

4 THE BUSINESS OWNER'S VIEW: FUNCTIONAL DECOMPOSITION AND ALLOCATION

This chapter decomposes the VA's major Enterprise Business Functions (EBFs) and the Key Enabling Functions (KEFs) described in the previous chapter into subfunctions that describe smaller, more atomic activities.

Sections 4.1 through 4.15 describe subfunctions of each major EBF and KEF, conveying what subset of the overall function the subfunction accomplishes. The descriptions are presented from the Business Owner's viewpoint, describing functions that need to be performed, encompassing both the current (baseline) and desired (target) environments for IT systems across the Department. There are a few select cases where both environments are explicitly discussed; such cases are identified in the appropriate subsection. EBFs may utilize KEF functions and subfunctions to accomplish their functions (e.g., VBA Account Management subfunctions utilize subfunctions from the Finance and Accounting KEF).

Section 4.16, "Registration and Eligibility," and section 4.17, "Contact Management," describe new KEFs which are opportunities for Functional Consolidation and Integration. In these cases the effect on process is depicted: baseline and target processes are shown. Another opportunity for Functional Consolidation and Integration, "Supplier Management," fits into the existing Finance and Accounting KEF and is described in section 4.11.10.

In addition to the opportunities for Functional Consolidation and Integration, this EA identifies several opportunities for Infrastructure Consolidation and Integration. These opportunities fit into existing EBFs and KEFs, and are described in subsection 4.8.3.1, "VHA Health Data Repository," subsection 4.13.1, "Cyber Security," subsection 4.13.2, "Network Communication/Telecommunication," and subsection 4.13.3, "Data Center Coop."

Each of the Consolidation and Integration opportunities highlighted above provides the benefits of enhancing the quality of the services provided by VA, increasing flexibility of the overall EA, and, with one possible exception, reduces long term costs through elimination of duplication of systems and services and centralization of operational support (e.g., through economies of scale). The possible exception is the area of Cyber Security, where the focus is on Cyber Security (to include infrastructure support for privacy); however even in this opportunity when the cost of not having adequate security or privacy is considered then there is a positive cost benefit to this consolidation opportunity as well.

The topics of security and privacy as part of this Enterprise Architecture are addressed in the subsection describing Information Technology functionality. In particular, section 4.13.1 is devoted to these topics.

Each EBF/KEF subfunction has an accompanying table that contains information on "Associated Data Classes." The table defines data classes holding key information either required by the subfunction and/or produced by the subfunction for later use or for use by other subfunctions. This information is important to capture so that "process threads" – chains of subfunctions that perform a larger function – can be accurately defined and represented, and to assist in identifying

areas within the enterprise where there is redundancy and/or conflict that may present an opportunity for consolidating and integrating functions and/or subfunctions across the enterprise.

For greater understanding of data class usage, the Associated Data Class tables include a column entitled “CRUD”, standing for “Create”, “Read”, “Update”, and “Delete.” A “C”, “R”, “U”, “D”, or any combination indicates how the data class is used by the subfunction. This information aids in understanding where in the enterprise information is generated (“Create”), used (“Read”), modified (“Update”), or removed (“Delete”). This information assists in creating accurate process threads, for example by ensuring that information needed by a process thread subfunction is either generated within the thread or is a recognized input to the thread generated from outside the thread.

The result of this analysis clearly shows that there is significant duplication across the enterprise. The identified duplications indicate a future opportunity for integrating and consolidating them. More immediate priorities, such as Registration and Eligibility and Contact Management, are explored in later subsections of this section. Other opportunities will be identified, prioritized, and addressed as an ongoing process to further refine and streamline the VA enterprise in subsequent fiscal years and in subsequent updates to this One-VA Enterprise Architecture.

4.1 Compensation

The following section provides a detailed decomposition of the existing functions and subfunctions pertaining to Compensation. The Compensation program assists veterans who have suffered a loss or a reduction of earning potential because of service-connected disabilities. The program also compensates the spouses and dependents of veterans whose deaths occur due to service-connected disabilities.

4.1.1 Subfunction 1: Eligibility Determination

This subfunction focuses on the receipt, evaluation and first payment for all original claims. Eligibility determination encompasses the following processes:

- Establishing facts of service.
- DOD provides service member data at start of service (creates Beneficiary Identification and Resource Locator System (BIRLS) record).
- DOD sends DD214 when separation occurs (to Austin).
- Veteran applies for compensation benefits.
- Via mail, in person, online.
- Create pending issue file (CEST) for veteran development.
- Develop CEST from BIRLS information.
- Request sent to Records Management Center (RMC).
- Personnel Information Exchange System (PIES) request to archived information.
- Physical exam of veteran.
- Compile other medical records.
- Rating board makes decision on service connection of disability.

- Case goes to veteran's service representative to create award based on case-specific circumstances.
- Letter of notification sent to veteran and representative.

Associated Data Classes		
Title	Description	CRUD
Veteran Personal Data	All personal information for a veteran used in supporting benefits distribution, including, but not limited to: <ul style="list-style-type: none"> • Name and address • SSN • Family/dependents • Marital status • Medical status • Death information 	CRU
Service Data	Information on a veteran's service record provided by DOD (e.g., DD214 or equivalent), and provided to VA by other sources (frequently during development or claims)	RU
Veteran Medical Records	Information on the state of a veteran's health, prior medical history, prior care and procedures, available from DOD, VA/VHA, and other sources	RU
Police records concerning injury	<ul style="list-style-type: none"> • Incarceration at federal, state or local facility. • Fugitive felon status. • Investigative reports for some accident. 	R
Guardian information	<ul style="list-style-type: none"> • Court proceedings of guardianship • Field examinations • Appointment and bonding of fiduciaries • Annual accountings • Records of supervisory visits and how the visit was conducted • Estate information 	R

Associated Data Classes		
Title	Description	CRUD
Account Information: Disability Compensation	<p>Specific information related to a veteran's account with a VA program, which is used to support the delivery of services to the veteran and management of the overall program. Information will include (where appropriate):</p> <ul style="list-style-type: none"> • Name (identity) of the veteran (to link to personal data) • Case/account number • Name (identity) of beneficiary • Veteran contact history • Eligibility determination information • Benefit entitlement information • Payment information and history 	CRU

4.1.2 Subfunction 2: Account Maintenance

This subfunction includes activities associated with account maintenance and payment of supplemental claims:

- Keep payment information up to date
 - Name (and change)
 - Address
 - Electronic Funds Transfer (EFT) Information
- Process claims for increase in disability
 - Claim development
 - Rating board review
 - Veterans Service Representative (VSR) award calculation
 - Notification
- Track changes in dependency status

Associated Data Classes		
Title	Description	CRUD
Veteran Personal Data	All personal information for a veteran used in supporting benefits distribution including, but not limited to: <ul style="list-style-type: none"> • Name and address • SSN • Current occupation • Salary and financial information • Family/dependents • Marital status • Medical status • Death information 	RU
Service Data	Information on a veteran's service record provided by DOD (e.g., DD214 or equivalent), and provided to VA by other sources (frequently during development or claims)	RU
Veteran Dependent Data	All personal information for a veteran's dependents and family members used in supporting benefits distribution including, but not limited to: <ul style="list-style-type: none"> • Name and addresses • SSN • Relationship to veteran • Medical status 	RU
Veteran Medical Records	Information on the state of a veteran's health, prior medical history, prior care and procedures, available from DOD, VA/VHA, and other sources	RU
Police records concerning injury	<ul style="list-style-type: none"> • Incarceration at federal, state or local facility • Fugitive felon status • Investigative reports for some accidents 	R
Guardian information	<ul style="list-style-type: none"> • Court proceedings of guardianship • Field examinations • Appointment and bonding of fiduciaries • Annual accountings • Records of supervisory visits and how the visit was conducted • Estate information 	R

Associated Data Classes		
Title	Description	CRUD
Federal agency data (non-sensitive)	Veteran-specific information from other agencies, e.g., SSA, DOD, used in assessment of benefits claims, fraud detection, and other purposes.	R
Federal Agency Data (sensitive)	Veteran-specific information from other agencies (e.g., IRS), of a highly sensitive/confidential nature used in assessment of benefits claims, fraud detection, and other purposes. This information will require special handling and protection.	R
Account Information: Disability Compensation	Specific information related to a veteran's account with a VA program, which is used to support the delivery of services to the veteran and management of the overall program. Information will include (where appropriate): <ul style="list-style-type: none"> • Name (identity) of the veteran (to link to personal data) • Case/account number • Name (identity) of beneficiary • Veteran contact history • Eligibility determination information • Benefit entitlement information • Payment information and history 	RU

4.1.3 Subfunction 3: Program Integrity

Program integrity is primarily the detection and prevention of fraud by claimants and staff in claims processing. There is a responsibility for reviewing internal controls to ensure accountability against fraud. The following activities are part of this process:

