

**VA Central California Health Care System
STATEMENT OF WORK**

File Room Outsource, Conversion and Repository Services

Contractor must provide for the transportation, conversion, storage, maintenance and delivery onto the VA Health System Wide Area Network (WAN) of a select set of patient health information documents in electronic form. All documents are to be identified through manual indexing or automated indexing which identifies each entry by patient, social security number, date of service and document type. The electronically available documents are to be transmitted via communication lines to the VA WAN. These HIPAA compliant document viewing capabilities must be secure, highly reliable, and available to authenticated VA users via a web browser.

Disaster Recovery

The contractor should assure seamless service with extensive disaster recovery and backup plans and procedures. In case of sudden loss of data communications and/or computer processing capability through disasters such as fire, water, explosion, or sabotage, critical business functions should continue to operate until normal processing capability is restored through a combination of: offsite backup for computerized data; utilization of redundant systems in the main processing locations, and processing via alternate power sources.

A “fault tolerant” computing environment should include services on a daily basis providing protection from power surges and outages.

Security

A high-level of security should be applied as documents are transported in enclosed, locked vehicles by the Contractor’s permanent staff. All vehicles are required to be secure at all time – whether parked or in transit – by having all windows closed and all doors locked.

All records in the Contractor’s possession must be secure, from the moment they leave VA’s site to document preparation and imaging to the transfer of indexed electronic images and data. Work must be performed in a secured area protected by key access reader technology and security monitoring cameras.

The viewer application should, based on user access permissions provide or deny the right access to view, print or fax a document.

The contractor’s security and technology processes should be based upon a security policy that meets VA standards and is checked from time to time. This policy should cover security roles and responsibilities, information classification, physical security, password policies, incident reporting, change control, data privacy, encryption, external connection guidelines, and similar topics. Data management and access procedures are to be compliant with industry standards. Encryption technologies should be used to transmit sensitive patient data to meet or exceed HIPAA standards. A chief security coordinator must oversee the security and audit team.

NARA Facility

The Contractor's commitment to security must be superior with a warehouse in compliance with 36 CFR 1228, subpart K, certified by the National Archives and Records Administration (NARA).

Contractor Responsibilities:

The Contractor is responsible for:

- (a) Transportation of records – direct employees
- (b) Prepping and Scanning of documents
- (c) The support of a customized user interface application, data base management, hardware and software purchase, support and upgrades of the centralized system, scanning, indexing and archiving of all selected electronic documents
- (d) Providing application services and electronic hosting of VA patient information. Application and hosting services include hardware and software, information retrieval and connectivity, data and document warehousing, administration, security, backup, disaster recovery and support

VA Responsibilities:

VA Health System is responsible for:

- (a) Generating Master Patient Information on a daily basis and ftp this data to the contractor for the verification of patient information
- (b) Distribution of electronic documents via their WAN System, purchase, maintenance and support of workstations
- (c) Collection of loose documents pertaining to the Patient Health Record. All this paper to be taken to a central location before the contractor picks up
- (d) The request, receipt, transfer and distribution of paper records for those cases in which a paper record is required

Providing Necessary Preparation And Re-Prep of Documents

Contractor must provide total document preparation which includes but may not be limited to the following activities:

- Removing pages from hanging file systems or prongs
- Organizing pages or papers; excluding duplicate pages
- Removing staples, paper clips, post-it notes or other obstructions
- Repairing damaged pages (tears, folds or shreds)

- A significant proportion of “odd sized” documents. This might include tri-fold or half sheets.
- Securing and mounting smaller than 8 ½” x 11” pages on white copy paper using transparent tape to display a consistent page orientation
- Stamping “Best Available” any document with possible image quality issues

Scanning Services

Contractor has the capacity to scan large volumes of documents (average of 2 million or 4 million pages per year) while maintaining high quality and swift turnaround. All documents scanned under this Service Proposal are to be viewed for quality and orientation. The pricing set forth for scanning includes document preparation, repair, and chart reassembly. The scanning turnaround time is twenty-four hours from the time of receipt.

