

**TRANSFORMATION TWENTY-ONE TOTAL TECHNOLOGY (T4)
PERFORMANCE WORK STATEMENT (PWS)**

**DEPARTMENT OF VETERANS AFFAIRS
Veterans Benefits Administration
Document Conversion Services**

**Date: August 12, 2014
TAC-12-04453
Task Order PWS Version Number: 5.0**

1	Background	4
2	Applicable Documents	4
3	Scope of Work	5
3.1	Applicability.....	6
3.2	Order Type	6
4	Performance Details.....	6
4.1	Place of Performance.....	6
4.2	Performance Period	7
4.3	Travel or Special Requirements	7
4.4	Contract Management.....	7
4.5	Government Furnished Materials and Information.....	7
4.6	Security	7
4.6.1	Position Sensitivity	7
4.6.2	Low/Moderate Risk Designation Tasks	8
5	Specific Tasks and Deliverables	8
5.1	Project Management	8
5.1.1	Project Management Plan and Kick-Off Meeting	8
5.1.2	Contractor Transition Support	9
5.1.3	Lessons Learned	10
5.1.4	Weekly Meeting	10
5.1.5	Project Management Requirements.....	10
5.1.6	Logistics Management Requirements.....	10
5.1.7	Quality Assurance Management Requirements	11
5.2	Volume of Images	11
5.3	Source Material Custodial Requirements	12
5.3.1	Source Material Tracking and Reporting.....	12
5.3.2	Source Material Handling.....	15
5.3.3	Special Source Materials – applicable only if processing Official Military Personnel File (OMPF) material	15
5.4	Receipt	16
5.4.1	Receipt of CM Source Material	16
5.4.2	Return of Original Documents	17
5.4.3	Receipt through CM Portal.....	18
5.4.4	Receipt via Fax.....	18
5.4.5	Receipt of Private Medical Records (PMR)	19
5.4.6	Receipt from PMR Vendor Validation	19
5.5	Source Material Preparation and Conversion.....	20
5.5.1	Source Material Preparation	20
5.5.2	Identification and Routing of Mis-filed Documents	21
5.5.2.1	Source Material Preparation Validation	21
5.5.3	Conversion.....	21
5.5.4	Image Quality	22
5.6	Indexing.....	22
5.6.1	ENABLING SUCCESSFUL VBMS UPLOAD.....	23
5.6.2	Indexing Validation.....	24

5.7	Extraction	24
5.7.1	Extraction Validation	24
5.8	Access for Independent Verification and Validation	24
5.9	Upload Service	24
5.9.1	Upload Validation	25
5.10	Shipping and Storage	25
5.10.1	De-preparation	26
5.11	Full Service Shipping	27
5.11.1	Contractor Receipt of Source Materials Prepared for Packing and Shipping	29
5.12	Centralized Mail	29
5.12.1	Portal and Reporting	29
5.12.2	DCS Vendor CM Portal Validation	29
5.12.3	Existing Claim Lookup	30
5.12.4	Claims Establishment	30
5.13	Private Medical Records	30
6	General Requirements	31
6.1	Performance Metrics	31
Addendum A.	Acronyms	33
Addendum B.	Document Indexing Recommendation and Data Field Extraction List	35
Addendum C.	Estimated Volume Characteristics	36
Addendum D.	Document Conversion Rules	37
Addendum E.	Upload Service Interface Control Document	38
Addendum F.	VA Standard Operating Procedures Document	39
Addendum G.	VBMS PDF Specification	40
Addendum H.	Original Document Guidance	41
Addendum I.	CM Portal Requirements	42

1 Background

The fundamental mission of the Veterans Benefits Administration (VBA) is to provide Veterans, service members, 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.

The Department of Veterans Affairs (VA) continues to develop the Veterans Benefits Management System, (VBMS), a paperless claims processing system that will greatly decrease the time required to establish, develop, rate, and pay claims. The initial system was largely manual and paper-based, with inherent bottlenecks and inefficiencies that led to processing delays and errors. Steps in the process are progressing towards an automated (or computer assisted) processing environment utilizing components of VBMS already in existence or in development. In VA's ongoing and substantial effort to move to an entirely paperless system, and to gain maximum use and utility of the current and near-term operational capabilities of the automated elements, this Performance Work Statement (PWS) focuses on reducing paper handling by claims processors, eliminating paper from regional offices, and populating an electronic folder (eFolder) with images and data extracted from paper and other source materials.

For reference, the periods of performance for the DCS Task Orders included a 15 month base period (July 2012 – September 2013) and two (2) 12- month option periods.

In an effort to continually improve benefits processing efficiency and cycle-time, VBA has incorporated tasks to include Centralized Mail (CM) Processing. The CM activities require the Contractor to receive some source materials directly from Veterans, Veterans Representatives, and third parties providing evidence in support of a claim rather than from VBA Regional Offices exclusively. CM receives material via physical mail, direct upload, secure file transfer, and fax and converts these materials into searchable PDFs, enabling the establishment of claims, upload the PDFs and associated data to VBMS, and ready the source material for storage.

In September 2010, VBA implemented a Private Medical Records (PMRs) long-term pilot to improve timeliness in the receipt of private medical records. The pilot proved successful and the large-scale PMR Program was approved for national deployment with ramp-up beginning in August 2014. National deployment of the program is slated to begin in November 2014. The PMR effort will be updated as part of the national roll out to transition the upload of the PMRs away from Virtual VA to VBMS via a bi-directional secure system-to-system connection to transfer certain medical release forms received via centralized mail medical release forms and related PMRs to the DCS Contractor.

2 Applicable Documents

The following documents, in addition to the documents in Paragraph 2.0 in the Basic T4 PWS, are referenced for the performance of this effort:

1. U.S. Department of Veterans Affairs Records Control Schedule 10-1; March 1, 2011.
2. VBA Letter 20-08-63, VBA Policy on Management of Veterans' and other Governmental Paper Records
3. NARA Basic Laws and Authorities, February, 2008 Revision, Basic Laws and Authorities of the National Archives and Records Administration, 2006 Edition
4. VA Manual, M21-1 MR III.ii.3.C.7., Handling Original Records
5. VA Handbook 6300.8, Section 5
6. VA Handbook 0730, Security and Law Enforcement
7. VA Handbook 0730/1, Security and Law Enforcement

8. Memorandum of Understanding between the Department of Veterans Affairs, The Department of Defense, The United States Coast Guard, and the National Archives and Records Administration: Temporary Loan of Records from the National Archives and Records Administration to Veterans Affairs for Document Conversion, which references the work related to Official Military Personnel Files.

3 Scope of Work

The Contractor shall perform document intake and conversion services for VA. The Contractor shall receive, control, and convert various documents to standardized, indexed, and Searchable PDF (PDF Image plus Text) electronic documents. The Contractor shall also perform data extraction on a small subset of the documents. The Contractor shall incorporate quality assurance activities (“validation”) into multiple steps of the conversion process to ensure that VA receives images and data of sufficient quality to support its business processes.

- Documents may include both printed and handwritten content from source materials including, but not limited to, paper, photographs, fax, eFax, microfilm, microfiche, CD/DVD, flash drives, other alternate media e.g. 3.5 floppy disks.
- The term “document types,” for the purposes of this PWS, is defined as the types of information within a VBA claim folder (such as a particular type of VA form).
- The term “source materials” for the purposes of this PWS is defined as the physical format of the document (such as paper, microfilm, CD, etc.). The same document type will appear on multiple types of source material.

Figure 3-1 Document Conversion Process, below, is a graphical representation of a document conversion process. VA requires contractor services to complete all steps of this process, although the sequencing of the steps, procedures, and systems utilized are at the Contractor’s discretion.

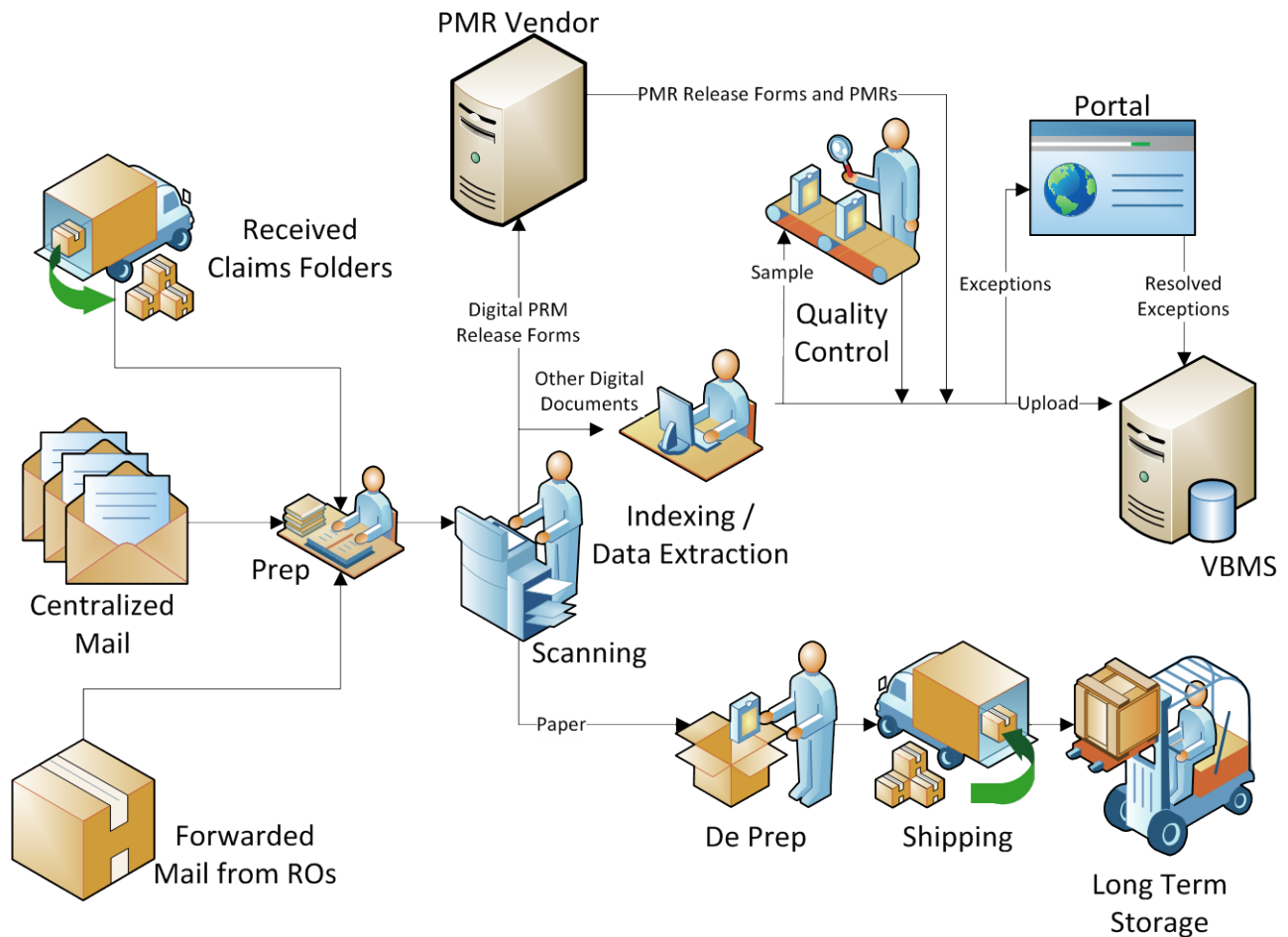


Figure 3-1 Document Conversion Process

Additionally, throughout the process described above, the Contractor shall focus on securely handling sensitive information, managing document conversion without loss or damage to source material and working collaboratively with VA to support efficient processing of variable document conversion production rates.