- Code 18 review: checks employment history of recipients
- Matching programs: checks against other agency records on veteran financial status
- Prison matches and fugitive felons
 - IRS (financial)
 - DOD (on reserve activity)
 - SSA (on death notices)
- Routine Futures: scheduling exams for cases for which improvement is expected
- Managerial oversight/approval of awards over \$25,000 made through regional offices
- Perform data integrity on regional office activities
- Address checking with postal records

Associated Data Classes		
Title	Description	CRUD
Veteran Personal Data	All personal information for a veteran used in supporting benefits distribution including, but not limited to: <ul style="list-style-type: none"> • Name and address • SSN • Current occupation • Salary and financial information • Family/dependents • Marital status • Medical status • Death information 	R
Service Data	Information on a veteran's service record provided by DOD (e.g., DD214 or equivalent), and provided to VA by other sources (frequently during development or claims)	R
Veteran Dependent Data	All personal information for a veteran's dependents and family members used in supporting benefits distribution including, but not limited to: <ul style="list-style-type: none"> • Name and addresses • SSN • Relationship to veteran • Medical status 	R
Police records concerning injury	<ul style="list-style-type: none"> • Incarceration records at the federal, state and local level • Fugitive fell records at the federal, state and local level 	R
Guardian information	<ul style="list-style-type: none"> • Annual accounting • Field examination 	R
Federal agency data (non-sensitive)	Veteran-specific information from other agencies (e.g., SSA, DOD) used in assessment of benefits claims, fraud detection, and other purposes.	R
Federal Agency Data (sensitive)	Veteran-specific information from other agencies (e.g., IRS) of a highly sensitive/confidential nature used in assessment of benefits claims, fraud detection, and other purposes. This information will require special handling and protection.	R

Associated Data Classes		
Title	Description	CRUD
Veteran Medical Records	Information on the state of a veteran's health, prior medical history, prior care and procedures, available from DOD, VA/VHA, and other sources	R
Case Information	Detailed information on VA employee and office involvement in the treatment and resolution of a veteran's case in a benefits decision (used for STAR sheets)	R

4.1.4 Subfunction 4: Appeals

This subfunction includes activities associated with claimant appeals. Claimants have the right to appeal VA's decisions. The following activities are part of this process.

- VA receives Notice of Disagreement (NOD) from veteran
- Board of Veteran's Appeals and Regional Office (RO) track case after NOD received
- Decision Review Officer (DRO) performs review and issues new decision, at Regional Office
- Board of Veterans Appeals (BVA) receives case, also reviews and issues decision, including DRO action, using entire claims file (sustain, reverse, remand)
- Control cases for 150 days following BVA decision for possible appeal to the Court of Appeals of veteran claims.

Associated Data Classes		
Title	Description	CRUD
Veteran Personal Data	<p>All personal information for a veteran used in supporting benefits distribution including, but not limited to:</p> <ul style="list-style-type: none"> • Name and address • SSN • Salary • Current occupation • Salary and financial information • Family/dependents • Marital status • Medical status • Death information 	R

Associated Data Classes		
Title	Description	CRUD
Service Data	Information on a veteran's service record provided by DOD, e.g., DD214 or equivalent, and the following: <ul style="list-style-type: none"> • Reserve and Guard participation • Retired pay or severance pay • Hazardous agent exposure 	R
Veteran Dependent Data	All personal information for a veteran's dependents and family members used in supporting benefits distribution including, but not limited to: <ul style="list-style-type: none"> • Name and addresses • SSN • Relationship to veteran • Medical status 	R
Eligibility Determination Data	Information compiled by a VA organization used in deciding on an applicant's eligibility for a program benefit, and in assessing the level of benefit.	R
Federal Agency Data (non-sensitive)	Veteran-specific information from other agencies (e.g., SSA, DOD) used in assessment of benefits claims, fraud detection, and other purposes.	R
Federal Agency Data (sensitive)	Veteran-specific information from other agencies (e.g., IRS) of a highly sensitive/confidential nature used in assessment of benefits claims, fraud detection, and other purposes. This information will require special handling and protection	R
Veteran Medical Records	Information on the state of a veteran's health, prior medical history, prior care and procedures, available from DOD, VA/VHA, and other sources	R

Associated Data Classes		
Title	Description	CRUD
Account Information: Disability Compensation	<p>Specific information related to a veteran's account with a VA program, which is used to support the delivery of services to the veteran and management of the overall program. Information will include (where appropriate):</p> <ul style="list-style-type: none"> • Name (identity) of the veteran (to link to personal data) • Case/account number • Name (identity) of beneficiary • Veteran contact history • Eligibility determination information • Benefit entitlement information • Payment information and history 	RU
Police records concerning injury	<ul style="list-style-type: none"> • Incarceration at federal, state or local facility • Fugitive felon status • Investigative reports for some accidents 	R
Guardian information	<ul style="list-style-type: none"> • Court proceedings of guardianship • Field examinations • Appointment and bonding of fiduciaries • Annual accountings • Records of supervisory visits and how the visit was conducted • Estate information 	R

4.1.5 Subfunction 5: Outreach

Title 38 requires VA to inform veterans, service personnel, reservist, dependents and other eligible persons about all VA benefits he/she may be eligible to receive. The Outreach program is designed to provide this information, as well as any changes to this information, through many different mediums. These include briefings to service personnel before and upon separation, mail outs, web sites, etc. Functions within this area include:

- Termination from active duty triggers mailing of Veterans Assistance Discharge System (VADS) package -- For all VA benefits.
- Transition Assistance Program (TAP), Disability TAP (DTAP) briefings at separation.
- General information distribution when veteran contacts VA.
- Compensation program – specific outreach to individual veterans, e.g., Agent Orange, Gulf War, other special categories.
- In-person outreach: VA representatives attend public/veterans group events

- Use of selected media.
- Initial mailings through VADS and initial outreach under "veterans right to know act."

Associated Data Classes		
Title	Description	CRUD
Veteran Personal Data	<p>All personal information for a veteran used in supporting benefits distribution including, but not limited to:</p> <ul style="list-style-type: none"> • Name and address • SSN • Current occupation • Salary and financial information • Family/dependents • Marital status • Medical Status • Death information 	R
Service Data	Information on a veteran's service record provided by DOD (e.g., DD214 or equivalent), and provided to VA by other sources (frequently during development or claims)	R
List of veterans from DOD, VHA	<p>Specific lists of veterans from DOD to include:</p> <ul style="list-style-type: none"> • In country Vietnam veterans • In country Southwest Asia veterans • POWs • Chemical exposure individuals • Current Records • Similar types of records <p>Specific lists from VHA to include all of the registers such as the Agent Orange register, tumor register, homeless veteran rosters, etc.</p>	R
Federal Agency Data (non-sensitive)	Veteran-specific information from other agencies (e.g., SSA, DOD) used in assessment of benefits claims, fraud detection, and other purposes	R

4.1.6 Subfunction 6: Customer Service

The Compensation Service provides program and claim information to program participants and

others seeking information about the compensation program. These activities include:

- Support for incoming 800 calls to regional offices
- Coordination with States on State-level benefits for disabled veterans
- Incoming emails from Consumer Affairs and Regional Office web sites
- Walk-in at Regional Offices

Associated Data Classes		
Title	Description	CRUD
Eligibility Information Data	Information compiled by a VA organization used in deciding an applicant's eligibility for a program benefit, and in assessing the level of benefit.	CRU
Account Information: Disability Compensation	Specific information related to a veteran's account with a VA program, which is used to support the delivery of services to the veteran and management of the overall program. Information will include (where appropriate): <ul style="list-style-type: none"> • Name (identity) of the veteran (to link to personal data) • Case/account number • Name (identity) of beneficiary • Veteran contact history • Eligibility determination information • Benefit entitlement information • Payment information and history 	CRU

4.1.7 Subfunction 7: Program Management

Many activities are required to run benefits programs. The activities include:

- Statistical and Technical Accuracy Report (STAR)
- Physical folder review
- Quality assurance
- Station Surveys on Regional Office operations
- Cooperation with Census on veterans issues
- Analysis of BIRLS information
- Budget formulation
- Customer surveys
- Provides financial cost inputs to legislation
- Employee Training and Development
- Recommendation tracking on Inspector General (IG)/GAO/other actions
- Inter-department Liaison (DOD, SSA, DOJ, other countries)

Associated Data Classes		
Title	Description	CRUD
Veteran Medical Records	Information on the state of a veteran's health, prior medical history, prior care and procedures, available from DOD, VA/VHA, and other sources	R
Veteran Personal Data	All personal information for a veteran used in supporting benefits distribution including, but not limited to: <ul style="list-style-type: none"> • Name and address • SSN • Current occupation • Salary and financial information • Family/dependents • Marital status • Medical Status • Death information 	R
Service Data	Information on a veteran's service record provided by DOD (e.g., DD214 or equivalent), and provided to VA by other sources (frequently during development or claims)	R
Case Information	Detailed information on VA employee and office involvement in the treatment and resolution of a veteran's case in a benefits decision (used for STAR sheets)	R
Economic and Demographic Projections	Market, demographic, macro and micro-economic, historical usage and other data statistics, and analyses used to support long range forecasts, projections, and assessments of VA benefits and claims volumes, program costs and funding requirements, legislation development, and other strategic program management functions.	R
Workload and Budget Forecasts	Long range forecasts, projections, and assessments of VA benefits and claims volumes, program costs and funding requirements which support legislation development, and other strategic program management functions	CRU
Case Information	Detailed information on VA employee and office involvement in the treatment and resolution of a veteran's case in a benefits decision (used for STAR sheets)	R

4.2 Pension

Pension benefits are provided to eligible veterans or survivors based on need. Veterans who have served on active duty during a designated wartime period and who have sustained permanent and total disability and who have income below a certain level may receive pension benefits. Survivors of wartime veterans can also apply for and receive survivor benefits, if they meet the income, net worth and relationship criteria of the law.