Contractor should have:

- Capabilities to scan any type or size of document (up to 11” x 17”) and offer on-board image enhancement including cropping, de-skew, brightness, and contrast
- Ability to scan at least 120 pages per minute in simplex mode, resulting in images with resolutions up to 300 dpi
- Ability to scan documents for a final storage location of the Contractor’s repository or VISTA .
- Ability to scan documents for a final storage location of the Contractor’s repository or VISTA .Scan on Demand Service: The requested document by VA to be pulled from the inventory, scanned, indexed and archived.

Repository and Application Services

Contractor must be able to provide the following services:

Repository Services: Host and manage an Image repository of approximately 1000 GB on a storage device located at a redundant repository site in the United States of America, maintaining the standards of retrieval performance. Emergency retrieval and delivery of documents via scanning, faxing or paper delivery must be available.

Application Services:

The application to access multiple real-time patient medical records should:

- use .Net technologies and conform to “thin client” architecture standards
- be compliant with all versions of internet explorer higher than 5.5 and 2000 and XP
- use a “thin client” viewer to by-pass the need to install a viewer locally. The viewer should be enabled with the following new security features:

- An image cache path installed in the \Documents and Settings\local user directory path where all images are cached locally and deleted after each browser session
- During the browser session, any images stored locally in the image cache path should be encrypted.
- be enabled with frames scaling which allows users to see all application features using monitor settings from 800x600 up to 1280x1024
- be enabled with security event reporting, which should allow system administrators to track access to Sensitive Patient records, and a system audit trail which should allow system administrators to track all activity for all users of the application, including Login, Logout, View, and Print events, etc.

Indexing

Contractor to utilize a highly configurable, browser based application to assign index attributes to customer documents. All document types are to be identified through manual indexing or automated indexing which identifies each entry by patient, social security number, date of service and document type. Contractor identifies document type from a library of more than one thousand VA document titles. Contractor indexes documents based on VA requirements as specified from time to time. It may be required to identify a document by reading the text instead of relying on the document type. The application will need to be able to perform database lookups for patient attributes from the Master Patient Record feeds received from VA. The purpose of the feeds is to reduce the number of key strokes required to identify a patient record and improve accuracy of the indexed data. As the indexing process is complex and is not comparable to typical data entry or indexing processes, each document indexing event will be billed at the equivalent of 51 keystrokes.

Two cases of exceptions to be handled:

- Documents with missing information should be returned to VA
- Documents with invalid SSN or with no corresponding Master Patient Record should be accessed in VISTA and the correct SSN should be applied

A scalable, .NET architecture to support each document attribute requirements and a “thin client” compatible image viewer assuring HIPAA compliance via point-to-point image encryption and contributing to a zero client footprint application, should be used.

Vista Indexing

Contractor uses a Citrix application to connect into VA’s network. A document manager application, such as DSS can be utilized to access VA documents. Contractor indexes

documents [available](#) in VISTA based on VA requirements. Other VA applications can be accessed to attach any missing documents to a patient record, delete duplicate documents or forward documents to the exception queue.

Standard Quality Assurance

Contractor must have processes and practices which ensure high quality and accurate indexing. Each image is reviewed for quality and orientation when indexing is performed. Once documents have been imaged and index attributes assigned, a percentage of the total are to be routed to a QA queue for review. Documents that are unable to be fully indexed due to lookup failure or missing image data are to be routed to an Exception Queue that is optionally processed and resolved.

Patient Health Record (Paper) Storage

The maintained paper record may be retrieved as needed subject to workflow agreement with the facility. Paper records will not be requested for routine daily use because the record is available electronically. Contractor will store paper patient health records and scanned loose documents. Scanned loose documents are stored as batches and are not filed into patient health record folders.

