUIDATED DAMAGES

This SOW is further subject to the statutory requirement to assess liquidated damages against contractors and/or subcontractors under 38 U.S.C. §5725 in the event of a breach of Sensitive Personal Information (SPI)/Personally Identifiable Information (PII). Said liquidated damages shall be assessed at \$37.50 per affected Veteran or beneficiary. A breach in this context includes the unauthorized acquisition, access, use, or disclosure of VA SPI which compromises not only the information's security or privacy but that of the Veteran or

beneficiary as well as the potential exposure or wrongful disclosure of such information as a result of a failure to follow proper data security controls and protocols.

N. CONFIDENTIALITY AND NONDISCLOSURE

It is agreed that:

1. The preliminary and final deliverables and all associated working papers, application source code, and other material deemed relevant by the VA which has been generated by the contractor in the performance of this task order are the exclusive property of the U.S. Government and shall be submitted to the COR at the conclusion of the task order.

2. The CO will be the sole authorized official to release verbally or in writing, any data, the draft deliverables, the final deliverables, or any other written or printed materials pertaining to this task order. No information shall be released by the contractor. Any request for information relating to this task order presented to the contractor shall be submitted to the CO for response.

3. Press releases, marketing material or any other printed or electronic documentation related to this project, shall not be publicized without the written approval of the CO.

8.1.1 POSITION/TASK RISK DESIGNATION LEVEL(S)

Position Sensitivity	Background Investigation (in accordance with Department of Veterans Affairs 0710 Handbook, "Personnel Security Suitability Program," Appendix A)
Low	National Agency Check with Written Inquiries (NACI) A NACI is conducted by OPM and covers a 5-year period. It consists of a review of records contained in the OPM Security Investigations Index (SII) and the DOD Defense Central Investigations Index (DCII), FBI name check, FBI fingerprint check, and written inquiries to previous employers and references listed on the application for employment. In VA it is used for Non-sensitive or Low Risk positions.
Moderate	Moderate Background Investigation (MBI) A MBI is conducted by OPM and covers a 5-year period. It consists of a review of National Agency Check (NAC) records [OPM Security Investigations Index (SII), DOD Defense Central Investigations Index (DCII), FBI name check, and a FBI fingerprint check], a credit report covering a period of 5 years, written inquiries to previous employers and references listed on the application for employment; an interview with the subject, law enforcement check; and a verification of the educational degree.
High	Background Investigation (BI) A BI is conducted by OPM and covers a 10-year period. It consists of a review of National Agency Check (NAC) records [OPM Security Investigations Index (SII), DOD Defense Central Investigations Index (DCII), FBI name check, and a FBI fingerprint check report], a credit report covering a period of 10 years, written inquiries to previous employers and references listed on the application for employment; an interview with the subject, spouse, neighbors, supervisor, co-workers; court records, law enforcement check, and a verification of the educational degree.

The position sensitivity and the level of background investigation commensurate with the required level of access for the following tasks within the PWS are: **NACI**.

8.1.2 CONTRACTOR PERSONNEL SECURITY REQUIREMENTS

Contractor Responsibilities:

- a) The Contractor shall prescreen all personnel requiring access to VA computer systems, SharePoint, and DCS Vendor computer systems to ensure they maintain the appropriate Background Investigation, and are able to read, write, speak and understand the English language.
 - a. The Contractor and Subcontractor employees will adhere to the DCS Vendor facility access requirements, including; restricted cell phones, restricted access to telephones/conference rooms, and other security measures.
- b) The Contractor shall bear the expense of obtaining background investigations.
- c) Within three business days after award, the Contractor shall provide a roster of Contractor and Subcontractor employees to the COR to begin their background investigations. The roster

shall contain the Contractor employee's Full Name, Full Social Security Number, Date of Birth, Place of Birth, and individual background investigation level requirement.