4.2.1 Subfunction 1: Eligibility Determination

This subfunction focuses on the receipt, evaluation and first payment for all original claims. Eligibility determination encompasses the following processes:

- Establishing facts of service:
 - DOD provides service member data at start of service (creates BIRLS record)
 - DOD sends DD214 when separation occurs (to Austin).
- Veteran applies for pension benefits:
 - Via mail, in person, online.
- Create pending issue file (CEST) for veteran development:
 - Develop CEST from BIRLS information
 - Request sent to RMC
 - PIES request to archived information
 - Physical exam of veteran
 - Compile other medical records
- Rating Board makes decision on service connection of disability.
- Case goes to Veterans Service Representative to create award based on case-specific circumstances.
- Letter of Notification sent to veteran and representative.

Associated Data Classes		
Title	Description	CRUD
Veteran Personal Data	<p>All personal information for a veteran used in supporting benefits distribution including, but not limited to:</p> <ul style="list-style-type: none"> • Name and address • SSN • Current occupation • Salary and financial information • Family/dependents • Marital status • Medical Status • Death information 	CRU

Associated Data Classes		
Title	Description	CRUD
Service Data	Information on a veteran's service record provided by DOD (e.g., DD214 or equivalent), and provided to VA by other sources (frequently during development or claims)	RU
Account Information: Non Service Connected Pension	Specific information related to a veteran's account with a VA program, which is used to support the delivery of services to the veteran and management of the overall program. Information will include (where appropriate): <ul style="list-style-type: none"> • Name (identity) of the veteran (to link to personal data) • Case/account number • Name (identity) of beneficiary • Veteran contact history • Eligibility determination information • Benefit entitlement information • Payment information and history 	CRU
Veteran Medical Records	Information on the state of a veteran's health, prior medical history, prior care and procedures, available from DOD, VA/VHA, and other source	RU
Police records concerning injury	<ul style="list-style-type: none"> • Incarceration at federal, state or local facility • Fugitive felon status • Investigative reports for some accident 	R
Guardian information	<ul style="list-style-type: none"> • Court proceedings of guardianship • Field examinations • Appointment and bonding of fiduciaries • Annual accountings • Records of supervisory visits and how the visit was conducted • Estate information 	CRU

4.2.2 Subfunction 2: Account Maintenance

This subfunction includes activities associated with account maintenance and payment of supplemental claims.

- Keep payment information up to date:
 - Name (and change)
 - Address

- EFT
- Process claims for increase in disability
 - Claim development
 - Rating board review (limited to incompetence and claims from veterans under age 65 not in a nursing home and/or not found disabled by social security)
 - VSR award calculation
 - Notification
- Track changes in dependency status

Associated Data Classes		
Title	Description	CRUD
Veteran Personal Data	All personal information for a veteran used in supporting benefits distribution including (but not limited to): <ul style="list-style-type: none"> • Name and address • SSN • Current occupation • Salary and financial information • Family/dependents • Marital status • Medical Status • Death information 	RU
Service Data	Information on a veteran's service record provided by DOD (e.g., DD214 or equivalent), and provided to VA by other sources (frequently during development or claims)	R
Veteran Dependent Data	All personal information for a veteran's dependents and family members used in supporting benefits distribution, including (but not limited to): <ul style="list-style-type: none"> • Name and addresses • SSN • Relationship to veteran • Medical Status 	RU

Associated Data Classes		
Title	Description	CRUD
Account Information: Non Service Connected Pension	Specific information related to a veteran's account with a VA program, which is used to support the delivery of services to the veteran and management of the overall program. Information will include (where appropriate): <ul style="list-style-type: none"> • Name (identity) of the veteran • Case/account number • Name (identity) of beneficiary • Veteran contact history • Eligibility determination information • Benefit entitlement information • Payment information and history 	RU
Veteran Medical Records	Information on the state of a veteran's health, prior medical history, prior care and procedures, available from DOD, VA/VHA, and other sources	RU
Federal Agency Data (non-sensitive)	Veteran-specific information from other agencies (e.g., SSA, DOD) used in assessment of benefits claims, fraud detection, and other purposes.	R
Federal Agency Data (sensitive)	Veteran-specific information from other agencies (e.g., IRS) of a highly sensitive/confidential nature used in assessment of benefits claims, fraud detection, and other purposes. This information will require special handling and protection.	R
Police records concerning injury	<ul style="list-style-type: none"> • Incarceration at federal, state or local facility • Fugitive felon status • Investigative reports for some accidents 	R
Guardian information	<ul style="list-style-type: none"> • Court proceedings of guardianship • Field examinations • Appointment and bonding of fiduciaries • Annual accountings • Records of supervisory visits and how the visit was conducted • Estate information 	R

4.2.3 Subfunction 3: Program Integrity

Program integrity is primarily the detection and prevention of fraud by claimants and staff in claims processing. There is a responsibility for reviewing internal controls to ensuring

accountability against fraud. The following activities are part of this process:

- Code 18 review: Checks employment history of recipients
- Matching programs: Checks against other agency records on veteran financial status
- Prison matches and fugitive felons
 - IRS (financial)
 - DOD (on reserve activity)
 - SSA (on death notices)
- Routine Futures: Scheduling exams for cases in which improvement is expected
- Managerial oversight/approval of awards over \$25,000 made through regional offices
- Perform data integrity on Regional Office activities
- Address checking with postal records

Associated Data Classes		
Title	Description	CRUD
Veteran Personal Data	All personal information for a veteran used in supporting benefits distribution including (but not limited to): <ul style="list-style-type: none"> • Name and address • SSN • Current occupation • Salary and financial information • Family/dependents • Marital status • Medical Status • Death information 	R
Service Data	Information on a veteran's service record provided by DOD (e.g., DD214 or equivalent), and provided to VA by other sources (frequently during development or claims)	R
Veteran Dependent Data	All personal information for a veteran's dependents and family members used in supporting benefits distribution, including (but not limited to): <ul style="list-style-type: none"> • Name and addresses • SSN • Relationship to veteran • Medical Status 	R

Associated Data Classes		
Title	Description	CRUD
Federal Agency Data (non-sensitive)	Veteran-specific information from other agencies (e.g., SSA, DOD) used in assessment of benefits claims, fraud detection, and other purposes.	R
Federal Agency Data (sensitive)	Veteran-specific information from other agencies (e.g., IRS) of a highly sensitive/confidential nature used in assessment of benefits claims, fraud detection, and other purposes. This information will require special handling and protection.	R
Veteran Medical Records	Information on the state of a veteran's health, prior medical history, prior care and procedures, available from DOD, VA/VHA, and other sources	R
Account Information: Non Service Connected Pension	Specific information related to a veteran's account with a VA program, which is used to support the delivery of services to the veteran and management of the overall program. Information will include (where appropriate): <ul style="list-style-type: none"> • Name (identity) of the veteran • Case/account number • Name (identity) of beneficiary • Veteran contact history • Eligibility determination information • Benefit entitlement information • Payment information and history • 	R
Case Information	Detailed information on VA employee and office involvement in the treatment and resolution of a veteran's case in a benefits decision (used for STAR sheets)	R
Police records concerning injury	<ul style="list-style-type: none"> • Incarceration records at the federal, state and local level • Fugitive fell records at the federal, state and local level 	R
Guardian information	<ul style="list-style-type: none"> • Annual Accounting • Field examination 	R

4.2.4 Subfunction 4: Appeals

This subfunction includes activities associated with claimant appeals. Claimants have the right to appeal VA's decisions. The following activities are part of this process:

- VA receives Notice of Disagreement (NOD) from veteran
- Board of Veteran's Appeals and Regional Office (RO) track case after NOD received
- Decision Review Officer (DRO) performs review and issues new decision, at Regional Office
 - Board of Veterans Appeals (BVA) receives case, also reviews and issues decision, including DRO action, using entire claims file (sustain, reverse, remand)
 - Control cases for 150 days following the BVA decision for possible appeal to the Court of Appeals of veteran's claims.