Refiles

Returned paper files and boxes will be refiled by the end of each shift, but no later than 24 hours from the time of receipt.

Client Guide

A Client Reference Guide, explaining how to best use Contractor services, is provided to each department.

Paper Health Record Inventory

Contractor will maintain a current inventory of all paper records. The inventory includes patient full name, social security number and chart volume number. Records belonging to the VA that currently exist in a VA facility or an outside third party must be transitioned from their current place of storage to certified NARA facility. Record inventories are charged per patient health folder at the same rate as radiology patient jackets. The inventory for scanned patient health folders is included in conversion pricing. Inventory for records that are not covered (scanned) are charged at the equivalent of 51 keystrokes. This charge may exceed actual keystrokes because the process involves verification of information. This verification process increases the level of effort beyond simple indexing. Contractor will deliver and pickup patient health folders from VAPA as necessary.

Entry Fee

For paper records this fee includes entering the file attributes into Contractor's record tracking and inventory control system and the unpacking and shelving of records. File packing for paper records requires knowledge of the Federal Record Disposition program and is not included in the "Entry Fee" Transportation costs vary based on client distance from Contractor's NARA facility and are billed on an hourly basis under SIN #_51-506/#5 "Delivery Services".

Delivery Services

Contractor delivers and picks up records and new documents from the facility as necessary. Contractor relocates from Customer site to Contractor site. Includes charges for removal from Customer site, transportation and placement at Contractor's site.

Transition File Room Service

Contractor will facilitate the NARA file room transition for VISN 21 facilities. All records will be fully managed by Contractor in order to facilitate transition and compliance with the Transition File Room Service and Federal Records Retention & Disposition. Contractor will estimate disposition of boxes/linear feet on annual basis and provide projected costs for project, including relocation of records, storage, conversion, destruction and other disposition.

Program Management Services

Contractor will provide program management personnel who have an understanding of the VA Records Management system. The named Program Manager will provide a single point of contact for dealing with intake of new material, client education, and conversion requirements for new record type as well as general point of contact for the process. The Program Manager will:

- Train departments regarding storage processes, including procedures for storage and retrieval and customized labels for boxes sent to off-site storage.
- Provide labor to facilitate relocation of records to appropriate storage sites: National Archives, Federal Record Center, Contractor's NARA certified Record Center, or on-site storage.
- Facilitate conversion and user access to material held at the Contractor NARA Certified Record Center.
- Facilitate destruction of records beyond their VA specified retention period by notifying record custodians, obtaining required authorizations and destroying records.
- Inventory all boxes transitioned to Contractor Record Center.
- Contractor will provide an online ordering system that will allow users to order boxes electronically, document record type identification prior to submission, order labels for boxes and request record intake.

Emergency Scan-on-Demand

Contractor will have the capability to convert records to the image repository on an emergent basis or scheduled basis.

File Packing

As part of the Contractor's approach for providing backfile conversion services, Contractor will provide an on-site file packaging services. A Label format will be structured to follow the VA Records Management System. Contractor staff will sort and place documents into boxes for shipping as needed, labels will be provided at no charge.

Project Setup

Contractor will provide project management services to analyze, design and implement the required solution. A Functional Specification will be created where appropriate that would encompass all aspects of the project:

- types of records
- estimated number of boxes/linear feet of records for storage
- establish conversion of repository requirements for all record types
- estimated disposition of boxes/linear feet on annual basis
- projected costs for project, including relocation of records, storage, conversion, destruction and other disposition

Document Destruction by the box

If the original documents received for imaging or filming are no longer required in paper, Contractor will provide document destruction services. The document destruction service will include the shredding of all paper documents based on the retention period following the authorization of the VA record custodian.

Record Storage

Contractor will store boxes of records in a NARA certified facility. NARA's rigorous security and record protection requirements apply to all government agencies and vendors. According to subpart §1228.156(a), agencies are required to ensure that records in their legal custody are stored in appropriate space as outlined in the Code. Contractor will provide long-term or short term storage for records that do not require conversion to electronic form. The contractor certifies that all records are accessible on a 24-hour a day basis, 365/6 days per year.