3.1 Applicability

This Task Order PWS is within the scope of the Operations and Maintenance of the Basic T4 PWS.

3.2 Order Type

The effort shall be priced on a Firm Fixed Price (FFP) basis.

4 Performance Details

4.1 Place of Performance

Efforts under this Task Order (TO) shall be performed at the Contractor's site(s). No work shall take place outside of the Continental United States (CONUS).

The contractor shall operate within a facility suitable to accept paper mail from the United States Postal Service (USPS) and other national carriers such as United Parcel Service (UPS) that meets safety, security, and capacity requirements.

4.2 Performance Period

The period of performance shall be for one (1) fifteen (15) month base period and two (2) twelve 12-month option periods.

4.3 Travel or Special Requirements

The Government anticipates travel under this effort to perform the tasks associated with the effort as well as to attend program-related meetings or conferences through the period of performance. Include all estimated travel costs in your firm-fixed price line items. The Government will not directly reimburse these costs.

VA estimates that three five-day trips (3 5-day trips) to Washington, DC, will be required for five (5) travelers. Travel is for the base period and two (2) 12-month option periods.

4.4 Contract Management

All requirements of Sections 7.0 and 8.0 of the Basic T4 PWS apply to this effort. This task order shall be addressed in the Contractor's Progress, Status, and Management Report as set forth in the Basic T4 contract.

4.5 Government Furnished Materials and Information

VA will provide printed and handwritten source materials (including, but not limited to, paper, photographs, fax, eFax, microfilm, microfiche, CD/DVD, flash drives, other alternate media e.g. 3.5 floppy disks) to be scanned, indexed, and converted to searchable PDFs and data in the performance of this contract. VA will provide the Document Indexing Recommendation and Data Field Extraction List (Addendum B), which identifies the fields needed for indexing and data extraction necessary to perform the tasks under this PWS.

VA will provide the Contractor with a list of physical mailboxes to which non-scanned material or material not meant for VA can be forwarded for distribution.

The contractor shall be provided access to, and training on, VBA's policies and guidance impacting work requested in this performance work statement regarding claims establishment and pertinent VBMS functionality within the first 30 days of contract award. Training shall be provided using train the trainer method. The Contractor shall provide and train all necessary operations, administrative, financial, and managerial resources as well as create system capabilities and services in accordance with the detailed requirements below.

4.6 Security

All requirements in Section 6.0 of the T4 Basic PWS apply to this effort.

Refer to the VA's security requirements for transport from a post office box to the contractor's site(s).

4.6.1 Position Sensitivity

Table 1 Position Sensitivity

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 the Office of Personnel Management (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

Position Sensitivity	Background Investigation (in accordance with Department of Veterans Affairs 0710 Handbook, "Personnel Security Suitability Program," Appendix A)
	employment. In VA it is used for Non-sensitive or Low Risk positions.
Moderate	Moderate Background Investigation (MBI) An 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 tasks identified below and the resulting Position Sensitivity and Background Investigation delineate the Background Investigation requirements by Contractor individual, based upon the tasks on which the particular Contractor individual will be working. The submitted Contractor Staff Roster must indicate the required Background Investigation Level for each individual, based upon the tasks on which the Contractor individual will be working, according to the Contractor's submitted proposal.

4.6.2 Low/Moderate Risk Designation Tasks

Position Sensitivity and Background Investigation: The position sensitivity and the level of background investigation commensurate with the required level of access for task(s) 5.2-5.8, 5.10, 5.11 within the Performance Work Statement is:

☒ Low/NACI

Position Sensitivity and Background Investigation: The position sensitivity and the level of background investigation commensurate with the required level of access for tasks 5.1, 5.9 within the PWS is:

☒ Moderate/MBI

5 Specific Tasks and Deliverables

The Contractor shall perform the following:

5.1 Project Management

The Contractor shall plan, monitor, and control the tasks outlined in this PWS. The Contractor shall follow an accepted project management methodology such as the Project Management Body of Knowledge (PMBOK).

5.1.1 Project Management Plan and Kick-Off Meeting

The Contractor shall deliver a Project Management Plan (PMP) that details the Contractor's approach, timeline, and tools to be used in execution of the task order. The Contractor shall deliver the PMP within

five (5) business days of contract award. The PMP shall take the form of both a narrative and graphic format that displays the schedule, milestones, risks, and resource support. The PMP shall also include how the Contractor will coordinate and execute planned, routine, and ad hoc data collection reporting requests as identified within the PWS. VA will review and approve the initial baseline PMP. The Contractor shall update the PMP on a monthly basis and maintain the VA-approved PMP throughout the period of performance.

The PMP shall describe, in detail, the Contractor's approach for each aspect of the tasks as defined in the Contractor's proposal. At a minimum, the PMP shall include the risk management plan and risk register, quality and technical management approach, quality assurance plan, communications plan, continuity of operations plan, staffing plan (including a subsection on how the Contractor intends to encourage and facilitate the hiring of Veterans for this effort), security plan, logistics plan, work breakdown structure (WBS), schedule management approach, and schedule.

In addition, within five (5) business days of contract award, the Contractor shall attend a contract kick-off meeting at the VBA Central Office at 1800 G St. NW, Washington DC 20006. At the kick-off meeting, the Contractor shall present its PMP and introduce its contract leadership team. The Contractor shall prepare and submit to VBA COR minutes of the kick-off meeting within two (2) business days after the meeting is completed.

Deliverables:

- A. Project Management Plan
- B. Kick-Off Meeting Minutes

5.1.2 Contractor Transition Support

The Contractor shall deliver all data developed within their solution to meet all requirements of this PWS supporting imaging, indexing (including document type recognition), receipt, intake, control, communications, and data extraction to support VA in future document conversion efforts. This includes detailed specifications of all commercial-off-the-shelf products and the configuration files or customizations that have been applied to meet the requirements. The Contractor shall deliver the data stored in its document conversion system (the Contractor's Document Conversion Knowledge Base for VA) that is compared to raw image data in order to automatically identify, index and extract data from VA forms. The contractor shall export this data in a format that will allow VA to make use of the information. The Contractor shall also deliver all VA document conversion software business rules developed to aid in the processing and quality assurance of VA documents. The exact format and nomenclature of this data varies, dependent on the system used, and is therefore not explicitly defined in this PWS. The Contractor shall deliver the data on a quarterly basis with a final deliverable at the end of the period of performance.

The Contractor shall also deliver a transition plan that explains the tools, data, and processes that would be needed to transition the document conversion tasks of this PWS from the Contractor to VA or its designated agent. This plan shall define the format and methods for utilizing the Knowledge Base and Software Business Rules discussed in the preceding paragraph.

Deliverables:

- A. Document Conversion Data (Quarterly and ninety (90) calendar days prior to the end of the period of performance)
- B. Document Conversion Transition Plan (ninety (90) calendar days prior to the end of the period of performance)

5.1.3 Lessons Learned

The Contractor shall maintain a lessons learned diary during the performance of the PWS and deliver these as a part of the Monthly Progress Report. Types of information for these lessons learned include, at a minimum:

- Operational (hiring, training, etc.)
- Productivity (process definition, equipment types, etc.)
- Quality (metrics, measurement, maintenance procedures, etc.)

Deliverables:

- A. Lessons Learned Diary (Monthly with Monthly Progress Report)

5.1.4 Weekly Meeting

In addition to the reporting requirements as identified in Section 8.0 of the T4 PWS, the Contractor's PM shall meet with the VA Project Manager (PM), Contracting Officer's Representative (COR), and other relevant stakeholders to participate in weekly teleconferences to discuss the activities associated with the execution of the document conversion tasks. The Contractor shall discuss any risks associated with performance, schedule, or other concerns during this meeting. The Contractor shall deliver meeting minutes within two (2) business days after the meeting.

Deliverables:

- A. Meeting Minutes (Weekly, within 2 business days after weekly meeting)

5.1.5 Project Management Requirements

The Contractor shall provide a Project Manager with overall responsibility for the performance of the work on this task order. The Project Manager shall ensure that all requirements are performed and that deliverables are submitted as agreed upon in the project schedule. The Project Manager shall communicate regularly and effectively with the VA Project Manager, the COR, and the Contracting Officer (CO). The Project Manager shall effectively balance and schedule involvement of appropriate technical resources throughout the project lifecycle. The Project Manager shall utilize project metrics to track, manage, and analyze task progress and shall communicate findings to the COR to ensure appropriate focus on critical attention areas. The Project Manager shall anticipate project challenges and risk scenarios and prepare, lead, and execute proactive mitigation strategies to ensure optimal results.

The Project Manager shall serve as the single point of contact for performance-related questions. The Project Manager shall manage and monitor the components for project execution, including developing and planning resource assignments and allocations, developing program status reports and project reviews, and managing and tracking project deliverables.

5.1.6 Logistics Management Requirements

The Contractor shall tailor their logistics planning to encompass the logistics requirements as identified in the PWS. While leveraging experience in conducting targeted status reviews, the Contractor shall analyze the logistics requirements to identify points of risk and ensure these are captured in the PMP risk register. If the contractor elects to use more than two scanning sites, the vendor is responsible for managing logistics regarding volumes. VBA will instruct the Regional Offices to ship to two locations; the contractor shall then be responsible for re-routing work while still meeting the SLA for turnaround time. Check-in must occur at the contractor facility to which the material was shipped on the same day each box is received at that location. Time spent re-routing work will not be excluded from turnaround time calculations.

5.1.7 Quality Assurance Management Requirements

The Contractor shall ensure the overall quality of project deliverables adheres to the quality standards as identified in the PWS. The Contractor shall develop and implement a quality assurance strategy to address all phases of the work as identified in the PWS. The Contractor shall include (in the PMP – quality assurance plan) details of the processes and systems the Contractor will implement to meet the quality requirements defined in this PWS. The contractor shall update their quality assurance plan to identify the methods they will utilize to ensure quality level requirements are met in the functions they will complete under this task.