Associated Data Classes		
Title	Description	CRUD
Veteran Personal Data	All personal information for a veteran used in supporting benefits distribution including (but not limited to): <ul style="list-style-type: none"> • Name and address • SSN • Current occupation • Salary and financial information • Family/dependents • Marital status • Medical Status • Death information 	R
Service Data	Information on a veteran's service record provided by DOD (e.g., DD214 or equivalent), and provided to VA by other sources (frequently during development or claims)	R
Veteran Dependent Data	All personal information for a veteran's dependents and family members used in supporting benefits distribution, including (but not limited to): <ul style="list-style-type: none"> • Name and addresses • SSN • Relationship to veteran • Medical Status 	R
Federal Agency Data (non-sensitive)	Veteran-specific information from other agencies (e.g., SSA, DOD) used in assessment of benefits claims, fraud detection, and other purposes.	R

Associated Data Classes		
Title	Description	CRUD
Federal Agency Data (sensitive)	Veteran-specific information from other agencies (e.g., IRS) of a highly sensitive/confidential nature used in assessment of benefits claims, fraud detection, and other purposes. This information will require special handling and protection.	R
Veteran Medical Records	Information on the state of a veteran's health, prior medical history, prior care and procedures, available from DOD, VA/VHA, and other sources	R
Account Information: Non Service Connected Pension	Specific information related to a veteran's account with a VA program, which is used to support the delivery of services to the veteran and management of the overall program. Information will include (where appropriate): <ul style="list-style-type: none"> • Name (identity) of the veteran • Case/account number • Name (identity) of beneficiary • Veteran contact history • Eligibility determination information • Benefit entitlement information • Payment information and history 	R
Case Information	Detailed information on VA employee and office involvement in the treatment and resolution of a veteran's case in a benefits decision (used for STAR sheets)	R

4.2.5 Subfunction 5: Outreach

Title 38 requires VA to inform veterans, service personnel, reservist, dependents and other eligible persons about all VA benefits he/she may be eligible to receive. The Outreach program is designed to provide this information, as well as any changes to this information, through many different mediums. These include briefings to service personnel upon before and upon separation, mail outs, web sites, etc. Functions with this area include:

- Termination from active duty triggers mailing of Veterans Assistance Discharge System (VADS) package -- For all VA benefits.
- Transition Assistance Program (TAP), Disability TAP (DTAP) briefings at separation.
- General information distribution when veteran contacts VA.
- Compensation program – specific outreach to individual veterans, e.g., Agent Orange, Gulf War, other special categories.
- In-person outreach: VA representatives attend public/veterans group events.
- Use of selected media.

- Initial mailings through VADS and initial outreach under "Veterans Right To Know Act."

Associated Data Classes		
Title	Description	CRUD
Veteran Personal Data	<p>All personal information for a veteran used in supporting benefits distribution including (but not limited to):</p> <ul style="list-style-type: none"> • Name and address • SSN • Current occupation • Salary and financial information • Family/dependents • Marital status • Medical Status • Death information 	R
Service Data	Information on a veteran's service record provided by DOD (e.g., DD214 or equivalent), and provided to VA by other sources (frequently during development or claims)	R
List of veterans from DOD, VHA	<p>Specific lists of veterans from DOD to include:</p> <ul style="list-style-type: none"> • In country Vietnam veterans • In country Southwest Asia veterans • POWs • Chemical exposure individuals • Current Records • Similar types of records <p>Specific lists from VHA to include all of the registers such as the agent orange register, tumor register, homeless veteran rosters, etc.</p>	R
Benefit Data: Non Service Connected Pension	Information intended for widespread distribution to veterans as part of VA promotion, marketing, and outreach activities for Non Service Connected Pension programs	R
Federal Agency Data (non-sensitive)	Veteran-specific information from other agencies (e.g., SSA, DOD) used in assessment of benefits claims, fraud detection, and other purposes.	R

4.2.6 Subfunction 6: Customer Service

The Compensation Service provides program and claim information to program participants and others seeking information about the compensation program. These activities include:

- Support for incoming 800 calls to regional offices
- Coordination with States on State-level benefits for disabled veterans
- Incoming emails from Consumer Affairs and Regional Office web sites
- Walk-in at Regional Offices

Associated Data Classes		
Title	Description	CRUD
Account Information: Non Service Connected Pension	Specific information related to a veteran's account with a VA program, which is used to support the delivery of services to the veteran and management of the overall program. Information will include (where appropriate): <ul style="list-style-type: none"> • Name (identity) of the veteran • Case/account number • Name (identity) of beneficiary • Veteran contact history • Eligibility determination information • Benefit entitlement information • Payment information and history 	CRU
Eligibility Determination Data	Information compiled by a VA organization used in deciding on an applicant's eligibility for a program benefit, and in assessing the level of benefit.	CRU

4.2.7 Subfunction 7: Program Management

Many activities are required to run benefits programs. The activities include:

- Statistical and Technical Accuracy Report (STAR)
- Physical folder review
- Quality assurance
- Station Surveys on Regional Office operations
- Cooperation with Census on veterans issues
- Analysis of BIRLS information
- Budget formulation
- Customer surveys
- Provides financial cost inputs to legislation
- Employee Training and Development

- Recommendation tracking on IG/GAO/other actions
- Inter-department Liaison (DOD, SSA, DOJ, other countries)

Associated Data Classes		
Title	Description	CRUD
Veteran Personal Data	All personal information for a veteran used in supporting benefits distribution including (but not limited to): <ul style="list-style-type: none"> • Name and address • SSN • Current occupation • Salary and financial information • Family/dependents • Marital status • Medical Status • Death information 	R
Service Data	Information on a veteran's service record provided by DOD (e.g., DD214 or equivalent), and provided to VA by other sources (frequently during development or claims)	R
Case Information	Detailed information on VA employee and office involvement in the treatment and resolution of a veteran's case in a benefits decision (used for STAR sheets)	R
Economic and Demographic Projections	Market, demographic, macro and micro-economic, historical usage and other data statistics, and analyses used to support long range forecasts, projections, and assessments of VA benefits and claims volumes, program costs and funding requirements, legislation development, and other strategic program management functions.	R
Workload and Budget Forecasts	Long range forecasts, projections, and assessments of VA benefits and claims volumes, program costs and funding requirements which support legislation development, and other strategic program management functions	CRU
Veteran Medical Records	Information on the state of a veteran's health, prior medical history, prior care and procedures, available from DOD, VA/VHA, and other sources	R

4.3 Vocational Rehabilitation and Employment

The Vocational Rehabilitation and Employment Service provides benefits and assistance to eligible service-connected disabled veterans to help them obtain and maintain suitable employment or independence in daily living. Before a service-disabled veteran may receive training and rehabilitation services under Title 38, United States Code, 3100 (Ch 31) three basic requirements must be met: (1) The Department of Veterans Affairs must first find that the veteran has basic entitlement to services (Authority: 38 U.S.C. 3102); (2) The services necessary for training and rehabilitation must be identified by the Department of Veterans Affairs and the veteran (Authority: 38 U.S.C. 3106); (3) An individual written plan must be developed by the Department of Veterans Affairs and the veteran describing the goals of the program and the means through which these goals will be achieved (Authority: 38 U.S.C. 3107).

4.3.1 Subfunction 1: Eligibility Determination

Upon receiving a veteran's application for vocational rehabilitation and employment services, VA will perform a basic eligibility determination based on the veteran's military service and level of disability (disability rating). Once this determination is made, a more in-depth evaluation is performed to determine entitlement to Ch 31 services and evaluate the types and extent of benefits to be provided. VA helps the veteran develop the claim, and compiles medical records, special evaluations, test results and other information to assist the veteran. The decision on services and the plan for rehabilitation is made in concert with the veteran, if possible, through face-to-face meetings or phone communications between the veteran and a VA case manager. The results of the evaluation are officially provided to the veteran in a letter. And, the veteran is informed in writing of the rehabilitation plan and services to be provided.

Associated Data Classes		
Title	Description	CRUD
Veteran Personal Data	All personal information for a veteran used in supporting benefits distribution, including, but not limited to: <ul style="list-style-type: none"> • Name and address • SSN • Current occupation • Salary and financial information • Family/dependents • Marital status • Medical Status 	CRU
Service Data	Information on a veteran's service record provided by DOD (e.g., DD214 or equivalent), and provided to VA by other sources (frequently during development or claims)	RU

Associated Data Classes		
Title	Description	CRUD
Veteran Medical Records	Information on the state of a veteran's health, prior medical history, prior care and procedures, available from DOD, VA/VHA, and other sources	RU
Account Information - Vocational Rehabilitation & Employment Services	<p>Specific information related to a veteran's account with a VA program, which is used to support the delivery of services to the veteran and management of the overall program. Information will include (where appropriate):</p> <ul style="list-style-type: none"> • Name (identity) of the veteran (to link to personal data) • Case/account number • Name (identity) of beneficiary • Veteran contact history • Eligibility determination information • Benefit entitlement information • Payment information and history 	C
Eligibility Determination Data	Information compiled by a VA organization used in deciding on an applicant's eligibility for a program benefit, and in assessing the level of benefit.	CRU

4.3.2 Subfunction 2: Account Maintenance

A Case Manager (Counselor) is assigned to support the veteran as the rehabilitation plan is implemented. The case manager will routinely communicate with the veteran, and meet with the veteran in person on a regular basis. The case manager evaluates the veteran's progress with the plan, and assists the veteran in specific elements of the plan, e.g., preparation for job interviews. The case manager can reassess the veteran's status, and authorize changes to services and the rehabilitation plan as needed.