- d) The Contractor should coordinate the location of the nearest VA fingerprinting office through the COR. Only electronic fingerprints are authorized.
- e) For a Low Risk designation the following forms are required to be completed: 1.OF-306 and 2. DVA Memorandum – Electronic Fingerprints. For Moderate or High Risk, the following forms are required to be completed: 1. VA Form 0710 and 2. DVA Memorandum – Electronic Fingerprints. These should be submitted to the COR within five business days after award.
- f) The Contractor personnel will receive an email notification from the Security and Investigation Center (SIC), through the Electronics Questionnaire for Investigations Processes (e-QIP) identifying the website link that includes detailed instructions regarding completion of the investigation documents (SF85, SF85P, or SF 86). The Contractor personnel shall submit all required information related to their background investigations utilizing the Office of Personnel Management's (OPM) Electronic Questionnaire for Investigations Processing (e-QIP).
- g) The Contractor is to certify and release the e-QIP document, print and sign the signature pages, and send them to the COR for electronic submission to the SIC. These should be submitted to the COR within 3 business days of receipt of the e-QIP notification email.
- h) The Contractor shall be responsible for the actions of all personnel provided to work for VA under this contract. In the event that damages arise from work performed by Contractor provided personnel, under the auspices of this contract, the Contractor shall be responsible for all resources necessary to remedy the incident.
- i) A Contractor may be granted unescorted access to VA facilities and/or access to VA Information Technology resources (network and/or protected data) with a favorably adjudicated Special Agreement Check (SAC) or "Closed, No Issues" (SAC) finger print results, training delineated in VA Handbook 6500.6 (Appendix C, Section 9), and, the signed "Contractor Rules of Behavior." However, the Contractor will be responsible for the actions of the Contractor personnel they provide to perform work for VA. The investigative history for Contractor personnel working under this contract must be maintained in the database of the Office of Personnel Management (OPM).
- j) The Contractor, when notified of an unfavorably adjudicated background investigation on a Contractor employee as determined by the Government, shall withdraw the employee from consideration in working under the contract.
- k) Failure to comply with the Contractor personnel security investigative requirements may result in termination of the contract for default.

8.2 METHOD AND DISTRIBUTION OF DELIVERABLES

The Contractor shall deliver documentation in electronic format, unless otherwise directed in Section B of the solicitation/contract. Acceptable electronic media include: MS Word 2000/2003/2007/2010, MS Excel 2000/2003/2007/2010, MS PowerPoint 2000/2003/2007/2010, MS Project 2000/2003/2007/2010, MS Access 2000/2003/2007/2010, MS Visio 2000/2002/2003/2007/2010, AutoCAD 2002/2004/2007/2010, and Adobe Postscript Data Format (PDF).

8.3 PERFORMANCE METRICS

The table below defines the Performance Standards and Acceptable Performance Levels for Objectives associated with this effort.

Performance Objective	Required Service	Performance Standard	Monitoring Method	Incentives / Disincentives for Meeting or not Meeting the Performance Standards
Quality, thoroughness, and timeliness of contractor reports and deliverables	See PWS Section 5.1.1 through 5.1.10, and PWS Section 6.1.1 through 6.1.5	Services shall be rendered per the Schedule of Deliverables within the period of performance. The services and reports shall meet the requirements as outlined in Section 5 of this PWS.	100% inspection. The COR shall monitor the quality of services and reports according to the established criteria in the PWS.	<p>The Government shall not pay for services that do not conform or do not meet performance standards, or have not been properly rendered.</p> <p>The Vendor shall be given an opportunity to correct non-conforming services at no cost to the Government if the services are non-conforming or the contract requirement is unacceptable.</p> <p>The Vendor shall not invoice until email confirmation from the COR accepting the service has been provided.</p> <p>Where there are repeat issues of non-conformance to the performance standards, the Government may document substandard performance as negative past performance.</p>

The Government will utilize a Quality Assurance Surveillance Plan (QASP) throughout the life of the contract to ensure that the IV&V Contractor is performing the services required by this PWS in an acceptable manner. The Government reserves the right to alter or change the surveillance methods in the QASP at its own discretion. A Performance Based Service Assessment Survey will be used in combination with the QASP to assist the Government in determining acceptable performance levels.