5.2 Volume of Images

VA anticipates that it will require document conversion services for source materials equivalent to approximately 2 billion images (split between 612 million images in the Base Period and 1.4 billion total images in the Option Periods). See Addendum C: Estimated Volume Characteristics for more information on the characteristics of this volume. VA will increase the shipment of source materials to the Contractor over the period of performance. The volume of source materials shipped (above the guaranteed minimum volume) to the Contractor for conversion will be dependent upon the following factors: VA's ability to ship, number of claims received from Veterans, the availability of funding, and the Contractor's per-image pricing and performance.

VA will order at least a guaranteed minimum volume of 1.2 billion images (342 million images in the base period, 480 million images in the first option period, and 576M images in the second option period) if all the optional periods are exercised.

For PMR documents, the estimated monthly image volume of certain medical release forms that will need to be transferred to the PMR vendor is 90,000, resulting from scanning approximately 45,000 documents of these types per month. The estimated monthly image volume of these document types that will be transferred from the PMR vendor to the DCS contractor is 822,000, which results from scanning approximately 45,000 documents of these types per month.

Should this task be awarded to multiple providers of these services, the minimum volumes identified in this PWS will be distributed among the awardees, allowing the actual volumes in excess of the minimum to be allocated according to the awardees' volume capacity, performance, and cost.

VA will notify the contractor at least thirty (30) calendar days before it anticipates modifying the required monthly volume by up to 20% from the VA specified current monthly delivery amount, with notification at least sixty (60) days in advance of any change of more than 20%. The Guaranteed Minimum volumes for option year two will be 48 million images per month. The Contractor should assume that 100% of all source materials are to be converted to Searchable PDFs.

VA requires a rapid start-up to ensure that it meets business objectives. To accomplish this, VA requires the Contractor to begin converting documents for VA within forty-five (45) calendar days of task order award. VA will make available source material constituting up to 3 million images during the first ninety (90) calendar days of the contract. VA will work in collaboration with the contractor during this 90 day period to ship materials to them in line with the Contractor's proposed ramp-up schedule. After the initial 90 day period, VA will control the monthly volumes of source materials sent to the Contractor and these volumes will be based upon the factors described above (VA's ability to ship, number of claims received from Veterans, the availability of funding and the Contractor's per-image pricing and performance). The contractor shall establish flexible capacity to meet increased volume requirements above these minimums such that increase of more than 20% from the current month's volume can be achieved within 60 days of notice.

During the period from 45 to 90 days after award, the Contractor shall also be permitted to upload images within ten (10) calendar days after receipt rather than the five (5) calendar days after receipt specified in Section 5.9. The Contractor shall describe, in the PMP, their ramp-up plan with the volumes that would be optimum to allow the Contractor to prepare their document conversion systems and processes for the VA required (Minimum) volume at the beginning of the fourth (4th) month of the contract.

For additional information characterizing the source materials and estimated effort required to meet quality requirements, see Addendum C: Estimated Volume Characteristics.

The Contractor shall receive source material from VA with fewer than three (3) business days of disruption within a 365-day period. The Contractor shall establish facilities, equipment, processes and personnel to meet this requirement. VA defines a “day of disruption” as a day where the Contractor cannot take receipt of more than 50% of source material that is shipped from VA. This requirement applies to all disruptions for which VA is not responsible. VA will not consider failure to operate on Federal Holidays as a disruption. VA will leave operation on weekends and evenings to the discretion of the Contractor, however, the Contractor shall take receipt of materials shipped by VA during the delivery periods of VA’s national contract carrier, which is typically UPS or USPS, as these materials contain sensitive information.

5.3 Source Material Custodial Requirements

5.3.1 Source Material Tracking and Reporting

The Contractor shall utilize one system, accessible by single logon for VBA users, to maintain a chain of custody for all source materials provided by VA, veterans, or their representatives. Within thirty (30) calendar days of task order award, the Contractor shall provide access to this system for a minimum of 300 concurrent VA users. VA does not require that the Contractor develop a new system or modify an existing system for this purpose, only that any system utilized by the Contractor allow reporting on the minimum information described below.

VA will provide several different identifiers for existing claims files, not received via Centralized Mail, delivered from VA offices. These are:

- UPS Tracking Numbers (for shipments)
- Records Management Numbers (RMN) (for shipments)
The RMN is a VA-assigned unique identifier for each shipping container of source material.
- Document Control Sheet (DCS) metadata (Each unit of source material (e.g., a paper claims folder or loose source materials) has an attached DCS with identifying information.)
Each DCS has seven (7) pieces of metadata:
 1. Veteran First Name
 2. Veteran Last Name
 3. Veteran Middle Initial
 4. Veteran File Number
 5. RMN
 6. Document Control Sheet ID (a 14 letter/number unique identifier)
 7. Participant ID (a VA-assigned unique identifier for the Veteran)

Additional information on both the DCS and RMN is provided in Addendum D: Document Conversion Rules.

The Contractor’s tool shall allow VA to track and provide reporting on source materials using these identifiers.

Source material which is received as part of the Centralized Mail (CM) activity will not have any VA applied identifiers. The contractor shall track these items using internally generated identifiers with all the same chain of custody and security requirements as all other source material.

Upon delivery to the DCS contractor site, the Contractor shall control the mail and apply a VA approved date stamp unless the material has already been date stamped at a regional office. The mail items shall be provided in a portal based work queue established by the contractor to enable VA staff to remotely resolve the specific exceptions (name, file number, or appropriate end product) prior to upload to VBMS. The time required for VA to complete activities required for successful document upload will be excluded from the contractor's turnaround time requirement.

The Contractor's system shall track the status of all source materials from the point at which the Contractor is notified of the USPS Tracking Number for an inbound shipment or receives source material via CM through completion of all Contractor processing. At a minimum, the Contractor's system shall provide the following status information:

1. Source materials shipped from VA to the Contractor
2. Source materials received by the Contractor
3. Images/data ready for upload by the Contractor
4. Images/data uploaded to VA from the Contractor
5. Images/data transferred to the PMR vendor
6. Source materials for which the Contractor no longer maintains custody

During performance, the Contractor may provide additional information on the state of source materials or may propose modifications to the minimum information required as listed above, subject to approval by VA.

The Contractor's system shall allow VA users to input shipping data at the time of shipment including the identifiers above, the characteristics of the items being shipped (# parcels, containers), and the VA location shipping the materials to the Contractor. The Contractor shall input the return shipping tracking number for shipments of source materials being sent from the Contractor to VA.

The Contractor's system shall allow VA to query the status of source material by the following identifiers:

1. UPS Tracking Numbers (for shipments and/or returns)
2. Contractor applied tracking identifiers
3. VA User accounts
4. Regional Office of Jurisdiction
5. Area Office
6. Centralized Mail Exception Type
7. Shipping Exception Type
8. Upload Failure Exception (Report should be searchable by RO, Records Management Number (RMN), and all Document Control Sheet (DCS) metadata associated with the upload, and the error date/time and GUIDs associated with the upload failure should be provided.)
9. RMNs (for shipments)
10. DCS metadata, which includes the following seven (7) pieces of metadata:
 - Veteran First Name
 - Veteran Last Name
 - Veteran Middle Initial

- Veteran File Number
- RMN
- Document Control Sheet ID (a 14-letter/number unique identifier)
- Participant ID (a VA-assigned unique identifier for the Veteran)

The Contractor's system shall also allow the generation of ad hoc, daily, and weekly tracking reports. This capability shall be implemented within 30 days of contract award.

- The Contractor's system shall provide summary reports containing counts and status by UPS tracking number, RMN, DCS metadata, doc type, and number of images. Minimum parameters of the summary reports shall be Time Period, Sending Location AND Time Period, or Sending Location.
- The Contractor's system shall also allow generation of detailed reports containing itemized listings of source materials and their state as well as listings of damaged (at DCS metadata level) images marked "Best Copy Available" and unscannable source materials (at DCS metadata level). These detailed reports shall also include dates and/or times source materials were placed in certain statuses, where appropriate.
- The Contractor's system shall also allow VA to generate ad hoc, daily, weekly, and monthly reports that allow VA to track the Contractor's adherence to the quality metrics (including the number and percent of images/source materials adherent to the metrics) defined in this PWS. VA will formally measure and report on the Contractor's performance on a monthly basis. However, VA intends to track the document conversion performance on a more granular basis, as this information will support VA business processes as well as enable VA to more closely team with the Contractor.
- The Contractor's system shall also allow VA to generate ad hoc, daily, weekly, and monthly reports that allow VA to track all document transfers to and from the PMR vendor, including associated tracking numbers and all attempts to upload the documents as well as any errors that have been recorded along with their correction status. The Contractor shall record and report the file numbers to which any documents received from the PMR vendor are uploaded, along with the claim file number(s), or date range, for the report.

In addition to these metrics the Contractor's system shall also track metrics to provide the COR with information to support decision-making on VA's overarching document conversion operations.

- Specifically, the Contractor's system shall allow VA to generate ad hoc, batch (if applicable), daily, weekly, and monthly reports for cycle times associated with the minimum required status information referenced previously in this section.
- Additionally, the Contractor's system shall track and support the generation of reports on statistics on the composition of source materials, including the frequency with which each document type is encountered in the provided source material, the number of images associated with each document type, the distribution of source materials between typed and handwritten, the number of images converted to Searchable PDF.

Deliverables:

- A. User Interface for Entering Shipping Information within thirty (30) calendar days of task order award
- B. Capability for Ad Hoc, Daily, and Weekly Tracking Reports of Tracking Counts and Statuses
- C. Capability for Reports of Itemized Listing of Source Materials and Their States, including Damaged / "Best Copy Available" and Unscannable

- D. Capability for Ad Hoc, Daily, Weekly, and Monthly Reports for Quality Metrics
- E. Capability for Ad Hoc, Daily, Weekly, and Monthly Reports for PMR Transfers
- F. Capability for Ad Hoc, Batch (if applicable), Daily, Weekly, and Monthly Reports for Cycle Times
- G. Capability for Source Material Composition Statistics Reports

5.3.2 Source Material Handling

Source materials contain actual Veterans' claims, including personally identifiable information (PII), and shall be treated as sensitive information in accordance with the Basic T4 PWS. The Contractor shall ensure that source materials and the VA information they contain are not damaged and/or compromised in any fashion from the point of receipt through the return shipment. While in possession of source materials, the Contractor shall be compliant with all established VA security policies to ensure that VA data, whether captured electronically or as paper or other source materials, are not compromised.