Associated Data Classes		
Title	Description	CRUD
Account Information - Vocational Rehabilitation & Employment Services	<p>Specific information related to a veteran's account with a VA program, which is used to support the delivery of services to the veteran and management of the overall program. Information will include (where appropriate):</p> <ul style="list-style-type: none"> • Name (identity) of the veteran (to link to personal data) • Case/account number • Name (identity) of beneficiary • Veteran contact history • Eligibility determination information • Benefit entitlement information • Payment information and history 	RU

4.3.3 Subfunction 3: Program Integrity

Program integrity and quality assurance are maintained through two levels of review of VRE records. Each regional office randomly selects a percentage of case files for each case manager within each regional office for review. In addition, the VA central office conducts a review of each regional office twice a year. In addition, two VR&E task teams review VRE program and data integrity VA-wide.

Associated Data Classes		
Title	Description	CRUD
Account Information - Vocational Rehabilitation & Employment Services	<p>Specific information related to a veteran's account with a VA program, which is used to support the delivery of services to the veteran and management of the overall program. Information will include (where appropriate):</p> <ul style="list-style-type: none"> • Name (identity) of the veteran (to link to personal data) • Case/account number • Name (identity) of beneficiary • Veteran contact history • Eligibility determination information • Benefit entitlement information • Payment information and history 	R

4.3.4 Subfunction 4: Appeals

A veteran can request that an entitlement determination or any action concerning his case proceed with an administrative review, with his case manager, Director, VR&E Service, and may

be provided an informal or formal hearing. The veteran can further appeal the outcome of this reconsideration to the Board of Veteran Appeals (BVA). At every stage of this process VA is required to assist the veteran on preparing his case, and must provide full information and advice in this regard.

Associated Data Classes		
Title	Description	CRUD
Veteran Personal Data	<p>All personal information for a veteran used in supporting benefits distribution, including (but not limited to):</p> <ul style="list-style-type: none"> • Name and address • SSN • Current occupation • Salary and financial • Family/dependents • Marital status • Medical Status • Death information 	R
Service Data	Information on a veteran's service record provided by DOD (e.g., DD214 or equivalent), and provided to VA by other sources (frequently during development or claims)	R
Eligibility Determination Data	Information compiled by a VA organization used in deciding on an applicant's eligibility for a program benefit, and in assessing the level of benefit.	R
Account Information - Vocational Rehabilitation & Employment Services	<p>Specific information related to a veteran's account with a VA program, which is used to support the delivery of services to the veteran and management of the overall program. Information will include (where appropriate):</p> <ul style="list-style-type: none"> • Name (identity) of the veteran (to link to personal data) • Case/account number • Name (identity) of beneficiary • Veteran contact history • Eligibility determination information • Benefit entitlement information • Payment information and history 	R

Associated Data Classes		
Title	Description	CRUD
Veteran Medical Records	Information on the state of a veteran's health, prior medical history, prior care and procedures, available from DOD, VA/VHA, and other sources.	R

4.3.5 Subfunction 5: Outreach

VRE conducts several outreach activities to make veterans aware of rehabilitation services that are available to them. There are outreach activities at the 16 VA/DOD separation centers to provide information on all VA programs as veterans separate. VRE has ongoing partnerships with other federal agencies (DOL and DOD) on their outreach programs. DOD's "Transportal" site for separating military is linked to the VR&E web site. Individual regional office staffs participate in local community veterans events.

Associated Data Classes		
Title	Description	CRUD
Account Information: Vocational Rehabilitation & Employment Services	Specific information related to a veteran's account with a VA program, which is used to support the delivery of services to the veteran and management of the overall program. Information will include (where appropriate): <ul style="list-style-type: none"> Name (identity) of the veteran (to link to personal data) Case/account number Name (identity) of beneficiary Veteran contact history Eligibility determination information Benefit entitlement information Payment information and history 	

4.3.6 Subfunction 6: Customer Service

There are several ways VRE targets individual veterans for information, and responds to requests from individual veterans in seeking information on rehabilitation services. The Rating Board will send a motivation letter to a veteran after making a rating on a specific disability, describing potential services that may be available and the application process. VRE coordinates with VHA to identify veterans when disability cases are identified. Veterans can obtain information through the VA 800 number (used for all services), and individual offices have their own access numbers. Regional offices and VACO respond to email inquiries from veterans. VRE participates in "One VA" customer service activities.

Associated Data Classes		
Title	Description	CRUD
Veteran Medical Records	Information on the state of a veteran's health, prior medical history, prior care and procedures, available from DOD, VA/VHA, and other sources.	RU
Veteran Personal Data	All personal information for a veteran used in supporting benefits distribution, including, but not limited to: <ul style="list-style-type: none"> • Name and address • SSN • Current occupation • Salary and financial information • Family/dependents • Marital status • Medical Status • Death information 	CRU

4.3.7 Subfunction 7: External Service Provider Approval

VA must approve rehabilitation services, education programs, and other support services for use in a specific veteran's rehabilitation plan. Because the needs of individual veterans are often case-specific, the service-providing organization will often be applying for approval for the first time, and/or the case manager must make a specific determination of whether a program meets will meet the needs of a specific veteran, or is suitable for doing business with VA. The case manager will be involved in reviewing certifications, licenses, the condition of facilities, staff qualifications, and other information on the service provider in making this decision. VRE coordinates approval of conventional education and training programs with VA's Education function (described in a later section).

Associated Data Classes		
Title	Description	CRUD
Educational Program Approval Information	List of approved courses, effective dates, types of training. This information includes such things as facility code, objective code, and training type.	CRU
Rehabilitation Program Approval Information	Institution certifications, licenses, approval information.	CRU

Associated Data Classes		
Title	Description	CRUD
Account Information - Vocational Rehabilitation & Employment Services (Master Record)	<p>Specific information related to a veteran's account with a VA program, which is used to support the delivery of services to the veteran and management of the overall program. For this subfunction, information on an individual veteran may be required because the service provider may be approved on the basis of the specific requirements for the rehabilitation service needed by the individual. Information will include:</p> <ul style="list-style-type: none"> • Name (identity) of the veteran • Case/account number • Name (identity) of beneficiary • Veteran contact history • Eligibility determination information • Benefit information 	CRU

4.3.8 Subfunction 8: Program Management

VRE makes projections on expected case volume and support requirements based on Compensation and Pension disability rating actions and new legislation. VRE also uses VA customer service surveys to gauge its service delivery quality.

Associated Data Classes		
Title	Description	CRUD
Service Data	Information on a veteran's service record provided by DOD (e.g., DD214 or equivalent), and provided to VA by other sources (frequently during development or claims)	R
Economic and Demographic Projections	Market, demographic, macro and microeconomic, historical usage and other data statistics, and analyses used to support long range forecasts, projections, and assessments of VA benefits and claims volumes, program costs and funding requirements, legislation development, and other strategic program management functions	R
Workload and Budget Forecasts	Long range forecasts, projections, and assessments of VA benefits and claims volumes, program costs and funding requirements which support legislation development, and other strategic program management functions	CRU

Associated Data Classes		
Title	Description	CRUD
Customer Satisfaction Surveys	Results from VA customer service surveys on all VA services.	R

4.4 Education

The programs managed in this function honor and reward veterans, service members, reservists, and eligible dependents for sacrifices made in military service to the United States by assisting them in achieving their educational or vocational goals. This mission is accomplished by providing financial assistance, generally in the form of monthly benefit payments, as mandated in Title 38 USC and Title 10 USC. Education benefits first became available under the Servicemen's Readjustment Act of 1944. This law and its successors have made possible the investment of billions of dollars in education and training for millions of veterans. The nation has gained substantially from this investment in terms of increased taxes and a more productive workforce.