8.4 GOVERNMENT FURNISHED PROPERTY

The Government will provide limited onsite workspace for the work required to be conducted at the Government site. The specific onsite workspace may be dependent on availability and will restrict cell phone, telephone, and conference room use. Due to space limitations, the contractor is required

to provide telephone services, computing services, and necessary equipment to support its personnel.

B.4 DELIVERY SCHEDULE

Task	Item Description	Quantity	Delivery Date
Task 5.1.1: Provider Project Management Plan and IV&V Approach	<p>Deliverable A: Provider Project Management Plan and IV&V Approach</p> <p>Deliverable B: Monthly PMP Updates</p> <p>NOTE: Required delivery is via electronic submission to IV&V COR</p>	One (1) Initial PMP and IV&V Approach; eleven (11) Monthly PMP Updates during the base period of performance; twelve (12) PMP Monthly Updates during the option period	<p>A. Within thirty (30) calendar days following contract award</p> <p>B. Updated monthly and delivered on the first business day of the month.</p>
Task 5.1.2: Contract Kick-Off and Recurring Status Meetings	<p>Deliverable A: Kick-off Meeting Attendance and Presentation</p> <p>Deliverable B: Kick-off Meeting Minutes</p> <p>Deliverable C: Monthly Status Meetings</p> <p>Deliverable D: Monthly Status Meeting Minutes</p> <p>NOTE: Required delivery is via electronic submission to IV&V COR.</p>	One (1) Kick-Off Meeting and Presentation; one (1) Kick-Off Meeting Minutes; twelve (12) Monthly Status Meetings and twelve (12) Monthly Status Meeting Minutes during the base period; (12) Monthly Status Meetings and twelve (12) Monthly Status Meeting Minutes during the option period.	<p>A. Within seven (7) calendar days following contract award.</p> <p>B. Within three (3) business days following kick-off meeting.</p> <p>C. A date to be determined by VBA.</p> <p>D. Within three (3) business days following the monthly status meeting.</p>
Task 5.1.3: Reporting Requirements	<p>Deliverable A: Monthly Progress Report</p> <p>Deliverable B: Automated Reporting Capability with current data for Government Access</p> <p>NOTE: Required delivery is via electronic submission to IV&V COR.</p>	Twelve (12) Monthly Progress Reports during base period; Twelve (12) Monthly Progress Reports during the option period.	<p>A. Within five (5) business days of the last day of the covered month.</p> <p>B. Within thirty (30) calendar days following contract award</p>

Task	Item Description	Quantity	Delivery Date
Task 5.1.4: IV&V Review Checklist	Deliverable A: DSC IV&V Review Checklists NOTE: Required delivery is via electronic submission to IV&V COR.	Four (4) IV&V Review Checklists during the base period; Four (4) IV&V Checklists during the option period.	A. Not less than three (3) business days prior to the onsite portion of the review being performed.
Task 5.1.5: Initial DCS Vendor Review	Deliverable A: Initial Review Report NOTE: Required delivery is via electronic submission to IV&V COR.	One (1) Initial Review Report	A. Within seven (7) calendar days following completion of the Initial DCS Vendors Review.
* Task 5.1.6: Periodic Vendor Reviews	Deliverable A: Periodic IV&V Review Reports NOTE: Required delivery is via electronic submission to IV&V COR.	One (1) initial vendor review in the base period, three (3) periodic vendor reviews in the base period, and four (4) periodic vendor reviews in the option.	A. Within five (5) calendar days following completion of the DCS Vendors Periodic Review.
Tasks 5.1.7, 5.1.8, 5.1.9, and 5.1.10: IV&V of Converted Images, Turn-Around Time To Upload, Centralized Mail Processes, and DCS Vendor Portal	Deliverable A: Weekly IV&V Report Deliverable B: Automated Reporting Capability with current data for Government Access NOTE: Required delivery is via electronic submission to IV&V COR and National Quality Manager.	Fifty-two (52) weekly IV&V reports during the base period; Fifty-two (52) weekly IV&V reports during the option period.	A. Weekly; not later than the close of the first workday following the end of the previous week. B. The automated Reporting Capability data shall be updated daily.
Task 6.1.1: IV&V Review Checklist	Deliverable A: Disposition IV&V Checklists Deliverable B: Shredding IV&V Checklists	Four (4) IV&V Review Checklists during the base period; Four (4) IV&V Checklists during the option period.	A. Not less than three (3) business days prior to the onsite portion of the review being performed.