The Contractor shall, upon contract award, cooperate with and facilitate an on-site Government-sponsored security control assessment within fifteen (15) calendar days. Any deficiencies identified during this assessment must be fully resolved prior to delivery of source material to the contractor. The Contractor cannot bill for, nor will the Government be obligated to reimburse the Contractor for, any corrective action deemed necessary to remedy such security control deficiencies in order to ensure proper and effective security measures are in place prior to the commencement of performance or at any time thereafter during the course of performance of this task order.

The Contractor shall have a documented process for physical inventory management and tracking of all source materials while in possession of the Contractor.

The Contractor shall maintain the source materials in the condition in which they were provided until after conversion. After conversion, the Contractor shall de-prep original Service Treatment Records into their envelopes/jackets into the condition and order in which they were provided. Unless otherwise specified, all other source materials shall be de-prepped in an orderly and non-damaging fashion into the folder they arrived in, or were placed into by the contractor (for CM source material), but do not need to be de-prepped back in the order in which they were received.

The Contractor shall propose methodologies for protecting source material. The Contractor shall also minimize the risk that source materials are damaged during conversion. If a record is fragile or it is suspected that it may tear when scanned, the Contractor shall protect the record.

The Contractor shall complete and provide to VA an incident report that documents any damage to a record that occurred during the conversion process. The Contractor shall complete processing of the damaged documents in accordance with the guidance the COR provided based on the incident report. The Contractor shall notify VA of any damaged source materials within one (1) business day.

Deliverables:

- A. Incident Report for Damaged Record, within one (1) business day of damage

5.3.3 Special Source Materials – applicable only if processing Official Military Personnel File (OMPF) material

Special source materials consist of OMPFs loaned to the VA by the National Archives and Records Administration (NARA), National Personnel Records Center (NPRC). VA will forward OMPFs to the Contractor utilizing current processes and methodologies. The Contractor shall establish an "OMPF" source material category within the tracking system and ensure all RMNs containing OMPFs are traceable, both physically and in all production reports. Moreover, the Contractor shall adhere to all

intake, processing, and conversion guidelines outlined in other sections of this PWS. Additional special handling for the conversion of OMPF documents includes the use of Mylar protective sleeves for certain pages prior to the document entering the scanner to reduce the possibility of mis-feeds or damage to the material. Following the document conversion process, the Contractor shall re-assemble OMPFs in the exact order received. OMPFs shall be returned to the VA Records Management Center, Liaison Office, located in St. Louis, Missouri, within five days of initial receipt. Additionally, the Contractor shall adhere to all special security and handling requirements identified by NARA as outlined in the following document:

Memorandum of Understanding between the Department of Veterans Affairs, The Department of Defense, The United States Coast Guard, and the National Archives and Records Administration: Temporary Loan of Records from the National Archives and Records Administration to Veterans Affairs for Document Conversion

The volume of OMPFs shipped to the Contractor will fluctuate and is directly related to the number of claims established by ROs and the processing capabilities of VBMS; however, the VA does not anticipate shipping more than 1,300 OMPFs, comprised of varying volumes of alternate media and paper source material, on a daily basis.

5.4 Receipt

The Contractor shall take receipt of all deliveries of source materials provided by VA, Veterans, and Veterans' representatives on the same day they are delivered, within **no more than four (4)** hours of delivery. This receipt shall constitute the acceptance of the records and liability for records management by the Contractor. The Contractor shall initiate tracking of source material in accordance with 5.3.1 Source Material Tracking and Reporting above upon receipt of source material.

VA anticipates that the flow of source materials to the Contractor will vary by day, week, and month. VA will collaborate with the Contractor to mitigate the impact of this variation to the extent that it does not impact VA business operations.

Shipments may arrive at the Contractor's site with issues that prevent processing or with issues that make it difficult to accurately reconcile the source material contents with manifests (hereafter, termed shipping exceptions). The Contractor shall track these exceptions; make all possible efforts to resolve these issues on-site; shall request needed resolution actions from VA and shall provide VA with daily information that allows VA to track and understand the status of these exceptions. The contractor shall use its interactive Shipping /Central Portal to allow VA personnel to view shipping exceptions, submit resolutions, and inquiries to the vendor. Any exceptions that cannot be resolved on-site must be sent back to VA. Returned materials to the ROs shall include a standardized notice explaining that the material relates to exception source material and has not been converted. The notice shall identify the source RMN/UPS ID and any exception ID. The Contractor shall charge VA the actual shipping costs for these shipments. The Contractor shall provide VA with actual invoices for return shipping of shipping exceptions monthly with its invoices.

The items not to be scanned shall be sorted by RO destination and accumulated for 3 days maximum or until the shipping container (banker's box) for a particular RO is full. The contractor shall prepare the container for shipment and send it to the address provided by VA for each RO. The contractor shall ensure the material is tracked and verify delivery to the correct RO. For fax receipts, the files shall be forwarded as email attachments to a single mailbox provided by VA.

5.4.1 Receipt of CM Source Material

The contractor shall receive materials from VBA ROs, other VBA entities, VBA partners, and directly from Veterans and their representatives.

The contractor shall maintain the ability to receive mail every day (Monday through Saturday, excluding federal holidays) directly from USPS or any other carrier VA or a Veteran or Veteran's representative selects to use for mail and shipments on behalf of VA. VA will establish VA PO Boxes to which all incoming Veteran mail is delivered by the USPS. These post office boxes will be located within a single USPS facility for each Contractor, regardless of the number of sites the Contractor uses. Depending upon the terms and conditions of the agreement with USPS, or any other carrier VA selects to use for mail and shipments, mail will either be directly delivered to the Contractor's site or will be available for pickup at the closest possible USPS (or other carrier facility) site to the Contractor's site(s). The Contractor shall be able to receive mail or packages sent directly to the Contractor's site by Veterans or their representatives.

The Contractor shall take receipt of mailed submissions either upon delivery by USPS or other carrier or upon pickup from the USPS site at least once daily; logging receipt and applying date stamp within a no more than four (4) hour timeframe after the material is accepted by the contractor. Any material received with a date stamp already applied must use that date as Date of Receipt in accordance with Document conversion Rules. This receipt shall constitute the acceptance of the records and liability for records management by the Contractor. The Contractor shall initiate tracking of source material in accordance with 5.2.1 Source Material Tracking and Reporting above upon receipt of source material from VA.

The Contractor shall forward to an address provided by VA articles of mail that appear to have been misrouted (i.e. that have no relationship to VA). Mail may be received in any form capable of delivery through the USPS. The most common forms VA currently receives are envelopes and flats, but on occasion boxes or small packages may be received.

For materials other than those received from ROs, the contractor shall control the mail by date stamping materials to indicate the date of receipt. The Contractor shall date stamp every article of mail received on the calendar day it was received (that is, NOT the date opened, scanned, or any other subsequent processing step). The Contractor shall, at minimum, meet VA's existing date stamp policy (VBA Letter 20-09-10 Revised) to apply a date stamp. The contractor shall use a VA-approved, Contractor acquired date stamp that supplies information specified by VA.

- Example date stamp: "VA Claims Intake Center" (e.g., MM/DD/YYYY – VA Claims Intake Center, City, State).

The vendor may, but does not have to, date stamp the exterior of each article of mail, then the Contractor shall open the mail and shall date stamp the documents and/or enclosure inside the envelope/package in accordance with the provided rules for applying date stamps.

5.4.2 Return of Original Documents – Optional Task

The contractor shall utilize the Addendum H: Original Document Guidance to identify documents received via CM that are original, legal, and/or of sentimental value and separate those documents for return mail to the return address on the mail envelope/package. Examples include, but are not limited to:

- Birth/Death/Marriage certificates
- DD form 214 or other discharge papers on onion skin paper. Onion skin DD 214's or other onion skin discharge documents must be separated as a sub-set of the STR group that will be sent to RMC as these records may be classified as fire-related

- Original OMPFs
- Legal Adoption/Divorce decrees
- Original Social Security cards
- Passports
- Medal Citations
- Pictures and Newspaper articles
- Diplomas
- Official college transcripts
- Wartime correspondence (letters from home), etc.
- Objects other than paper (e.g. audio and video cassettes)
- Samples or evidence consisting of biological materials (take photo of item and return the “original item” as described above)

After scanning as part of the CM process, the Contractor shall mail these documents back to the Veteran with a generic cover letter inserted, format to be provided post award, explaining the purpose of the returned documents and that copies of those documents have been scanned and uploaded to the Veteran’s eFolder.

The envelopes used to mail original documents back to Veterans shall include the RMC address as the return address. The RMC’s return address on the mailing envelope is:

Department of Veterans Affairs, Records Management Center
C/O Chief, Customer Service Division
4300 Goodfellow Blvd.
Building 104
Saint Louis, MO 63120

5.4.3 Receipt through CM Portal

The Contractor shall take receipt of images and data directly uploaded to the Portal. These are electronic documents in possession of the CM Portal user, which did not get scanned by the DCS vendor, and the user wants to use the portal to get these electronic documents into VBMS. This receipt shall constitute the acceptance of the records and liability for records management by the Contractor. The Contractor shall initiate tracking of source material in accordance with 5.2.1 Source Material Tracking and Reporting above upon receipt of source material from VA. Date of Receipt shall be date and time of upload to the Portal. Confirmation including Veteran name, File number, and date/time uploaded must be displayed to the User uploading immediately upon successful upload. Users must be able to run reports on what has been uploaded. Images received via Central Mail direct upload shall have a watermark affixed to the image. The watermark shall include all elements of Central Mail date stamp, but also include time, location of upload (RO), and user (e.g. <username><RO Office Code><RegionalOffice><VSO (if applicable)><date/time>). After upload the images shall drop into the appropriate Queue for Central Mail processing by VBA employees.

The Contractor shall generate searchable PDF in compliance with Addendum G: VBMS PDF Specification from all such material. For generated searchable PDFs, the Contractor shall include a watermark on each page in accordance with Addendum D: Document Conversion Rules.

The Contractor shall upload the searchable PDFs in accordance with PWS section 5.9 Upload Service.

5.4.4 Receipt via Fax

The Contractor shall establish a VA-approved toll-free number (which includes some characters that reference VA (e.g. 1-844-822-5246 (844VACLAIM), etc.) to receive faxes from Veterans, both CONUS and OCONUS, and shall use technology to receive and store these faxes and prepare them for conversion. Part of the fax requirement must accommodate a Non-Toll Free Fax Number for OCONUS US faxes. The Contractor shall receive and store faxes electronically, and shall not print paper copies. The Contractor shall take receipt of faxes 24 hours per day, 7 days a week. The Contractor shall forward, to an e-mail address the CM portal or other upload location provided by VA, faxes that have been misrouted (i.e. that have no relationship to VA) or that were erroneously sent by Veterans (i.e. that are not applicable to this project). Refer to the VA's security requirements for transfer from the vendor's site to VA.