The Record Center meets safekeeping standards- monitored and protected by security systems and smoke/heat detector systems in operation 24 hours per day. The Center is also sprinklered, and sprinkler systems are inspected on a semi-annual basis. Contractor is insured for third party goods, as well as loss of valuable papers due to water damage.

Record storage complies with the Code of Federal Regulations (CFR) and USC (United States Code).

Radiology Film Storage

Radiology film is to be securely stored in the Contractor's NARA certified facility. Film may be recalled either in electronic or analog form. If film is requested in electronic form it shall be transmitted in DICOM compliant mode.

Entry Fee

For radiology film transfers, this onetime fee includes packing, purging, transportation, and data entry of all patient information into the record tracking system.

Film Jacket Intake

As part of the film library intake process, Contractor will enter data identifying information from the film jacket including patient name, social security number and other information as requested by the VA facility from time to time. Contractor will then store film in a NARA certified facility.

Original Jacket and Contents Fee

Upon request from the contracting Customer, Contractor will retrieve the original jacket & its contents for pickup.

Emergency Paper Retrieval

Contractor will be capable of retrieving and delivering paper records on an emergent basis twenty four hours a day and three hundred sixty five days per year. Records may be delivered in Contractor owned and staffed vehicles, via facsimile, or via document version and archive to image repository.

RELEASE OF INFORMATION SERVICES

Contractor will employ experienced Release of Information technicians to work at a VISN 21 facility or remotely at Contractor's facility. Contractor shall provide training.

Duties, Practices and Procedures

The following describes the practices and processes that must be part of Contractor's Release of Information Services:

- when necessary, duplicating records from paper charts
- retrieving documents from electronic health records and saving to a CD
- distributing work created from duplicated Radiology images, if requested
- providing customer service to VA Veterans and associates

- provide back office services

Duplicating records from paper charts typically includes the following processes.

Actual steps may vary depending upon the client's unique requirements:

- receiving assembled records and matching with requests
- reviewing the request for verification that it meets client and legal requirements for release
- notifying client or requestor if the request is not compliant with defined requirements
- identifying what needs to be released in accordance with request
- disassembling the record and copying documents in accordance with request
- notating missing dates of service or reports not available as requested on the release
- reassembling the record and returning it to the appropriate designated individual for filing
- duplicating paper to paper or paper to electronic file for release on electronic media such as a CD
- preparing documents to be mailed from government mail facilities
- work flow monitoring and performance reporting

Service involving retrieving documents from electronic health records typically includes the following processes. Actual steps may vary.

- reviewing the request for verification that it meets client and legal requirements for release
- notifying client or requestor if the request is not compliant with defined requirements
- identifying what needs to be released in accordance with request
- inquiring the system to locate patient health history
- selecting various documents for printing or saving to electronic media such as a CD
- if printed to paper, checking printed documents to ensure successful printing
- if printed to paper, sorting printed documents in order of service date or other acceptable sort/organization
- identifying records or reports that appear to be missing
- preparing documents to be mailed from government mail facilities

Contractor's Customer Service capabilities should include the following processes.

Actual steps may vary depending upon the client's unique requirements:

- tracking requests in clients correspondence tracking system
- responding to requesters if authorizations are compliant with HIPAA, State and other Federal regulations
- ordering records and charts from filing, storage or other archiving facility
- distributing forms to physicians and clinical staff for purposes of disability, DMV, FMLA, and other legislative requirements

- corresponding with requesters when information requested is not specific enough to meet 'minimum necessary' requirements or if authorization is not valid
- answering phones
- looking up patient information
- logging records out or in
- pulling or refilling records
- assisting walk-in patients
- work flow monitoring
- provide back office service, follow-up clinical requests for non-VA records.
- training new staff and client set-up
- other services related to fulfilling ROI requests.