4.4.1 Subfunction 1: Eligibility Determination

This sub function focuses on the receipt, evaluation and first payment for all original claims. Original claims encompass the following processes:

- Receive application
- Place claim under control
- Develop claim (acquire additional information required to make an eligibility determination)
- Determine eligibility
- Determine entitlement
- Determine eligibility period (delimiting date)
- Determine full time payment rate (basic rate plus kickers and buy-up)
- Notification
 - Denial of claim
 - Original payment
 - Certificate of Eligibility

Associated Data Classes		
Title	Description	CRUD
Veteran Personal Data	<p>All personal information for a veteran used in supporting benefits distribution, including, but not limited to:</p> <ul style="list-style-type: none"> • Name and address • SSN • Current occupation • Salary and financial information • Family/dependents • Marital status • Medical Status • Death information 	CRU
Service Data	Information on a veteran's service record provided by DOD (e.g., DD214 or equivalent), and provided to VA by other sources (frequently during development or claims)	RU
Veteran Dependent Data	<p>All personal information for a veteran's dependents and family members used in supporting benefits distribution, including (but not limited to):</p> <ul style="list-style-type: none"> • Names and addresses • Social Security Numbers (SSNs) • Relationship to veteran • Medical Status 	CRU
External Service Provider Data	<p>Information on third party (commercial, non-profit, other government agency) providers of services delivered to veteran paid for with funds from VA program. Data will include:</p> <ul style="list-style-type: none"> • Name, address, contact data for institution • Specific information on provider concerning services to be provided • VA programs to be supported • Services authorized • Data concerning conditions, status of approval • Assessment analysis data <p>Examples include education and training institutions, rehabilitation service providers, mortgage lenders</p>	CRU

Associated Data Classes		
Title	Description	CRUD
Account Information: Educational Assistance	Specific information related to a veteran's account with a VA program, which is used to support the delivery of services to the veteran and management of the overall program. Information will include (where appropriate): <ul style="list-style-type: none"> • Name (identity) of the veteran (to link to personal data) • Case/account number • Name (identity) of beneficiary • Veteran contact history • Eligibility determination information • Benefit entitlement information • Payment information and history 	CRU
Educational Program Approval Information	List of approved courses, effective dates, type of training. This information includes such things as facility code, objective code, and training type.	R

4.4.2 Subfunction 2: Account Maintenance

This subfunction includes activities associated with account maintenance and payment of supplemental claims.

- Validate eligibility
- Enrollment certification (from schools)
- Changes in enrollment (from schools)
- Monthly certification (from claimant)
- Process payment (award)
- Changes to information - Name, Address, EFT
- Notification

Associated Data Classes		
Title	Description	CRUD
Veteran Personal Data	All personal information for a veteran used in supporting benefits distribution, including (but not limited to): <ul style="list-style-type: none"> • Name and address • SSN • Current occupation • Salary and financial information • Family/dependents • Marital status • Medical status • Death information 	RU
Service Data	Information on a veteran's service record provided by DOD (e.g., DD214 or equivalent), and provided to VA by other sources (frequently during development or claims)	RU
Veteran Dependent Data	All personal information for a veteran's dependents and family members used in supporting benefits distribution, including (but not limited to): <ul style="list-style-type: none"> • Names and addresses • SSNs • Relationship to veteran • Medical Status 	RU
External Service Provider Data	Information on third party (commercial, non-profit, other government agency) providers of services delivered to veterans and paid for with funds from VA program. Data will include: <ul style="list-style-type: none"> • Name, address, contact data for institution • Specific information on provider concerning services to be provided • VA programs to be supported • Services authorized • Data concerning conditions, status of approval • Assessment analysis data Examples include education and training institutions, rehabilitation service providers, mortgage lenders	RU

Associated Data Classes		
Title	Description	CRUD
Account Information: Educational Assistance	Specific information related to a veteran's account with a VA program, which is used to support the delivery of services to the veteran and management of the overall program. Information will include (where appropriate): <ul style="list-style-type: none"> • Name (identity) of the veteran (to link to personal data) • Case/account number • Name (identity) of beneficiary • Veteran contact history • Eligibility determination information • Benefit entitlement information • Payment information and history 	CRU
Educational Program Approval Information	List of approved courses, effective dates, type of training. This information includes such things as facility code, objective code, and training type.	R

4.4.3 Subfunction 3: Program Integrity

Program integrity is primarily the detection and prevention of fraud in claims processing. This function is responsible for reviewing internal controls to ensuring accountability against fraud. The following activities are part of this process:

- Cross checking with other programs and agencies to verify/validate data (DOD)
- Fraud detection and prevention

Associated Data Classes		
Title	Description	CRUD
Veteran Personal Data	All personal information for a veteran used in supporting benefits distribution, including (but not limited to): <ul style="list-style-type: none"> • Name and address • SSN • Current occupation • Salary and financial information • Family/dependents • Marital status • Medical status • Death information 	RU

Associated Data Classes		
Title	Description	CRUD
Service Data	Information on a veteran's service record provided by DOD (e.g., DD214 or equivalent), and provided to VA by other sources (frequently during development or claims)	RU
Veteran Dependent Data	All personal information for a veteran's dependents and family members used in supporting benefits distribution, including (but not limited to): <ul style="list-style-type: none"> • Names and addresses • SSNs • Relationship to veteran • Medical Status 	RU
External Service Provider Data	Information on third party (commercial, non-profit, other government agency) providers of services delivered to veteran paid for with funds from VA program. Data will include: <ul style="list-style-type: none"> • Name, address, contact data for institution • Specific information on provider concerning services to be provided • VA programs to be supported • Services authorized • Data concerning conditions, status of approval • Assessment analysis data Examples include education and training institutions, rehabilitation service providers, mortgage lenders	RU
Account Information: Educational Assistance	Specific information related to a veteran's account with a VA program, which is used to support the delivery of services to the veteran and management of the overall program. Information will include (where appropriate): <ul style="list-style-type: none"> • Name (identity) of the veteran (to link to personal data) • Case/account number • Name (identity) of beneficiary • Veteran contact history • Eligibility determination information • Benefit entitlement information • Payment information and history 	RU

Associated Data Classes		
Title	Description	CRUD
Educational Program Approval Information	List of approved courses, effective dates, types of training. This information includes such things as facility code, objective code, and training type	R
Case Information	Detailed information on VA employee and office involvement in the treatment and resolution of a veteran's case in a benefits decision (used for STAR sheets)	R

4.4.4 Subfunction 4: Appeals

This subfunction includes activities associated with claimant appeals. Claimants have the right to appeal VA's decisions. The following activities are part of this process:

- Notice of disagreement (from the claimant)
- Statement of case
- Certification of appeal
- Remand (request for additional information from Education Service)
- Final Decision
- Notification

Associated Data Classes		
Title	Description	CRUD
Veteran Personal Data	All personal information for a veteran used in supporting benefits distribution, including (but not limited to): <ul style="list-style-type: none"> • Name and address • SSN • Current occupation • Salary and financial information • Family/dependents • Marital status • Medical status • Death information 	RU
Service Data	Information on a veteran's service record provided by DOD (e.g., DD214 or equivalent), and provided to VA by other sources (frequently during development or claims)	RU

Associated Data Classes		
Title	Description	CRUD
Veteran Dependent Data	All personal information for a veteran's dependents and family members used in supporting benefits distribution, including (but not limited to): <ul style="list-style-type: none"> • Names and addresses • SSNs • Relationship to veteran • Medical Status 	RU
External Service Provider Data	Information on third party (commercial, non-profit, other government agency) providers of services delivered to veteran paid for with funds from VA program. Data will include: <ul style="list-style-type: none"> • Name, address, contact data for institution • Specific information on provider concerning services to be provided • VA programs to be supported • Services authorized • Data concerning conditions, status of approval • Assessment analysis data Examples include education and training institutions, rehabilitation service providers, mortgage lenders	RU
Account Information: Educational Assistance	Specific information related to a veteran's account with a VA program, which is used to support the delivery of services to the veteran and management of the overall program. Information will include (where appropriate): <ul style="list-style-type: none"> • Name (identity) of the veteran (to link to personal data) • Case/account number • Name (identity) of beneficiary • Veteran contact history • Eligibility determination information • Benefit entitlement information • Payment information and history 	RU
Educational Program Approval Information	List of approved courses, effective dates, types of training. This information includes such things as facility code, objective code, and training type	R

Associated Data Classes		
Title	Description	CRUD
Case Information	Detailed information on VA employee and office involvement in the treatment and resolution of a veteran's case in a benefits decision (used for STAR sheets)	R

4.4.5 Subfunction 5: Outreach

Title 38 requires VA to inform veterans, service personnel, reservists, dependents and other eligible persons about the education benefits he/she may be eligible to receive. The Outreach program is designed to provide this information, as well as any changes to this information, through many different mediums. These include:

- Pamphlets
- Letters
- Websites
- Education Service Web Site (www.gibill.VA.gov)
- VA Website (www.VA.gov)
- Briefings at discharge points
- Information to VA approved training institutions

Associated Data Classes		
Title	Description	CRUD
Veteran Personal Data	All personal information for a veteran used in supporting benefits distribution, including (but not limited to): <ul style="list-style-type: none"> • Name and address • SSN • Current occupation • Salary and financial information • Family/dependents • Marital status • Medical status • Death information 	R
Service Data	Information on a veteran's service record provided by DOD (e.g., DD214 or equivalent), and provided to VA by other sources (frequently during development or claims)	R

Associated Data Classes		
Title	Description	CRUD
Veteran Dependent Data	All personal information for a veteran's dependents and family members used in supporting benefits distribution, including (but not limited to): <ul style="list-style-type: none"> • Names and addresses • SSNs • Relationship to veteran • Medical Status 	R
Benefit Data: Educational Assistance	Information intended for widespread distribution to veterans as part of VA promotion, marketing, and outreach activities for Educational Assistance programs	RU

4.4.6 Subfunction 6: Education/Training Program Approval

Title 38, Chapter 36 requires that all training programs be approved programs of study before a beneficiary can receive benefits to attend the program. This training can take place at both accredited and non-accredited institutions as long as the program meets VA requirements.