The Contractor shall use as the fax date of receipt the date and time the fax was received by the Contractor. Like most common fax machines in use today, the Contractor's fax solution shall apply the common fax header and footer information (which includes date/time of transmission) to each side of each page received. The Contractor shall propose its header/footer content to VA for approval. The Contractor shall apply a digital date stamp in the margin of the top image inside the envelope/package. The Contractor shall at a minimum include the following information in its date stamp design: MM/DD/YYYY, "VA Claims Intake Center," and the city and state in which the intake center is located.

The Contractor shall preserve and store the original electronic files (not paper copies) received via Fax. The Contractor's storage media, accessibility, hosting, etc., shall comply with the storage requirements described in VA Handbook 6500 and its references. The Contractor shall make available to VA a remote means to electronically search, access and download these files. The Contractor shall also, upon request, provide the electronic records on electronic media (hard drive, CD/DVD). The Contractor shall also, upon request, print and mail to VA less than or equal to 1% of all images stored within 24 hours of request.

Deliverable:

A. Toll-Free Fax Service

5.4.5 Receipt of Private Medical Records (PMR)

Each document received from the PMR vendor (See 5.14 Private Medical Records) shall be placed into the VBMS upload queue, and upload shall proceed in the same manner, and by the same processes, as used for the documents scanned by the DCS Contractor (see Section 5.9 Upload Service). All index values included with each document received from the PMR Vendor shall be uploaded to VBMS in accordance with the version of the VBMS Content Management Service in effect on the DCS contract at the time of upload. No additional quality or data validation processes are required prior to attempting upload of these documents.

The deliverable for these uploads shall be only the work to receive the documents, attempt upload, and report any errors in upload (no prep, scanning, de-prep, quality control, data extraction or storage of paper documents shall be included in this deliverable).

All documents received from the PMR vendor shall be uploaded, and any failure to upload shall be reported via standard methodology (See section 5.3.1 Source Material Tracking and Reporting). The information shall also be passed to the PMR vendor so they can attempt to correct any errors and re-send the document to the DCS Contractor for re-attempting upload to VBMS.

5.4.6 Receipt from PMR Vendor Validation

The DCS Contractor shall ensure all systems and services required to receive documents from the PMR vendor are available to successfully receive documents for 99% of attempts to upload by the PMR vendor.

5.5 Source Material Preparation and Conversion

5.5.1 Source Material Preparation

VA source materials may be double-sided, irregularly-sized, folded, and/or stapled documents. As previously discussed, these source materials may either be loose (packets of source materials with an attached Document Control Sheet) or in a paper claims folder. A paper claims folder may consist of one or more bi-fold or tri-fold folders. VA estimates that each paper claims folder has approximately 475 pages, consisting of claims forms and evidence. Within a paper claims folder, some source materials will be mechanically affixed using prongs, while others will sit loose in the folder. Source materials may also be printed on different types of paper requiring special handling, including onionskin paper.

The Contractor shall prepare source materials for conversion in accordance with Addendum D: Document Conversion Rules. The Contractor shall enhance badly faded source materials, by photocopying or via software-based enhancement in order to achieve the best readable image. The Contractor shall refer to the special handling rules in Addendum D: Document Conversion Rules in the event that it receives source material that is damaged or fragile such that further processing risks destruction of the record and/or if the condition prevents conversion to a readable image through normal processes.

VA will send the Contractor source materials that include microfiche, microfilm (16 or 35 mm microfilm in both 100' and 250' lengths), CDs/DVDs or unscannable media types (defined in Addendum D: Document Conversion Rules).

VA estimates that less than 1% of all source material will be unscannable. If the source material cannot be scanned, the Contractor shall use the Unscannable Document Process outlined in Addendum D: Document Conversion Rules. The Contractor shall place the unscannable material, along with any printed-paper copy of the material, back into the claims folder or packet of loose material. VBA will work with each RO to continuously reduce any material forwarded to the DCS contractor that should not be scanned.

VA anticipates that photographs will comprise 1% and unusual (microfiche and microfilm) and irregularly sized source materials will comprise less than 1% of the total volume of source materials. The Contractor shall convert photos and irregularly sized source materials in accordance with the Document Conversion Rules.

Source material may include items not to be scanned, e.g., mail such as catalogs. The items not to be scanned shall be sorted by Regional Office (RO) destination, and accumulated for 3 days maximum, or until the shipping container (banker's box) for a particular RO is full. The contractor shall prepare the container for shipment and send it to the address provided by VA for each RO. The contractor shall ensure the material is tracked and verify delivery to the correct RO. For fax receipts, the files shall be forwarded as email attachments to a single mailbox provided by VA.

Material received from the USPS shall be scanned using the same process as is used for items received from the RO; however, the source material will not include a Document Control Sheet (DCS). Therefore, the Contractor shall determine the index values required to support upload via the VBMS for each packet of material. The four required index values (see also Section 5.6 Indexing) to be determined are:

1. Date of Receipt (applied when the item was received at the contractor site)
2. Document Type
3. Veteran's name (Claimant Name)
4. VA File Number

5.5.2 Identification and Routing of Mis-filed Documents

In the event that more than one Veteran's information is found within a packet of material, with the exception of and OMPFs and STRs – documents owned by Department of Defense, the material which does not pertain to the Veteran identified on the associated DCS shall be scanned and routed to the appropriate Central Mail Portal (Reference Section 5.12.1 below) VBA Virtual Queue (route to the **unsolicited** mail queue), based on shipping RO, for resolution. The remaining material within the packet shall be processed normally.

Any instance where material was removed from a packet and loaded to the Central Mail portal for resolution shall be recorded and reported on the DCS Report via the contractor portal. The only required information is an indication of whether it had to be sent to CM portal for processing due to misfile for each DCS/RMN/File processed.

5.5.2.1 Source Material Preparation Validation

The following quality measures will be used to verify performance levels in triage and processing:

- Documents fitting the rules for items not to be scanned shall be pulled from the process flow and returned to the original destination RO: 95%
- For Veterans whose identity is verified using information contained in the received document, the correct Veteran Identity is verified: 99%
- 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%
- 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%
- Of documents forwarded to the PMR vendor, the documents are of the document types related to medical records release (VA Form 21-4142, VA Form 21-4142A, 857A, B, D, and E) and are not excepted from forwarding to the PMR vendor: 99%
- Of documents forwarded to the PMR vendor and all images obtained from these documents, the documents and images are imprinted with a watermark of the date the document was provided to the PMR vendor: 99%
- Of the attempts to upload documents to the PMR vendor, documents shall meet the requirements for successful upload, as defined by the contractor defined connectivity solution: 99%

5.5.3 Conversion

The Contractor shall comply with Addendum D: Document Conversion Rules for all conversion. The Contractor shall convert source materials to images with a minimum quality level of 300 dots per inch (DPI). The Contractor shall convert all source materials to searchable PDFs. The Contractor shall create one image for each side of each page of paper converted. The Contractor shall delete blank images generated from blank sides of paper and delete images that include only bleed-through data.

The Contractor shall imprint a mark on each page of paper to verify that the page of paper was processed through a scanner. The Document Conversion Rules will include guidance on specific placement of the imprint and any other required indicators.

Some source materials, by virtue of their original condition, will not scan clearly. If source material, or page(s) within the source material, does not convert clearly or legibly, or is otherwise unclear, the Contractor shall label resulting image(s) "Best Copy." Addendum E: Document Conversion Rules contains

guidance on specific placement of the “Best Copy” label. The Contractor shall scan and index photographs so that they are visible and interpretable.

The Contractor shall convert the following document types in color regardless of the presence or lack of color:

- Photographs
- DD214s and DD215s

As documents that meet the criteria to be transferred to the PMR vendor are scanned, the Contractor shall ensure that the document and the associated image(s) are imprinted with a “watermark” including the date the document was scanned, in accordance with the Addendum D: Document Conversion Rules. The contractor shall ensure that these documents are sent to the PMR vendor for development activities on the same day as they are scanned into the DCS contractor system. There are two exceptions to the process of sending the VA21-4142 to the PMR vendor. If the Regional Office of Jurisdiction is San Juan, Puerto Rico or Manila, Philippines Regional Offices as determined by the zip code of the sender’s address, or if the form comes in with medical evidence attached, in both of these cases, the form, and any attachments, shall be processed per existing Centralized Mail processes.

5.5.4 Image Quality

VA’s acceptable image quality level is 99%. VA describes an acceptable image in Addendum D: Document Conversion Rules. The Contractor shall perform validation of converted images as necessary to attain the 99% acceptable image quality level.

5.6 Indexing

In accordance with Addendum D: Document Conversion Rules and Addendum B: Document Indexing Recommendation and Data Field Extraction List, the Contractor shall generate four index values for each converted image; VA File Number, Claimant Name, Date of Receipt, and Document Type.

For existing claims files received from an RO, the VA File Number and Claimant Name will be supplied via barcode on the Document Control Sheet (DCS) accompanying the document(s) or claims folder (see Addendum C: Estimated Volume Characteristics for accuracy rates).

For material received via CM, the DCS will not be included. Material received via CM will include a mix of packages with and without barcodes containing the VA File Number and Veteran/Claimant Name. The Contractor shall determine if each received mail item includes a VA generated barcode containing the Veterans name and file number. If the item does include this barcode, the index values shall be obtained in the same manner as is used for the DCS barcoded items. If there is not a VA generated barcode in the mailed item the material shall be routed to VA for review and update in the CM portal described in section 5.12.1 below. The Contractor shall proceed with upload of the documents via the VBMS CMS upon receiving notification that the documents’ exception has been cleared.

The indexing values specific to Central Mail, not required for items received outside of Central Mail are Veteran Name and File number. Index Name and File Number from the top document in a CM packet only, for the specified forms (subject to update post award).

VA File Number:

- Can be eight digits
- Can have leading zeros
- Can be the same as the SSN
- Field may contain C, CSS, XC, XSS, etc.
- Field may be labeled as Identification Number

Name:

- Last, First, Middle initial

VA Form Number:

- 21-22/21-22a
- 21-4142
- 21-4140
- 21-4138
- 27-0820
- 21-0845
- 21-8940
- 24-0296/24-0296a
- 21-8951-2
- 21-4192
- 21-2680
- DD214/DD215
- VA Form 9
- 21-526 (all versions)
- 21-527 (all versions)
- 21-0538
- 21-674
- 21-686c
- 26-4555 (all versions)
- 21-4502

The contractor shall input this data into the appropriate fields in the portal and in VBMS CMS.

Tracking shall be available for retrieval in the same manner as all other scanned documents.