Task 6.1.2: Initial Shredding Vendor Review	Deliverable A: Initial Shredding Vendor Review Reports	One (1) Initial Review Report	A. Within seven (7) calendar days following completion of the Initial Shredding Vendors Review.
* Task 6.1.3: Periodic Disposition and Shredding Vendor Reviews	Deliverable A: Periodic IV&V Review Reports NOTE: Required delivery is via electronic submission to IV&V COR.	One (1) initial vendor review in the base period, three (3) periodic vendor reviews in the base period, and four (4) periodic vendor reviews in the option.	A. Within five (5) calendar days following completion of the DCS Vendors Periodic Review.

B.5 Acronyms and term definitions

- CMP: Centralized Mail Process
- CMS: Centralized Mail Systems
- DCS: Document Conversion Services
- Shredding: Day-to-Day Disposition Procedure: VBA will conduct disposition of the paper claims folders subsequent to successful document conversion and upload to VBMS eFolders in accordance with the following disposition categories.
 - a. Following a five-tiered accuracy review and upload process VBA will deploy the following multifaceted approach to disposition of the four categories of documents.
 - i. Litigation Hold (estimated at under 5K) folders will be returned to VBA and stored in original format.
 - ii. Service Treatment Records (STRs) will be stored at vendor storage facilities until DoD accepts return or authorizes other action.
 - iii. Original Documents
 - 1. Veteran owned original documents of legal and/or sentimental value (marriage certificate, birth certificate, etc.) will be returned to Veteran.
 - 2. Original documents provided by NARA need returning; however if copies were provided, shredding is allowed
 - iv. Remaining duplicate copies of VA documents will be disposed of through a thorough process that meets or exceeds NARA and industry best practices.
- eFolder: Veterans' electronic folders within VBMS
- ICR: Intelligent Character Recognition
- IPH: Intake Processing Hub
- IV&V: Independent Verification & Validation services intended to review, analyze, evaluate, inspect and test the operation of the DCS and Shredding Vendors in accordance with Vendor's contracts and the requirements of the IV&V Performance Work Statement and contract.
- OCR: Optical Character Recognition
- RO: Regional Office
- Shredding: strip cutting material at a maximum of ¼" pieces, crosscut and smaller cuts are optional.
- VBMS: Veterans Benefits Management System

Document Type List

(This list is not all inclusive and only service as guide to some of the documents types associated with the VA)

1. Accident Reports
2. Administrative Decision
3. Adoption Decree
4. Affidavit
5. Agent Fee Agreement
6. Annulment Decree
7. Appeal Checklist
8. Apportionment Decision
9. Audit Report
10. Autopsy Report
11. BDD Checklist
12. BDD Worksheet
13. BDN Print Screens
14. BDN/VETSNET Capture
15. Birth Certificate
16. Buddy / Lay Statement
17. Bureau of Prisons / Fugitive Felon Information
18. BVA Decision
19. CAP Review Worksheet (Combined Assessment Program)
20. CAPRI
21. CAVC Decision
22. Certificate of Release or Discharge From Active Duty (e.g. DD 214, NOAA 56-16, PHS 1867)
23. Civil Service Information
24. Civilian Police Reports
25. Commercial Invoice - Automotive Grant
26. Compensation Checklist
27. Compensation Worksheet
28. Congressionals
29. Correspondence
30. Court Documents – General
31. CRSC Letter
32. DD 1141 Record of Exposure to Ionizing Radiation
33. DD 1300 Report of Casualty
34. DD 149 Application for Correction of Military or Naval Record
35. DD 1515 Pay and Allotment Information--Deceased Member
36. DD 20-228-3 Request for VA Disability Rate Information Ref PL 96-402
37. DD 215 Corrected DD Form 214 Certificate of Release or Discharge From Active Duty
38. DD 2168 Application for Discharge of Member or Survivor of Member of Group
39. Certified To Have Performed Active Duty with the Armed Forces of the United States

