



SUBORDINATE CONTRACT MA-063-11011435

ATTACHMENT A

REVISED SCOPE OF WORK

Purpose

The purpose of this agreement is for the contracted source (Contractor) to convert the paper case files of CalWORKs and Welfare to Work (WTW) cases in the Family Self Sufficiency (FSS) Division of Social Services Agency (SSA) into digital images for import to the County's imaging System known as "On Base" through the following steps: case file preparation, scanning, indexing, validating a portion of those electronic files and retaining the data on USB drive.

Background

FSS continues to search for ways to support our business process, including: maintaining focus on client engagement and case management; focus on maximizing the work participate rate; and focus on quality assurance and staff accountability, all in order to meet Federal and State performance mandates. One of the ways identified to support our processes is through the use of electronically imaged cases. The use of an electronic environment will lead to quicker, more efficient access to cases by assigned County staff as well as relevant contracted partners. FSS is seeking to join an existing environment that has already been developed for and implemented by the Assistance Programs Division in SSA.

Project Overview

The Contractor will be responsible for scanning, indexing and quality assurance (QA) for designated case files within the County as well as nightly delivery of imaged data on USB drive to the Data Center.

The Contractor will image approximately 7,302,463 pages (37,245 case files) over a 4-month period beginning February 1, 2011 and ending May 31, 2011.

PROJECT SCOPE OF WORK

I. Project Management

1. Contractor will work with County designated representatives to confirm the baseline project plan and associated tasks to complete the electronic case file imaging process.

II. Ongoing Project Management

1. Imaging will be completed in one distinct phases, at a central location.
2. Contractor will follow-up and escalate as necessary to ensure completion of task on time and on budget.

A. Design, Implementation and Staffing Detail

Contractor shall:

1. Provide their own imaging equipment and staff to meet the imaging volume and 4-month time frame timeline.
2. Have an on-site supervisor at all times.
3. Ensure staff signs and adheres to SSA's confidentiality statements and policies.



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4. Develop a system to control, monitor and track case file movement through the entire imaging process, this includes a process for “emergency requested” case files that need to be pulled from a file box prior to imaging.
5. Scan and Index all pages in case folder.
6. Index & QA 5% of all cases within a batch and retain pages by rubber banding by case file until the County has completed QA of no less than 15% imaged documents. QA by the County is to be completed by the end of the next business day from time of the delivery of the images to the Data Center.
7. QA will consist of being readable, properly aligned for end user viewing, and retrievable.
8. Folders will be placed back into the original box in the same order received. Upon completion of scanning and boxes are released to the OnBase system the contractor will release the boxes to the County to perform their final review. The County will be responsible for moving the boxes to the final location for storage prior to destruction. The County will handle all activities related to destruction. .

B. Technical Requirements:

1. Contractor will batch “Imaged Indexed Files” on an encrypted portable USB storage drive and deliver the “imaged” drive to the Data Center (1400 S. Grand / Santa Ana, CA. 92705) nightly for upload to the On Base system by the Data Center night operations.
2. Contractor will be limited to working Monday – Friday 6:30 AM – 5:30 PM with no option for working on weekends or after hours.
3. Contractor will provide a transmittal sheet for each USB drive. The transmittal will provide SSA with a “Custody of Record” and list of cases on the USB drive. The following fields will also be contained on the drive:
 - List of case numbers
 - Names
 - Region
 - Program
 - Date and batch number.
4. Contractor will use data shredding at the end of each cycle of reuse of storage, to ensure no data is left behind.
5. SSA will provide the “Keyword” format to the contractor in order for the contractor to correctly index imaged documents.
6. Orange County Enterprise Data Center will commit documents to On Base through the nightly upload at the Data Center and return downloaded USB drive to contractor on a next-day flow basis.
7. Contractor will return downloaded USB drive to the onsite contact for that USB drive.
8. Contractor will provide own resources to complete all work ‘Off Line’ without utilizing existing County local area network resources or wide area network links to the Data Center
9. County will prepare all folders to make them scanner ready. This includes items such as: inserting separator sheets to identify document types, removing staples, removing sticky notes, taping small documents to a larger paper, and properly orientating pages for scanning.