5.6.1 ENABLING SUCCESSFUL VBMS UPLOAD – Optional Task

For all packages of material received with a Document Control Sheet (DCS) affixed, the contractor shall identify any discrepancy between the information (Veteran's Name, Social Security Number, and/or File number) obtained from the DCS barcode and that which is present on the documents within the package of materials. In the event that the Veteran's Name, Social Security Number, and/or File number from the DCS barcode does not match the values contained on the documents within the package of materials, the index values for the package of materials shall be updated (overwriting the index values obtained from the DCS barcode) to match the information from the documents within the package. The values shall be updated via VBA input on the CM portal prior to attempting to upload images, data, and index values to VBMS using Content Management Service (CMS).

The Contractor shall record instances where index values were updated prior to upload to VBMS via CMS. The recorded instances of this action shall be reported via the contractor portal as an addition to the DCS report. The only required information is an indication of whether the index values were changed for each DCS processed tied to the RO who sent it/created the DCS and which value was changed. If it was a DOCID, what was it and what was it changed to, and who (by RO and USERID) changed it. This action will serve to reduce, and eventually eliminate, instances of failed uploads to CMS which resulted from an incorrect Veteran's Name, Social Security Number, or File number and instances where Veteran's information/material is loaded to the wrong eFolder in VBMS.

VBA will assess Contractor quality for these activities by identifying any information uploaded to the incorrect Veteran's eFolder and by failed uploads where the failure reason is an incorrect Veteran's Name or File number index value (no eFolder exists). The contractor shall update internal quality assurance and control procedures as needed to ensure these activities to update the Veteran's Name and File number are carried out so as to achieve the expected reduction in upload errors.

5.6.2 Indexing Validation

VA's acceptable indexing accuracy level is 99%. VA considers indexing to be accurate when all four (4) of the index values assigned to the document are correct. The Contractor shall perform validation of the converted images as necessary to validate that the 99% acceptable indexing accuracy level is satisfied.

5.7 Extraction

The Contractor shall extract data from the scanned documents in accordance with Addendum B: Document Indexing Recommendation and Data Field Extraction List.

5.7.1 Extraction Validation

VA's acceptable extraction accuracy level is 99%. VA considers extraction to be accurate when all characters extracted to the data field accurately represent the characters on the source material. The Contractor shall perform validation of the extracted data as necessary to validate that the 99% acceptable extraction accuracy level is satisfied.

5.8 Access for Independent Verification and Validation

The Contractor shall provide VA with a method of access to source materials and imaged records for on-site Government Independent Verification and Validation (IV&V). The Contractor shall also provide VA with full access to its quality assurance reports, processes, and procedures (including but not limited to the reports generated within its tracking system addressed in Section 5.2.1 Source Material Tracking and Reporting). Within thirty (30) calendar days of contract award, the Contractor shall provide space, including computer workstations with network access and phone access, in their facilities for up to six (6) onsite VA IV&V personnel (including agents of VA) per site. The Contractor shall advise VA if it intends to use multiple sites to conduct performance, and if so, shall also provide a complete listing of all sites where performance will occur. VA will perform IV&V and Quality Assurance Surveillance (QAS) of Contractor QA processes and procedures prior to electronic transmission of the images and data to VA. VA representatives or designated agents of the Government will perform continuous IV&V and QAS throughout the life of the contract. VA will utilize the results of this IV&V and QAS to evaluate Contractor performance on a monthly basis (as described in Section 6.1 Performance Metrics and the T4 basic contract).

5.9 Upload Service

The Contractor shall deliver images, indices, and extracted data to VA in accordance with the latest Interface Control Document (ICD) at Addendum E: Upload Service Interface Control Document, which describes the transactional web service that transfers data at the document level each time the service is called. VA defines "delivery" as the upload of data to the upload service and confirmation from that services that the transaction was successful. The Contractor shall retain, and make available to VA, the images, index values, and data on its system for thirty (30) days after delivery of images.

For all packages of material received with a Document Control Sheet (DCS) affixed, the contractor shall identify any discrepancy between the information (Veteran's Name, Social Security Number, and/or File number) obtained from the DCS barcode and that which is present on the documents within the package of materials. In the event that the Veteran's Name, Social Security Number, and/or File number from the DCS barcode does not match the values contained on the documents within the package of

materials, the index values for the package of materials shall be updated (overwriting the index values obtained from the DCS barcode) to match the information from the documents within the package. The values shall be updated prior to attempting to upload images, data, and index values to VBMS using Content Management Service (CMS).

The Contractor shall record instances where index values were updated prior to upload to VBMS. The recorded instances of this action shall be reported via the contractor portal as an addition to the DCS report. The only required information is an indication of whether the index values were changed for each DCS.

In the event that more than one Veteran's information is found within a package of material, with the exception of and OMPFs and STRs (documents owned by Department of Defense), the material which does not pertain to the Veteran identified on the associated DCS shall be scanned and routed to the appropriate Central Mail Portal VBA Virtual Queue (route to the unsolicited mail queue), based on shipping RO, for resolution. The remaining material within the package shall be processed normally.

For CM source material, if a document has one of the exception types that requires additional processing by VA prior to upload, the Contractor shall make the document available in the Portal in accordance with Section 5.12.1 CM Portal and Reporting

When uploading CM documents, the Contractor shall follow rules provided by VBA to systematically set the VBMS new mail indicator.

The Contractor shall count all images uploaded to the Central Mail portal, for exceptions to Auto-CEST, and VBMS, for successful Auto-CESTed images that bypass the portal, towards VA's guaranteed minimum image requirement. The contractor system shall ensure that no image is counted more than once in the total image count.

5.9.1 Upload Validation

The Contractor shall deliver images, indices and extracted data to VA within five (5) calendar days (excluding time for VA QA) after Contractor receipt of source materials for at least 99% of the images delivered.

5.10 Shipping and Storage

For up to 90 days after award of this task or until space described below is available and approved, the Contractor shall store materials at site where they were converted in conditions and security consistent to source material awaiting scanning.

Within 60 days of award of this task, the Contractor shall have ready storage space and processes consistent with applicable VA security regulations (including the applicable T4 security requirements and VA Handbook 6500) and the NARA storage requirements of CFR 36 Part 1234 Subpart B with no exceptions made for the waivers discussed therein. Within 90 days of award, the Contractor shall have conducted the appropriate 3rd party security audits as required by VA security and shall have completed any remediation activities needed for complete compliance. Additionally, within 90 days of award, the Contractor shall have scheduled and jointly conducted with VA or its agents, an audit to assess compliance with the NARA storage requirements. The Contractor shall have also completed any remediation activities required as a result of this audit within those 90 days. Also on or within the 90 days, and subsequent to VA approval on both security and compliance with NARA storage standards, the Contractor shall have transferred all source material temporarily stored at the scanning site to the NARA compliant storage space and shall have begun storage operations in accordance with the standards described in this paragraph as well as the additional requirements listed below. If the contractor elects

to move boxes to a separate facility for temporary storage, the alternate facility must meet the same NARA requirements and the contractor may not invoice for boxes they elect to move without government direction. Contractor will only invoice for delivered boxes to long term storage after the material has been scanned and uploaded to VBMS.

5.10.1 De-preparation

The Contractor shall store source materials such that the contents of the original shipping container either remain together or can be reassembled upon request. The contents of each folder or group of loose materials processed through the scanning operation do not need to be retained in the same configuration (order or location within a folder) in which it was received but all source material in a folder or loose packet shall retain their identity as a collection of material. Any folders, mail items or packet of loose material received containing an original (not copies) Service Treatment Record (STR) shall be de-prepared after scanning such that the original STR is separated from the folder, mail item, or packet of loose material, and stored with other STRs, separate from all other source material. Original STRs only (no copies) shall be separated from the remaining source material and stored separately with an accuracy of 99% (99% of claims folders, or loose packets of material shall not contain an STR after de-preparation is completed). If the Contractor chooses to dissociate the contents of the original shipping container, during the audit period (between day 60 and day 90) described above, VA will evaluate the contractor's process for reassembling the original contents of a shipping container (including any STRs) and the implementation of this process will be subject to VA's acceptance. The content of any requested RMN or package of mail, upon receipt at VBA, shall match the contents of the original container with 99% accuracy.

The Contractor shall provide VA or its agent with physical access to the source materials at any time during normal Federal Government working hours. The Contractor shall allow VA or its agent to perform oversight of storage conditions and operations at any time during normal Federal Government working hours.

VA anticipates that the Contractor shall, upon request, be required to ship less than 1% of all source materials in the conversion process back to VA using overnight shipping.

VA anticipates that the Contractor shall, upon request, be required to ship less than 1% of the total volume of containers in storage back to VA. The contractor shall ship all materials related to a specific RMN within 10 days of a request by VBA for those materials. Upon return of the material to the contractor from VBA, the contractor shall re-file the material within 5 days of receipt. The Contractor shall put in place standardized procedures to accomplish this requirement. In the event that the Contractor chooses to repackage materials or remove from the original shipping container, the Contractor shall annotate the original RMN for the container for the container used to ship back to VA.

The Contractor shall also ship all or a significant portion of source materials to a site or sites designated by VA without expectation of return shipping or re-filing under any of the following two (2) conditions:

1. VA requests permanent relocation of the materials.
2. The base period or an exercised option period expires.

In the event that the Contractor chooses to repackage materials or remove from the original shipping container, the Contractor shall annotate the original RMN for the container for the container used to ship back to VA.

The Contractor shall ensure that the shipping method proposed adheres to security measures comparable to VA's current national contract carrier for shipping. The Contractor shall package

documents for shipment in accordance with VA Handbook 6300.8, Section 5. The Contractor shall include a manifest within, but not on, the exterior of its shipping package.

The Contractor shall store VA source materials after confirmation of successful upload to VA. The Contractor shall store these source materials through the end of the base period and in both optional periods of performance (if exercised).

The Contractor shall prepare CM source material for storage in accordance with Addendum F: VA Standard Operating Procedures Document. The Contractor shall generate a cover sheet (similar to the Document Control Sheet and approved by VA) for each CM item. The Contractor shall generate a box manifest (using a format approved by VA and similar to a VBMS manifest) and shall store this box with other VA source materials in accordance with the requirements of this PWS.

5.11 Full Service Shipping

This task is optional, to be added if Full Service Shipping (FSS) locations are identified. Upon identification of a FSS location, a proposal will be requested to correspond to the specific location, volume, and other characteristics.