40. DD 293 Application for Review of Discharge or Dismissal from the Armed Forces of the United States
41. Death Certificate
42. Deferred Rating (e.g. VA Form 21-6796)
43. Discharge / Retirement or ETS
44. Divorce Decree
45. DMC - First Demand Letter
46. DMC - Waiver Grant Letter
47. Education – General
48. Eligibility Verification Report
49. Email Correspondence
50. ES-973 Request to VA for Military Information for Unemployment Compensation Purposes-UCX
51. Fax Cover Sheet
52. Fiduciary accounting
53. Field exam
54. Forfeiture Statements
55. Hearing Testimony
56. Logbooks
57. MAPD Contention Screen
58. Marriage Certificate / License
59. Medical Evaluation Board Proceedings
60. Medical Receipts
61. Medical Treatment Record - Government Facility
62. Medical Treatment Record - Non-Government Facility
63. Military Personnel Record
64. Miscellaneous fiduciary correspondence
65. NA 13055 Request for Information Needed to Reconstruct Medical Data
66. NA 13075 Questionnaire About Military Service
67. Notice of Disagreement
68. Notification Letter (e.g. VA 20-8993, VA 21-0290, PCGL)
69. Nursing Home Statement (General)
70. Personnel Record
71. Photographs
72. PHS 2709 Report of Death of Commissioned Officer
73. Physical Evaluation Board Proceedings
74. Power of Attorney (incl. VA 21-22, VA 22a)
75. Prison/Convict Information
76. QTC Examtrak Exam
77. QTC Invoice
78. Railroad Retirement Information
79. Rating - Under Review (VSO, Second Signature)
80. Rating Decision (e.g. VA Form 21-6789)
81. Rating Decision – Codesheet
82. Rating Decision – Narrative
83. Remand BVA or CAVC
84. Report of Death
85. Report of Field Exam
86. Request for Certification by Social Security Administration

87. Returned Mail
88. Service Record (SR)
89. SF 180 Request Pertaining to Military Records
90. SF 502 Clinical Record - Narrative Summary
91. SHARE Print Screens
92. SMR
93. SMR – Dental
94. SMR - Diagnostic Test
95. SMR - Exam – Annual
96. SMR - Exam – Entrance
97. SMR - Exam – Exit
98. SMR - Exam – Flight
99. SMR - Exam - MEB – PEB
100. SMR – Lab
101. SMR – Medical
102. SMR - Reserve SMR
103. SSA-828-U4 Request for Medical Information From Records of Department of Veterans Affairs
104. SSA-L1103
105. SSA/SSI Letter
106. Statement of Case (SOC)
107. Supplemental Statement of Case (SSOC)
108. Surgeon Generals Office (SGO) Extracts
109. UNKNOWN
110. User Calculations (Medical Expenses, Partial Year Adjustment)
111. User Calculations (Retroactive Payment, etc.)
112. VA 10-1000 Hospital Summary and/or the Compensation and Pension Exam Report
113. VA 10-2065 Funeral Arrangements
114. VA 10-5345 Request For and Authorization to Release Medical or Health Information
115. VA 10-7131 Exchange of Beneficiary Information and Request for Administrative and Adjudicative Action
116. VA 10-7132 Status Change
117. VA 119 Report of Contact
118. VA 20-5655 Financial Status Report (Submit with Waiver Request)
119. VA 20-6560 Notice of Benefit Payment
120. VA 20-8270 C&P Master Record Audit Writeout
121. VA 20-8271 Notice of Exception
122. VA 21-0172 Certification of Permanent and Total Disability
123. VA 21-0304 Application for Spina Bifida Benefits
124. VA 21-0571 Application for Exclusion of Childrens Income
125. VA 21-0779 Request for Nursing Home Info In Connection with Claim for Aid and Attendance
126. VA 21-0781, Statement in Support of Claim for PTSD
127. VA 21-0781a, Statement in Support of Claim for PTSD Secondary to Sexual Assault
128. VA 21-0788 Information Regarding Apportionment of Beneficiary's Award
129. VA 21-121 Application for Burial Allowance and Accrued Amounts Payable as Reimbursement
130. VA 21-2008 Application for United States Flag for Burial Purposes
131. VA 21-22 Appointment of Veterans Serv. Org. as Claimant Rep