Functions that are part of this activity include:

- Request for program approval (from training institution).
- Evaluation of application.
- Site Visit to verify program information and ensure that the facility meets federal requirements.
- Preliminary determination by State Approving Agencies (SAA).
- VBA concurrence with SAA decision.
- Periodic follow-up to ensure program still meets standards.
- Notification of decision to the training institution.

Associated Data Classes		
Title	Description	CRUD
External Service Provider Data	<p>Information on third party (commercial, non-profit, other government agency) providers of services delivered to veteran paid for with funds from VA program. Data will include:</p> <ul style="list-style-type: none"> • Name, address, contact data for institution • Specific information on provider concerning services to be provided • VA programs to be supported • Services authorized • Data concerning conditions, status of approval • Assessment analysis data <p>Examples include education and training institutions, rehabilitation service providers, mortgage lenders</p>	CRU
Educational Program Approval Information	<p>List of approved courses, effective dates, type of training. This information includes such things as facility code, objective code, and training type.</p>	CRU

4.4.7 Subfunction 7: Program Management

Many activities are required to run benefits programs. The activities include:

- Enrollment/workload analysis and projections
- Trend Analysis
- Legislation
- Budget formulation
- Quality Assurance
 - Case Reviews
 - Process Reviews
- Program Evaluations
- Customer Satisfaction Surveys
- Implementation of Oversight Requirements (OMB, Legislation, etc.)
- Employee Development

Associated Data Classes		
Title	Description	CRUD
Veteran Personal Data	All personal information for a veteran used in supporting benefits distribution, including (but not limited to): <ul style="list-style-type: none"> • Name and address • SSN • Current occupation • Salary and financial information • Family/dependents • Marital status • Medical status • Death information 	RU
Service Data	Information on a veteran's service record provided by DOD (e.g., DD214 or equivalent), and provided to VA by other sources (frequently during development or claims)	RU
Veteran Dependent Data	All personal information for a veteran's dependents and family members used in supporting benefits distribution, including (but not limited to): <ul style="list-style-type: none"> • Names and addresses • SSNs • Relationship to veteran • Medical Status 	RU
External Service Provider Data	Information on third party (commercial, non-profit, other government agency) providers of services delivered to veteran paid for with funds from VA program. Data will include: <ul style="list-style-type: none"> • Name, address, contact data for institution • Specific information on provider concerning services to be provided • VA programs to be supported • Services authorized • Data concerning conditions, status of approval • Assessment analysis data Examples include education and training institutions, rehabilitation service providers, mortgage lenders	RU

Associated Data Classes		
Title	Description	CRUD
Account Information: Educational Assistance	Specific information related to a veteran's account with a VA program, which is used to support the delivery of services to the veteran and management of the overall program. Information will include (where appropriate): <ul style="list-style-type: none"> • Name (identity) of the veteran (to link to personal data) • Case/account number • Name (identity) of beneficiary • Veteran contact history • Eligibility determination information • Benefit entitlement information • Payment information and history 	RU
Educational Program Approval Information	List of approved courses, effective dates, types of training. This information includes such things as facility code, objective code, and training type	R
Case Information	Detailed information on VA employee and office involvement in the treatment and resolution of a veteran's case in a benefits decision (used for STAR sheets)	R
Benefit Data: Educational Assistance	Information intended for widespread distribution to veterans as part of VA promotion, marketing, and outreach activities for Educational Assistance programs	R
Economic and Demographic Projections	Market, demographic, macro and microeconomic, historical usage and other data statistics, and analyses used to support long range forecasts, projections, and assessments of VA benefits and claims volumes, program costs and funding requirements, legislation development, and other strategic program management functions	R
Workload and Budget Forecasts	Long range forecasts, projections, and assessments of VA benefits and claims volumes, program costs and funding requirements which support legislation development, and other strategic program management functions	CRU

4.4.8 Subfunction 8: Customer Service

Education Service provides program and claim information to program participants as well as others seeking information about the various educational assistance programs. These activities include:

- Responding to inquiries about program approvals
- Responding to eligibility inquiries
- Responding to payment inquiries
- Assisting claimants develop their claims

Associated Data Classes		
Title	Description	CRUD
Veteran Personal Data	All personal information for a veteran used in supporting benefits distribution, including (but not limited to): <ul style="list-style-type: none"> • Name and address • SSN • Current occupation • Salary and financial information • Family/dependents • Marital status • Medical status • Death information 	RU
Service Data	Information on a veteran's service record provided by DOD (e.g., DD214 or equivalent), and provided to VA by other sources (frequently during development or claims)	RU
Veteran Dependent Data	All personal information for a veteran's dependents and family members used in supporting benefits distribution, including (but not limited to): <ul style="list-style-type: none"> • Names and addresses • SSNs • Relationship to veteran • Medical Status 	RU

Associated Data Classes		
Title	Description	CRUD
External Service Provider Data	<p>Information on third party (commercial, non-profit, other government agency) providers of services delivered to veteran paid for with funds from VA program. Data will include:</p> <ul style="list-style-type: none"> • Name, address, contact data for institution • Specific information on provider concerning services to be provided • VA programs to be supported • Services authorized • Data concerning conditions, status of approval • Assessment analysis data <p>Examples include education and training institutions, rehabilitation service providers, mortgage lenders</p>	RU
Account Information: Educational Assistance	<p>Specific information related to a veteran's account with a VA program, which is used to support the delivery of services to the veteran and management of the overall program. Information will include (where appropriate):</p> <ul style="list-style-type: none"> • Name (identity) of the veteran (to link to personal data) • Case/account number • Name (identity) of beneficiary • Veteran contact history • Eligibility determination information • Benefit entitlement information • Payment information and history 	RU
Educational Program Approval Information	<p>List of approved courses, effective dates, types of training. This information includes such things as facility code, objective code, and training type</p>	R
Case Information	<p>Detailed information on VA employee and office involvement in the treatment and resolution of a veteran's case in a benefits decision (used for STAR sheets)</p>	R
Benefit Data: Educational Assistance	<p>Information intended for widespread distribution to veterans as part of VA promotion, marketing, and outreach activities for Educational Assistance programs</p>	R

4.5 Insurance

The Insurance Program was established by the War Risk Act of 1914 to provide Marine insurance protection for merchant ships supplying the allies. The War Risk Act was later amended to provide life insurance benefits to veterans and service members that are not available from the commercial insurance industry due to lost or impaired insurability resulting from military service. Insurance benefits and services are provided in an accurate, timely and courteous manner and at the lowest achievable administrative cost. Insurance coverage is provided in reasonable amounts at competitive premium rates. A competitive, secure rate of return is ensured on investments held on behalf of the policyholders.

4.5.1 Subfunction 1: Eligibility Determination

This sub function focuses on the receipt, evaluation and issuance of insurance policies for the RH (S-DVI)¹ and Veterans' Mortgage Life Insurance (VMLI) programs. Eligibility determination encompasses the following processes:

- Receive application & first payment
- Place application under control
- Develop application (acquire additional information required to make an eligibility determination)
- Determine eligibility
- Notification
- Issue Policy
- Denial letter

Associated Data Classes		
Title	Description	CRUD
Veteran Personal Data	All personal information for a veteran used in supporting benefits distribution, including (but not limited to): <ul style="list-style-type: none"> • Name and address • SSN • Current occupation • Salary and financial information • Family/dependents • Marital status • Medical status • Death information 	CRU
Service Data	Information on a veteran's service record provided by DOD (e.g., DD214 or equivalent), and provided to VA by other sources (frequently during development or claims)	U

¹ RH is the prefix used to denote Service-Disabled Life Insurance (S-DVI)

Associated Data Classes		
Title	Description	CRUD
Eligibility Determination Data	Information compiled by a VA organization used in deciding on an applicant's eligibility for a program benefit, and in assessing the level of benefit	CRU
Beneficiary Data	All personal information for a beneficiary; used in supporting benefits distribution, including (but not limited to): <ul style="list-style-type: none"> • Names and addresses • SSNs • Relationship to veteran • Medical Status 	CRU
Account Information: Insurance	Specific information related to a veteran's account with a VA program, which is used to support the delivery of services to the veteran and management of the overall program. Information will include (where appropriate): <ul style="list-style-type: none"> • Name (identity) of the veteran (to link to personal data) • Case/account number • Name (identity) of beneficiary • Veteran contact history • Eligibility determination information • Benefit entitlement information • Payment information and history 	CRU
Veteran Medical Records	Information on the state of a veteran's health, prior medical history, prior care and procedures, available from DOD, VA/VHA, and other sources	RU
Account Information: Disability Compensation	Specific information related to a veteran's account with a VA program, which is used to support the delivery of services to the veteran and management of the overall program. Information will include (where appropriate): <ul style="list-style-type: none"> • Name (identity) of the veteran (to link to personal data) • Case/account number • Name (identity) of beneficiary • Veteran contact history • Eligibility determination information • Benefit entitlement information • Payment information and history 	RU