C. Active Case Imaging Security Requirements:

The California Department of Health Care Services (DHCS) has recently established security requirements pertaining to the use, access and disclosure of Medi-Cal Personally Identifiable Information (PII). Since SSA case files contain this and other confidential welfare client information, these requirements must be adhered to by any Contractor (and subcontractor) staff who engages in active case scanning for SSA. **If these requirements change during the course of this engagement, SSA will notify and work with the Contractor to ensure compliance with the new requirements.**



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Privacy and Confidentiality Statement: The California Department of Health Care Services (as well as Welfare and Institutions Code section 14100.2 and 42 Code of Federal Regulations section 431.300 et.seq.) requires that those who have access to Medi-Cal Personally Identifiable Information (PII) sign a confidentiality statement.

- All Contractor staff who have access to this data during this work must read and sign SSA's standard Welfare Client Information confidentiality statement.

Physical Security: DHCS requires that "Medi-Cal PII is used and stored in an area that is physically safe from access by unauthorized persons..." and that we must "...safeguard Medi-Cal PII from loss, theft or inadvertent disclosure...". The requirements include the need to secure these areas, ensure only authorized personnel have physical access to these areas, and to store paper records with Medi-Cal PII in locked spaces.

- The Contractor must submit a plan detailing how it will provide physical security for SSA data while the data is in its possession. The plan must cover all phases of the data processing, including but not restricted to collecting, scanning and temporarily storing physical cases, and storing and transporting the scanned data. After obtaining SSA approval for their physical security plan, the Contractor must implement and maintain the physical security procedures during the entire engagement. In addition, they must report any breaches of security as outlined below.

Encryption of SSA case data: DHCS requires we: "Encrypt all electronic files that contain Medi-Cal PII when the file is stored on any removable media type device...using a ... product that is recognized as an industry leader in meeting the needs for the intended solution..." and also: "Encrypt workstations where Medi-Cal PII is stored using a ... product that is recognized as an industry leader in meeting the needs for the intended solution..."

- The Contractor must use an SSA-approved product to encrypt all SSA data to the Advanced Encryption Standard with 256 bit keys (AES-256) while the data is stored on Contractor media. In addition, if the Contractor uses a password to protect the encrypted data, it should be a complex password (minimum of 8 character, upper + lower case letter + #'s + special characters).

Wiping all PII Data from Contractor Media:

DHCS requires that we: "Ensure that all Medi-Cal PII is wiped from systems when the data is no longer legally required. The County Department (SSA) shall ensure that the wipe method conforms to Department of Defense standards for data destruction."

- Upon completion of case scanning and final transfer of electronic data to the Orange County Enterprise Data Center from the last SSA site, the Contractor must use an SSA-approved disk-wiping solution to completely and permanently remove all SSA data from all Contractor media. This must be verified by SSA staff before the media can be removed from SSA premises at the end of the job.

Notification and Investigation of Breaches: DHCS requires we: "Notify DHCS immediately by telephone call or e-mail upon the discovery of a breach of security of Medi-Cal PII in computerized form if the PII was, or is reasonably believed to have been, acquired by an unauthorized person; or within 24 hours by telephone call or e-mail of discovery of any other suspected security incident, intrusion, loss or unauthorized use or disclosure of PII in violation of this Agreement or the law".

- The Contractor will immediately notify a designated SSA representative verbally (and in writing) of any breaches of security.

D. Other Contractor Requirements:

1. Develop a Quality Control process to meet the performance measures.
2. Use Separator sheets (barcodes) provided by the County.
3. Provide own:
 - Software for case files being imaged and ensure that it is useable by OnBase.
 - Boxes and equipment, such as dolly, for movement of case files.