This requirement entails the contractor deploying resources to designated facilities to; retrieve, pack, track, and ship source materials back to their production scanning facility for processing IAW the requirement in this PWS. The list of tasks below defines the key steps that must be performed. The contractor shall provide a proposed schedule and Work Breakdown Structure for each site within 10 (10) business days after a site is awarded and prior to starting work at the site. These steps are:

Taking Receipt of Source Materials: The Contractor shall take receipt of source materials at the VA site. Source materials may be provided by VA staff directly to the Contractor, may be collected by the Contractor from multiple collection points around the site by the Contractor (e.g. from wheeled carts, stationary tables and/or employee desks/workspaces used as temporary storage) or may be collected by the Contractor from VA's long-term storage at the site (e.g. file bank, storage closet or file cabinet). The method and manner of taking receipt of these materials will vary from site to site. VA may be able to make accommodations (i.e. serving materials up to the Contractor) but the Contractor shall assume the most labor intensive methods (e.g. identifying source materials within the file bank and pulling those materials, or hunting down smaller storage areas throughout the site), will be required. The contractor shall take possession of only those materials specified by VA at each site; no additional material shall be moved or processed in any way unless it is necessary in order to take possession of the material that is to be processed. Material processed by the contractor shall match the material specified by VA at each site for 99.5% of all folders or loose materials. The performance requirements from the T4 DCS Task which pertain to safeguarding material from loss or damage shall apply to the material the contractor takes possession of, and ships, from the VA locations.

VA System Activities: The Contractor shall prepare materials for shipping and document conversion using VA systems. Preparation of source materials requires the use of multiple VA systems, but only very limited/simple actions must be performed in each system. The contractor shall only access the required functionality in the VA systems needed to complete the work of this task; no other information or processing may be accessed. Among the steps below, only step 5 must be completed at the VA site, to ensure minimal tracking and chain of custody for source materials. The Contractor may perform the other steps at the VA site or their own site. Attached as Addendum F is the Standard Operating Procedures Document VA staff currently use. It is not a prescriptive set of requirements, but merely a more detailed description of the process described below.

- (1) Claims Establishment (ONLY for Completed Claims)

The Contractor shall use the Veterans Benefits Management System (VBMS) to establish and cancel an EP (End Product) 400 in the VBMS System. An EP 400 must be established and cancelled the first time a Veteran has source materials uploaded into VBMS as this creates the necessary database entries to enable upload of source materials after scanning. Establishing an EP 400 requires the Contractor to enter limited data regarding the Veteran associated with the Source Material into VBMS. Consult the VBMS Claim Establishment JIS for procedures on how to CEST the end product (EP) in VBMS with the appropriate date of claim. The EP400 code shall be correctly created and cancelled, per VBMS operating procedures for 99.5% of the claims folders shipped under this task.

(2) Creation of VBMS Manifests/Document Control Sheets

The Contractor shall use VBMS to generate and print Document Control Sheets (DCS) (attached to each individual packet of source materials shipped) and VBMS Manifests (provides a listing of each Document Control Sheet within a box). Consult the VBMS Create a Document Control Sheet (DCS) Job Aid to create a DCS for each claim being shipped. Only one DCS is needed per claims folder (including claims with multiple folder volumes, with the exception of claims folders that must be split across two boxes). Secure the DCS to the front of the top volume of the claims folder or to the front of the top manila folder. The DCS shall correctly describe the contents of the material to which it is attached for 99% of the claims folders, or loose packets of material. The contractor shall use VBMS to generate the manifest. The manifest shall correctly describe the contents (DCSs) of the container to which it is attached for 99% of the boxes shipped.

(3) Creating a Shipment

The Contractor shall ship the box to its scanning facility(ies) shall using the secure vendor (UPS/FedEx, etc.) of their choice (provided VA concurs that the vendor is secure). The Contractor shall use its own shipping account for all shipping associated with this task and shall include all shipping costs in its per-box cost. The Contractor may ship items in bulk/palletized formats if it finds this is more advantageous (the existing limitations to this are based in Contractor systems and facility capabilities at each site). The Contractor shall ensure that VA can accurately track the shipping status and source material contents of 99% of all boxes shipped.

(4) Updating VBMS Manifest/DCSs

The Contractor shall update the VBMS Manifest and DCSs with the tracking number. NOTE: This step is not necessary if Contractor systems do not require the presence of a tracking number on the VBMS Manifest for validation against the tracking tool.

(5) COVERing the Shipment

The Contractor shall update COVERS (Control of Veteran Records System) when source materials are in VBA claims folders to reflect that they have been shipped to the Commercial Scanning Vendor Sites. This involves scanning the barcode located on the front of each volume of a claims folder into COVERS and then entering limited information into COVERS to reflect the change in location. The following locations shall be used in COVERS: DCSS1 for SMS in Janesville, WI; DCSC1 for CACI in Newnan, GA; or DCSC2 for CACI in Mt. Vernon, KY. Only red rope claims folders require entry in COVERS, do not process manila folders in COVERS. COVERS shall correctly depict the current location of all claims folders handled in the conduct of this effort for 99% of claims folders processed under this task.

Boxing and Shipping: The Contractor shall box and ship all source materials.

The Contractor shall enter the shipments into its tracking portal or shall otherwise take appropriate steps to ensure chain of custody and VA knowledge of shipments in accordance with other Task Order requirements.

The Contractor shall place source materials into its own boxes (provided by the contractor and not smaller than and with a similar ability to protect source materials as Banker's Boxes used by VA), inserting padding as needed for protection of source materials. The Contractor shall then seal the boxes, apply any outward box labels or markings as needed to denote the box's contents for its internal document conversion workflow, and shall then ship the box.

5.11.1 Contractor Receipt of Source Materials Prepared for Packing and Shipping

The Contractor shall box and ship all source materials and shall make all needed entries in the Contractor Tracking Portal.

VA will provide the Contractor with source materials in groups that are sized to fit into boxes, with VBMS manifests and Document Control Sheets on each item. The Contractor shall ship using VA-provided UPS labels.

The Contractor shall enter the shipments into its tracking portal.

The Contractor shall place source materials into VA boxes, inserting padding as needed for protection of source materials. The Contractor shall then seal the boxes, apply any outward box labels or markings as needed to denote the box's contents for its internal document conversion workflow, and shall then place the box in the appropriate shipping pickup location for the site,

5.12 Centralized Mail

5.12.1 Portal and Reporting

The contractor shall provide a web-based portal, meeting all applicable VBA security requirements, for VBA personnel to view images and associated metadata and resolve exceptions with source material received via CM for processing prior to VBMS upload. The CM portal shall also be configured as an alternate means of intake and outtake of source material through provision of an upload/download capability for situations in which the user is in possession of electronic documents that need to be placed into the VBMS eFolder (upload) or the user recognizes material in the CM portal which should not be part of the eFolder (download). Detailed CM portal functionality requirements are at Appendix I.

5.12.2 DCS Vendor CM Portal Validation

The following quality measures will be used to verify performance in the CM Portal processes:

- 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%
- 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%
- All VA personnel authorized to view and update images and data in the vendor system shall be authenticated per the approved procedures for the existing contractor portal application: 100%
- 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%

5.12.3 Existing Claim Lookup

For documents which are not one of the types that are used to establish claims, the Contractor shall utilize existing VA services to determine if a pending claim exists for the Veteran to which each document pertains. The data associated with the document shall be used to verify any existing pending claim. Should a pending claim exist, the document shall be uploaded to the correct eFolder using the VBMS Content Management Service as is done in the current process.

5.12.4 Claims Establishment

Documents that are one of the types that are used to establish claims shall undergo additional processing. The contractor shall systematically use the information on these forms and VA services to establish the claim. The VA services will utilize the index values for the document as defined in the scanning process. Only documents that included a VA barcode in the mailed item shall be processed for automatic claims establishment. Any mailed item that did not include at least one VA produced barcode shall be placed into the CM Portal as an exception to be cleared by VA personnel. When the VA personnel have established the claim, the contractor shall be notified through the system and shall initiate upload via the VBMS CMS. The contractor portal shall report both the upload and the claims establishment dates for each document of the types that typically constitute a new or supplemental claim.

5.13 Private Medical Records

The contractor shall send and receive files via ongoing secure transfers containing PMRs and related medical records in an automated system-to-system process. The contractor, in coordination with the PMR vendor, shall establish a bi-directional secure system-to-system connection. The contractor shall use this connection to transfer certain medical release forms received via centralized mail to the PMR vendor. After processing at the PMR vendor, the PMR vendor will utilize the connection to transfer the medical release forms and related PMRs in searchable PDF format with the required index values to the contractor. The contractor shall upload these files to VBMS via existing processes and connectivity.

The contractor shall coordinate design and implementation of a secure communications channel with the PMR vendor. The contractor shall provide a design description document detailing the technologies, protocols, network paths, and security accommodations implemented for this communication requirement. The DCS Contractor shall ensure that all VA security requirements are addressed in the implementation of the solution to meet the requirements for secure transfer of Personally Identifiable Information (PII) and Personal Health Information (PHI).

The method for transference of these documents to the PMR vendor shall include continuous secure transfers used by an automated process with error checking and reporting for any failed attempt to upload. This transference to the PMR vendor shall continue, on a 24-hour, seven days per week schedule (24 x 7), excluding Federal Holidays, whenever there are medical release documents of these types received via Centralized Mail. The transfer process to the PMR vendor shall ensure that each document is transferred only once per scanned document, that all documents of these types are successfully transferred to the PMR vendor, and that any errors in transferring the documents to the PMR vendor are recorded and corrected.

The transfer capability shall be available 24x7 to accept documents uploaded from the PMR vendor. Any planned or unplanned outages of this document transfer capability shall be communicated via email to the DCS Contractor COR as soon as they are identified. The communications solution shall provide error reporting to the PMR vendor for any failed uploads.

The DCS Contractor shall implement error checking and reporting for any failed attempt to upload.

Deliverables:

- A. Design Description Document
- B. Bi-Directional Secure System-to-System Connection to PMR Vendor

6 General Requirements

6.1 Performance Metrics

Table 2 Performance Metrics below defines the Performance Metrics associated with this effort. All performance requirements of this contract apply equally whether the Contractor chooses to use their own solution for delivery of the required services or to use the VA provided solution.

Table 2 Performance Metrics

Performance Objective	Performance Standard	Acceptable Quality Levels
A. Technical Needs	<ul style="list-style-type: none">Shows understanding of requirementsEfficient and effective in meeting requirementsMeets technical needs and mission requirementsOffers quality services/products	Satisfactory or higher
B. Project Staffing	<ul style="list-style-type: none">Currency of expertisePersonnel possess necessary knowledge, skills, and abilities to perform tasksSufficient number of personnel to accomplish the mission	Satisfactory or higher
C. Project Milestones & Schedule	<ul style="list-style-type: none">Quick response capabilityProducts completed, reviewed, and delivered in timely mannerNotifies customer in advance of potential problemsAbility to manage costTimely communications regarding cost changesTimely submission of invoices	Satisfactory or higher
D. Value	<ul style="list-style-type: none">Provided valuable service to the GovernmentServices/products delivered were of desired quality	Satisfactory or higher

The Government will utilize a Quality Assurance Surveillance Plan (QASP) throughout the life of the contract in order to ensure that the Contractor is performing the services required by this PWS in an acceptable manner. The Government reserves the right to alter or change 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. The COR will determine if the performance of the Contractor is below a metric standard and if it is, deem it unacceptable. The COR will then notify the Contracting Officer.