Provide back office services, capabilities should include the following processes. Actual steps may vary depending upon the client's unique requirements:

Duplicate paper to paper records at contractor's office.

Telephone follow-up of requests made to non VA medical facilities for records to support continuity of patient care.

Contractor will provide the requested number of trained staff. The VA will indicate the number of staff they need. Replacement staff will be provided for scheduled and unscheduled absences. Replacement staff will maintain skills with systems by arriving at one of the VA facilities for training on a weekly basis. Contractor will invoice monthly for Full time employees stationed at the VA facility or their replacement. Contractor will follow all of the Federal Regulations and Laws that relate to Release of Medical Information. Staffing requirements may change from time to time.

Contractor will bill for services on an hourly basis. The rate charged will be calculated as FTE full-services rate divided by 173 hours (Sin#51-501, Item#19).

General Contractor Responsibilities

Contractor Personnel Security Requirements

Contractor will obtain security clearances for all personnel who have access to VA records, whether in paper or electronic form. Employees must be cleared by VA security prior to starting VA related work which entails completion of the Questionnaire for Non-Sensitive Positions form and clearance via SIC-Security Investigations Center. Employees will then be processed for fingerprinting, once cleared via VA, New User Access Authorization will be provided to Contractor by VA. Contractor shall certify that all employees who do work for the VA have on file a confidentiality agreement. Further, Contractor shall have all employees participate in VA security training provided by the VA from time to time. Such training shall be offered at the Contractor site. Contractor shall bear the expense of employee wages during such training.

Contractor employs sufficient number of cleared staff members to ensure that all work process included in the statement of work can be performed. Contractor shall provide each employee an

identification badge which shall be displayed on the outer garment at all times. The badge shall include, as a minimum, the employee's name and position title, and the Contractor's trade name.

Contractor must possess all licenses, permits, accreditation and certificates as required by law. The Contractor shall perform the required work in accordance with Joint Commission on Accreditation of Hospital Organizations (JCAHO), Veterans Health Administration (VHA) and other regulatory standards. JCAHO standards may be obtained from:

**Joint Commission on Accreditation of Healthcare Organizations
One Renaissance Blvd
Oakbrook Terrace, IL 60181**

Contractor shall bear the expense of obtaining background investigations from recruited personnel, including replacement personnel. Contractor shall pre screen all personnel requiring access to the computer systems to ensure they maintain a U.S. citizenship or legal alien status and are able to read, write, speak and understand the English language.

Contractor shall provide compensation to personnel, including wages, health insurance, paid time off and holiday pay consistent with VA schedule.

For staffing services, Contractor will bill for worked days on a monthly basis. Contractor will maintain supporting detail to billable units.

Contractor shall agree that all deliverables, associated working papers, and other material deemed relevant by the contractor in the performance of this task order are the property of the United States Government. Contractor shall agree that all individually identifiable health information shall be treated with the strictest confidentiality. Access to records shall be limited to essential personnel only. Records shall be secured when not in use. At the conclusion of the contract all copies of individually identifiable health records shall be destroyed or returned to the VA. Any individually identifiable health records shall be deleted from computers not belonging to the VA. The contractor shall comply with the Privacy Act, 38 U.S.C. 5701, 38 U.S.C. 7332, and 5 U.S.C. 552(a) et. Seq. Contractor staff shall sign confidentiality statements as required. Contractor shall comply with all provisions of the Health Information Portability and Accountability Act (HIPAA) including but not limited to privacy, security of electronic health data, and adherence to standards and code sets as required by HIPAA. Contractor shall insure the confidentiality of all patient and employee information and shall be held liable in the event of breach of confidentiality. Contractor staff must sign confidentiality statements as required. Any person, who knowingly or willingly discloses confidential information from the VA, may be subject to fines.

END OF STATEMENT OF WORK