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- Box labels and forms for control, tracking and inventory purposes.
 - Desktop personal computers.
 - High-speed scanners for imaging.
 - Desktop copier machine & scanner for Quality Control repair.
 - Provide all other necessary equipment and supplies to complete the imaging process.
 - Provide portable USB drives for the duration of the project
4. Cost of scanning and indexing per page.
 5. Cost per day, for the gathering and delivery of case files to the designated imaging area.
 6. Resource plan for completing this job in a 4-month time frame, including:
 - Number of shifts and hours per day.
 - Number of staff per shift.
 - Number of documents scanned and committed per shift.
 - Number of desktop personal computers.
 - Number of high-speed scanners for imaging.
 - Number of desktop scanners for Quality Control repair.
 - Size of room required to fit all equipment and staff.
 7. Provide any environmental specifications for the imaging room such as electric and IT connection needs
 8. Provide total cost for imaging case files.
 9. Need security and disaster recovery back-up plans.
 10. Plans for importing imaged files onto a USB Drive and delivery to the Data Center.
 11. Clearly identify plan for Quality Assurance process including 5% of pages to review.
 12. Provide Company history and experience in imaging.
 13. Provide References
 14. Perform a "proof of concept" testing within two weeks of the actual start date
 15. All Contractors' employees shall be required to wear identification furnished by contractor and must be worn at all times while working on County property.
 16. All Contractors' employees must report to Regional Coordinator or designated coordinator upon arrival to sign in and sign out prior to departure.

E. Performance Measures:

1. Contractor will develop a performance measure and timeline table to meet County expectations of pages to be scanned within a designated 4-month time period.
2. The number of pages imaged per day will measure contract performance.
3. Performance standards are met by collaboration between contractor and the County designated representative.
4. County and contractor may evaluate the effectiveness of the measures established in the statement of work within 45 days of the effective date of the agreement. Benchmarks may be amended by mutual agreement between the designated representatives of this agreement.

F. Progress Report and Payments

1. Progress Report:

At each phase, the contractor will provide a County designated person via e-mail, a daily report of the total number of pages imaged and put on the USB drive per work shift for the first week. After the first week, the contractor will provide weekly reports each Monday of the number of pages imaged and put on the USB drive the prior week. Weekly or daily meetings will be scheduled between the



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contractor's imaging supervisor and designated County staff to discuss the progress of imaged documents and any barriers.

2. **Payments:** (For payment terms & conditions, see Articles/3. Compensation & Payment)
 - Progressive monthly payments includes case prepping; scanning, indexing and daily delivery of USB drive to Data Center of all designated cases at that identified location.
 - Once all case files have been imaged and committed to the County imaging system, Contractor shall deliver a final invoice.
 - All invoices must be submitted to the County for payment no later than June 15, 2011.

G. Resources to be Provided by the County:

1. Furniture:
 - Chair and table for Scanning stations and clerks
 - Chair and table for Index/QC clerks
 - Chair and table for Site Supervisor
2. Adequate and secure workspace to accommodate Contractor workers, scanning stations, PC's, ancillary equipment, and a staging area for file boxes ready to be scanned. Additionally an area will be provided to store scanned boxes until they are ready for destruction.
Note: Specific room at each location for imaging process - to be determined.
3. County QA person that performs daily QA functions approving all previous day's work on a daily basis.
4. On-site contact person.
5. Parking at no cost for on-site Contractor employees at any designated location.
6. County will ensure that documents are prepared and made available to Contractor so that Contractor on-site employees have adequate work and are not standing idle. If idle time is encountered due to lack of documents, the time will be charged at the prep rate.
7. Provide Contractor personnel with security badges for entry into the buildings.

H. Additional Work:

Contractor will image an additional estimated 13,907,820 pages (80,625 case files with an estimated 150 pages per case file). The additional imaging will be performed on closed case files that are placed in permanent County storage. The CalWORKs program mandates that no CalWORKs cases can be destroyed at any time, therefore, the imaging process will free up storage space that is in short supply. Additionally, cases that may be re-opened or needed for review in any legal action will be more readily accessible once imaged into the On Base system.

The imaging will be completed on site, at the closed files storage facility at 1505 E. Warner Ave; Santa Ana, CA, 92705, and will be processed parallel with the initial project.

All the requirements from the current Scope of Work shall remain the same as previously established, in that the Contractor will be responsible for scanning, indexing and quality assurance (QA) for designated case files within the County as well as nightly delivery of imaged data on USB drive to the Data Center.