Addendum A. Acronyms

BI	Background Investigation
CD	Compact Disk
CM	Centralized Mail
CO	Contracting Officer
COR	Contracting Officer's Representative
CONUS	Continental United States
DCII	DOD Defense Central Investigations Index
DCS	Document Conversion Services
DCS	Document Control Sheet
eFolder	Electronic Folder
FBI	Federal Bureau of Investigation
FFP	Firm Fixed Price
ICD	Interface Control Document
IDIQ	Indefinite Delivery / Indefinite Quantity
ICR	Intelligent Character Recognition
IV&V	Independent Verification and Validation
MBI	Moderate Background Investigation
NAC	National Agency Check
NACI	National Agency Check with Written Inquiries
NARA	National Archives and Record Administration
NPRC	National Personnel Records Center
OCR	Optical Character Recognition
OMPF	Official Military Personnel File
OPM	Office of Personnel Management
PDF	Adobe Portable Document Format File
PDT	Position Designation Automated Tool
PII	Personally Identifiable Information

PMP	Project Management Plan
PMBOK	Project Management Body of Knowledge
PWS	Performance Work Statement
QA	Quality Assurance
QAS	Quality Assurance Surveillance
QASP	Quality Assurance Surveillance Plan
RMN	Records Management Number
RO	Regional Office
T4	Transformation Twenty-One Total Technology
TO	Task Order
SII	OPM Security Investigations Index
USPS	United States Postal Service
VA	Department of Veterans Affairs
VBA	Veterans Benefits Administration
VBMS	Veterans Benefits Management System
WBS	Work Breakdown Structure

Addendum B. Document Indexing Recommendation and Data Field Extraction List

Addendum C. Estimated Volume Characteristics

Addendum E. Upload Service Interface Control Document

PORTAL

The portal must, at minimum, provide the following functionality in a User-Friendly layout:

- Restrict access by Station of Jurisdiction (RO may only view mail from their station), but have capability to lift that restriction and assign specifically identified Users (all Users and Super Users) to more than one Station as directed by VCIP.
- CM material received from the RO's via courier mail will already have a date stamp applied. The date stamp should be used for the DOR not the date the vendor receives the box. This DOR will need to be manually applied vs electronically
- The electronic date stamp shall indicate "VA Claims Intake Center" (e.g., 06/09/2014 – VA Claims Intake Center
- Retain the current selected item and scroll position on refresh
- When a user is currently viewing an open mail package the browser layout will display full view of the image viewer screen.
- A user will be allowed to complete the indexing of a mail package from within the Hold queue; same functionality which is currently allowed within the user work queue
- Super users will now be allowed to complete / work a mail package from within the Assignment queue vs. having to assign a mail package to themselves and working the mail package from the work queue
- Once a mail package has been completed, assigned, routed to another queue the mail package will update in real time.
- Privileged users have the ability to upload of a single PDF or TIFF file to enter into the indexing workflow. Special permission is required to have access to the Upload page where they can perform this upload.
- Portal displays doc type IDs contained as a short list with an indicator showing a trigger (action needed) document in in the mail package. Trigger documents are defined as one of the following:
 - VA Form 21-526 (526EZ, 526b, 526c, etc.)
 - VA Form 21-4138
 - Non- Rating CESTS (VA Form 21-686, 686c, 674, 674b),
 - VA Form 27-0820
 - VA From 21-4142.
- The assignee column has the Last Name, First Name and username of the person assigned a respective package to review.
- A numeric indicator is visible on the Comments tab in the package detail with the number of comments that exist for a given package.
- A checkbox has been placed on the document detail stating I have fully reviewed this document. All checkboxes must be checked before a user can mark a package Return to Auto-cest.
- Users can select a resolution filter to look for Resolved packages that have been completed (up to 90 days past the receipt date) or Unresolved packages. The application defaults to an Unresolved view.
- Remove spaces before or after fields when the "Return to auto-CEST" button is clicked

- The vendor shall index two additional data elements (besides Date of Receipt and Doc Type) for specific VA Forms ONLY received through Central Mail.
 - Specific VA Forms:
 - 21-22/21-22a
 - 21-4142
 - 21-4140
 - 21-4138
 - 27-0820
 - 21-0845
 - 21-8940
 - 24-0296/24-0296a
 - 21-8951-2
 - 21-4192
 - 21-2680
 - DD214/DD215
 - VA Form 9
 - 21-526 (all versions)
 - 21-527 (all versions)
 - 21-0538
 - 21-674
 - 21-686c
 - 26-4555 (all versions)
 - 21-4502
 - The vendor shall index as follows:
 - VA File Number
 - Can be eight digits
 - Can have leading zeros
 - Can be the same as the SSN
 - Field may contain C, CSS, XC, XSS, etc.
 - Field may be labeled as Identification Number
 - Name
 - Last, First, Middle initial

Roles

- USER Role
 - User Role at minimum 30 Users per RO (56 Ros) –
 - Users will resolve (review, route) mail in the portal
 - Users must be able to sort and search by any available column in main screen and sub screens.
 - Minimum actions User Role must be able to take:
 - Exception Cleared: return the image to the VBMS upload queue
 - Return for Rescan
- Super User Role
 - Super User shall have ability to perform all User Role functions
 - Super User role for each Station of Jurisdiction at minimum 5 per RO.
 - Super User may move work from their RO queue to an external RO queue.
 - Super User may unassign assigned work.

Super User work queue shall provide a clearly identified column showing the count of total mail packages assigned to each User.

- Super User view shall include a column clearly identifying the document type for each document in their queue.

Queues

- Display all mail sent to exception queue in date/time order (first in first out)
- National level read-only queue for report generation and monitoring
- 4 Area Queues comprised of all ROs assigned to each Area.
 - A queue/view that is broken out by Areas (East, West, Central, South) according to VBAs Area alignments.
 - Intent is for Area offices to be able to see/view the work at their specific ROs at any point in time.
- COR User Queue and Role - Establish one location to access all work assigned to COR for approval/denial
 - Print/Download: for forwarding to another Business Line/Office as necessary
 - COR must be able to request to download a document from the portal. Once it is confirmed, stop processing the package but retain the images as read-only for 90 days including the PDFs, then archive and hold indefinitely on your servers. Post downloaded source material to storage.
- Per RO Queue for solicited mail. CMP will get mail that is solicited, meaning VA specifically requested it
- Per RO Queue for unsolicited mail. CMP will get mail that is unsolicited mail, which is everything VA did not request (new claims, late flowing evidence we didn't specifically ask for, etc)
 - Solicited Mail
 - Everything received in the VA PO Box (PO Boxes with Evidence Intake Center in the TO) in **direct response to a VA request**. The packages that will be assigned to this work queue will be items sent in to VA to support a current – active claim and likely will have a QR code for scanning and automatic upload. If a QR code exists – eventually they do NOT need to go to the virtual VBA queue for an RO to take action on.
 - Unsolicited Mail
 - Everything received in the VA PO Box (PO Boxes with Claims Intake Center in the TO), or received via mail anywhere other than the PO Box above, is **not in response to a VA request**. Packages in this queue are everything else we'd get in the door.
- Additional queues will need to be created, as needed, based on specific VBA processing requirement:
 - RACC
 - IDES/Pre-Discharge
 - Any other queues will be communicated and managed via a change request and subsequent modification.
- Tag each piece of mail requiring RO review by work or action needed prior to VBMS upload(why was it loaded to the Portal)
 - types must not be hard coded – the portal must have update capabilities if new exceptions are encountered.

- types must be, at minimum (subject to change upon contract award – prior to portal development):
 - Information to support upload to VBMS is missing
 - Cannot Identify Veteran in VBA System
 - Claims establishment document type,
 - Missing Data – cannot submit document for automatic claim establishment
 - Claims establishment document type, All required data available, failed to auto-establish
 - Upload to CMS failed
 - Other
- Create an indicator and set indicator if contractor identifies a claim as emergent: Terminal, homeless, etc. Anything with this indicator should be clearly marked and raised to the top of the work queue, regardless of FIFO.

REPORTING

The contractor portal shall also be able to report, real-time, beyond current contract requirements, the following information:

- Report of uploads to VBMS post VBA personnel exception clearing (verify their action was successful)
- Timeliness metrics for mail control time (date of receipt to claims establishment)
- Counts and identifying/traceable information of unscannable material returned to RO
- Counts of mail considered exceptions – sent straight to VBA personnel
- Up time/Down time on their application – outage periods
- Quality
- Volume of portal issues – help desk calls
- Duration of time particular documents are in each VA RO queue
- Total duration of time a document is in any RO queue
- Number of times a document is reassigned from one RO queue to another by VA personnel
- Reassigned RO's Count Report
- Upload Failures Report
- Production Snapshot Report
- Log application outages
- RO tracking report for Reassigned Mail
- Never Reassigned Mail (Direct Mail)
- Vendor related tracking
- Executive Level RO performance report
- Document and Claim Type Frequency
- Production Summary Report (RO)
- Production Detail Report (RO)
- Work Processed by User
- TAT from Upload to Resolution
- RO CMP Current Status
- Ave Time Working Packet
- CMP FTU Report

- TAT Between Stages – COR only
- CMP Overall TAT – COR only

Further reporting details and a sample report may be found in Addenda XX and YY.

OPERATIONAL REQUIREMENTS

The contractor system shall provide obvious listings of any document that has been added to their queue.

After VA personnel have used the contractor system to complete all the required data elements for claims establishment, they will use the VBMS system to manually establish the claim.

VA personnel shall be able to notify the contractor, per portal processing, that the exception for the particular document is resolved so that upload via the VBMS CMS can proceed.

All VA personnel authorized to view and update images and data in the contractor system shall be authenticated per the approved procedures per portal procedures.

VA personnel shall be able to exercise all required functionality in the contractor system without the need to modify the standard VA desktop configuration baseline.

The contractor system shall support all security requirements to remotely display personal identity information and personal health information to VA employees.

The contractor system shall include workflow management and queues to track the progress, measure performance, and identify exceptions in the processing of the material.

Performance and workflow management shall accommodate the ability for VA to monitor performance and assign work at the granularity of each of the 56 regional offices.

Performance management shall identify any document that has been in the VA Personnel queue for more than 2 days (configurable) via additional reporting capabilities in the contractor portal.

Workflow shall allow for geographic and role based assignment, and reassignment by VA personnel with elevated privileges in the contractor system.