- 132. VA 21-2507a Request for Physical Examination
- 133. VA 21-2680 Examination for Household Status or Permanent Need for Regular Aid and Attendance
- 134. VA 21-3101 Request for Information
- 135. VA 21-4103 Information from Remarried Widow/er
- 136. VA 21-4138 Statement In Support of Claim
- 137. VA 21-4140 Employment Questionnaire
- 138. VA 21-4140-1 Employment Questionnaire
- 139. VA 21-4142 Authorization for Release of Information
- 140. VA 21-4165 Pension Claim Questionnaire for Farm Income
- 141. VA 21-4170 Statement of Marital Relationship
- 142. VA 21-4171 Supporting Statement Regarding Marriage
- 143. VA 21-4176 Report of Accidental Injury in Support of Claim for Compensation or Pension
- 144. VA 21-4180 Request for Certification by Social Security Administration
- 145. VA 21-4182 Application for Dependency and Indemnity Compensation or Death Pension (Including Accrued Benefits)
- 146. VA 21-4185 Report of Income from Property or Business
- 147. VA 21-4192 Request for Employment Information in Connection with Claim for Disability
- 148. VA 21-4193 Notice to Veterans Administration of Veteran or Beneficiary Incarcerated in Penal Institution
- 149. VA 21-4502 Application for Automobile or Other Conveyance and Adaptive Equipment Under 38 U.S.C. 3901-3904
- 150. VA 21-4703 Fiduciary Agreement
- 151. VA 21-509 Statement of Dependency of Parents
- 152. VA 21-524 Statement of Person Claiming to Have Stood in Relation of Parent
- 153. VA 21-526 Veterans Application for Compensation or Pension
- 154. VA 21-527 Income-Net Worth and Employment Statement
- 155. VA 21-530 Application for Burial Benefits
- 156. VA 21-534 Application for Dependency and Indemnity Compensation or Death Pension by a Surviving Spouse or Child
- 157. VA 21-535 Application for Dependency and Indemnity Compensation for Parents
- 158. VA 21-5427 Corpus of Estate Determination
- 159. VA 21-555 Certificate of Legal Capacity
- 160. VA 21-592 Request for Appointment of Fiduciary Custodian or Guardian
- 161. VA 21-601 Application for Reimbursement from Accrued Amounts Due a Deceased Beneficiary
- 162. VA 21-609 Application for Amounts Due Estates of Persons Entitled to Benefits
- 163. VA 21-614 Application for Accrued Amounts of Veterans Benefits Payable to Widow, Widower, Child or Dependent Parents
- 164. VA 21-651 Election of Compensation in Lieu of Retired Pay or Waiver of Retired Pay to Secure Compensation From Department of Veterans Affairs
- 165. VA 21-653 Notice of Change in Status of Beneficiary Receiving Hospital or Domiciliary Care
- 166. VA 21-674 Report of School Attendance
- 167. VA 21-674b School Attendance Report
- 168. VA 21-674c Request for Approval of School Attendance
- 169. VA 21-6753 Original or Amended Dependency and Indemnity Compensation Award
- 170. VA 21-686c Declaration of Status of Dependents

- 171. VA 21-8049 Request for Details of Expenses
- 172. VA 21-8056 Request for Retirement Information from the Railroad Retirement Board and Certification of Information From Department of Veterans Affairs
- 173. VA 21-8086 Request for Benefit Data
- 174. VA 21-8358 Notice to Department of Veterans Affairs of Admission to Uniformed Services Hospital
- 175. VA 21-8359 Information Re Veteran in Uniformed Services Hospital or Dispensary
- 176. VA 21-8416 Request for Information concerning Medical, Legal or Other Expenses
- 177. VA 21-8678 Application for Annual Clothing Allowance Under 38 U.S.C. 1162
- 178. VA 21-8679 Eligibility Determination for Clothing Allowance
- 179. VA 21-8767 Death Pension Award Attachment
- 180. VA 21-8768 Disability Pension Award attachment
- 181. VA 21-8924 Application of Surviving Spouse or Child for REPS Benefits (Restored Entitlement Program for Survivors
- 182. VA 21-8940 Veterans Application for Increased Compensation Based on Unemployability
- 183. VA 21-8947 Compensation and Pension Award
- 184. VA 21-8951-2 Notice of Waiver of VA Comp or Pension to Receive Military Pay and Allowances
- 185. VA 21-8960 Certification of School Attendance or Termination
- 186. VA 22-1990 Application for Education Benefits
- 187. VA 22-1999b Notice of Change in Student Status
- 188. VA 22-1999c Certification of Affirmation of Enrollment Agreement
- 189. VA 22-5490 Application for Survivors and Dependents Educational Assistance
- 190. VA 22-8945 Education Award
- 191. VA 23-6547 Excerpts from Death Certificate
- 192. VA 24-0296 Direct Deposit Enrollment
- 193. VA 24-5281 Application for Refund of Educational Contributions (VEAP, Chapter 32, Title 38 U.S.C)
- 194. VA 26-1817 Request for Determination of Loan Guaranty Eligibility - Unremarried Surviving Spouses
- 195. VA 26-1880 Request for Certificate of Eligibility for VA Home Loan Benefits
- 196. VA 26-4555 Veterans Application in Acquiring Specially Adapted Housing or Special Home Adaptation Grant Under Title 38 U.S.C. 2101(a) or (b)
- 197. VA 27-3537a Field Examination Request
- 198. VA 27-555 Certificate of Legal Capacity to Receive or Disburse Benefits
- 199. VA 28-1900 Disabled Veterans Application for Vocational Rehabilitation
- 200. VA 4 Personal Exemption Worksheet
- 201. VA 4-1837 Decision of Waiver on Indebtedness
- 202. VA 4-6698 Computer Sampling Extract - Fiscal Audit Worksheet
- 203. VA 551 Application for Accrued Benefits by Veterans Spouse, Child or Dependant Parent
- 204. VA 572 Request for Change of Address / Cancellation of Direct Deposit
- 205. VA 646 Statement of Accredited Representative in Appealed Case
- 206. VA 70-3288 Request for and Consent to Release of Information from Claimants Records
- 207. VA 70-4535 Notice of Employment, Transfer, or Separation of Veteran
- 208. VA 70-7216a Request for and/or Notice of Transfer of Veterans Records / COVERS
- 209. VA 8 Certification of Appeal

- 210. VA 9 Appeal to Board of Appeals
- 211. VA Exam Worksheet
- 212. VA Examination
- 213. VA Examination Letter
- 214. VA Memo
- 215. VAMC Other Output / Reports
- 216. VAMC Report of Hospitalization
- 217. Verdict of Coroners Jury
- 218. Web / HTML Documents

VBA Contractor Background Investigation Request Worksheet

ALL FIELDS ON THIS FORM ARE MANDATORY INCLUDING APPLICANT EMAIL

Where Applicant Will Work _____ City, State, Station
Station to be Billed for #
Clearance Washington, DC #101

Please provide the following information for each contract employee:

Applicant's Full Name

First Name, Middle Name (or NMN), Last Name

Social Security Number

Date of Birth

Email

Place of Birth

City, State, Country

Position/Job Title

Does applicant have a
clearance pending or
completed with OPM?

___ YES

___ NO

Type of Investigation
Requested

___ BI (High
Risk)

___ MBI (Moderate
Risk)

___ NACI (Low
Risk)

Is applicant a foreign
national?

___ YES

___ NO

VA Contracting Officer
Representative (COR)

VA COR Telephone
Number

COR's Mail Routing
Symbol

VA COR Email

Address

City, State, Zip

Prime Contracting
Company Name

Prime Contracting
Company POC

POC Telephone

POC Email

Address

City, State, Zip

Contract Title

Purchase Order Number

(Ex: J37243)

**If you are a Sub, what is
your Company Name?**