Associated Data Classes		
Title	Description	CRUD
Account Information: Non Service Connected Pension	<p>Specific information related to a veteran's account with a VA program, which is used to support the delivery of services to the veteran and management of the overall program. Information will include (where appropriate):</p> <ul style="list-style-type: none"> • Name (identity) of the veteran (to link to personal data) • Case/account number • Name (identity) of beneficiary • Veteran contact history • Eligibility determination information • Benefit entitlement information • Payment information and history 	RU
Account Information: Vocational Rehabilitation & Employment Services	<p>Specific information related to a veteran's account with a VA program, which is used to support the delivery of services to the veteran and management of the overall program. Information will include (where appropriate):</p> <ul style="list-style-type: none"> • Name (identity) of the veteran (to link to personal data) • Case/account number • Name (identity) of beneficiary • Veteran contact history • Eligibility determination information • Benefit entitlement information • Payment information and history 	RU

4.5.2 Subfunction 2: Account Maintenance

This subfunction includes activities associated with account maintenance and payment of insurance claims and awards:

- Premium collection
- Customer service - phone inquiries
- Process policy actions/changes
- Pay annual dividends
- Generate Annual Policy Statement
- Process waiver of premium disability claims
- Pay insurance death awards
- Maintain monthly insurance awards

Associated Data Classes		
Title	Description	CRUD
Veteran Personal Data	All personal information for a veteran used in supporting benefits distribution, including (but not limited to): <ul style="list-style-type: none"> • Name and address • SSN • Current occupation • Salary and financial information • Family/dependents • Marital status • Medical status • Death information 	RU
Service Data	Information on a veteran's service record provided by DOD (e.g., DD214 or equivalent), and provided to VA by other sources (frequently during development or claims)	U
Eligibility Determination Data	Information compiled by a VA organization used in deciding on an applicant's eligibility for a program benefit, and in assessing the level of benefit	R
Beneficiary Data	All personal information for a beneficiary; used in supporting benefits distribution, including (but not limited to): <ul style="list-style-type: none"> • Names and addresses • SSNs • Relationship to veteran • Medical Status 	RU
Account Information: Insurance	Specific information related to a veteran's account with a VA program, which is used to support the delivery of services to the veteran and management of the overall program. Information will include (where appropriate): <ul style="list-style-type: none"> • Name (identity) of the veteran (to link to personal data) • Case/account number • Name (identity) of beneficiary • Veteran contact history • Eligibility determination information • Benefit entitlement information • Payment information and history 	RU

Associated Data Classes		
Title	Description	CRUD
Veteran Medical Records	Information on the state of a veteran's health, prior medical history, prior care and procedures, available from DOD, VA/VHA, and other sources	R

4.5.3 Subfunction 3: Program Integrity

The Program Integrity subfunction implements security, procedures and internal controls to insure the integrity of insurance processes and payments.

This includes:

- Crosschecking data with other programs and agencies to verify/validate data. (SSA, Treasury)
- Fraud detection and prevention
- Oversight and review of Insurance operation

Associated Data Classes		
Title	Description	CRUD
Veteran Personal Data	All personal information for a veteran used in supporting benefits distribution, including (but not limited to): <ul style="list-style-type: none"> • Name and address • SSN • Current occupation • Salary and financial information • Family/dependents • Marital status • Medical status • Death information • Death Master Record • SSA Addresses 	U
Service Data	Information on a veteran's service record provided by DOD (e.g., DD214 or equivalent), and provided to VA by other sources (frequently during development or claims)	R
Eligibility Determination Data	Information compiled by a VA organization used in deciding on an applicant's eligibility for a program benefit, and in assessing the level of benefit	R

Associated Data Classes		
Title	Description	CRUD
Beneficiary Data	All personal information for a beneficiary; used in supporting benefits distribution, including (but not limited to): <ul style="list-style-type: none"> • Names and addresses • SSNs • Relationship to veteran • Medical Status 	R
Account Information: Insurance	Specific information related to a veteran's account with a VA program, which is used to support the delivery of services to the veteran and management of the overall program. Information will include (where appropriate): <ul style="list-style-type: none"> • Name (identity) of the veteran (to link to personal data) • Case/account number • Name (identity) of beneficiary • Veteran contact history • Eligibility determination information • Benefit entitlement information • Payment information and history 	R

4.5.4 Subfunction 4: Appeals

This subfunction includes activities associated with claimant appeals. Claimants have the right to appeal VA's decisions. Activities that are part of this process include:

- Notice of disagreement
- Statement of case
- Forward Form VAF-9 and certify to board
- Final decision
- Notification

Associated Data Classes		
Title	Description	CRUD
Veteran Personal Data	All personal information for a veteran used in supporting benefits distribution, including (but not limited to): <ul style="list-style-type: none"> • Name and address • SSN • Current occupation • Salary and financial information • Family/dependents • Marital status • Medical status • Death information 	R
Service Data	Information on a veteran's service record provided by DOD (e.g., DD214 or equivalent), and provided to VA by other sources (frequently during development or claims)	R
Eligibility Determination Data	Information compiled by a VA organization used in deciding on an applicant's eligibility for a program benefit, and in assessing the level of benefit	R
Beneficiary Data	All personal information for a beneficiary; used in supporting benefits distribution, including (but not limited to): <ul style="list-style-type: none"> • Names and addresses • SSNs • Relationship to veteran • Medical Status 	R
Account Information: Insurance	Specific information related to a veteran's account with a VA program, which is used to support the delivery of services to the veteran and management of the overall program. Information will include (where appropriate): <ul style="list-style-type: none"> • Name (identity) of the veteran (to link to personal data) • Case/account number • Name (identity) of beneficiary • Veteran contact history • Eligibility determination information • Benefit entitlement information • Payment information and history 	R

4.5.5 Subfunction 5: Outreach

Outreach activities targets veterans, beneficiaries, separating service member about insurance benefits. This includes:

- Letters
- Phone calls Interactive Voice Response (IVR)
- Insurance website
- Pamphlets
- Video & web-based training for VSRs & other VA & military personnel

Associated Data Classes		
Title	Description	CRUD
Veteran Personal Data	All personal information for a veteran used in supporting benefits distribution, including (but not limited to): <ul style="list-style-type: none"> • Name and address • SSN • Current occupation • Salary and financial information • Family/dependents • Marital status • Medical status • Death information 	R
Service Data	Information on a veteran's service record provided by DOD (e.g., DD214 or equivalent), and provided to VA by other sources (frequently during development or claims)	R
Eligibility Determination Data	Information compiled by a VA organization used in deciding on an applicant's eligibility for a program benefit, and in assessing the level of benefit	R
Beneficiary Data	All personal information for a beneficiary; used in supporting benefits distribution, including (but not limited to): <ul style="list-style-type: none"> • Names and addresses • SSNs • Relationship to veteran • Medical Status 	R

Associated Data Classes		
Title	Description	CRUD
Account Information: Insurance	<p>Specific information related to a veteran's account with a VA program, which is used to support the delivery of services to the veteran and management of the overall program. Information will include (where appropriate):</p> <ul style="list-style-type: none"> • Name (identity) of the veteran (to link to personal data) • Case/account number • Name (identity) of beneficiary • Veteran contact history • Eligibility determination information • Benefit entitlement information • Payment information and history 	R

4.5.6 Subfunction 6: Customer Service

Customer service activities answer written and phone inquires about insurance benefits and policy account information from veterans, beneficiaries and their representatives.

Associated Data Classes		
Title	Description	CRUD
Veteran Personal Data	<p>All personal information for a veteran used in supporting benefits distribution, including (but not limited to):</p> <ul style="list-style-type: none"> • Name and address • SSN • Current occupation • Salary and financial information • Family/dependents • Marital status • Medical status • Death information 	R
Service Data	Information on a veteran's service record provided by DOD (e.g., DD214 or equivalent), and provided to VA by other sources (frequently during development or claims)	R
Eligibility Determination Data	Information compiled by a VA organization used in deciding on an applicant's eligibility for a program benefit, and in assessing the level of benefit	R

Associated Data Classes		
Title	Description	CRUD
Beneficiary Data	All personal information for a beneficiary; used in supporting benefits distribution, including (but not limited to): <ul style="list-style-type: none"> • Names and addresses • SSNs • Relationship to veteran • Medical Status 	R
Account Information: Insurance	Specific information related to a veteran's account with a VA program, which is used to support the delivery of services to the veteran and management of the overall program. Information will include (where appropriate): <ul style="list-style-type: none"> • Name (identity) of the veteran (to link to personal data) • Case/account number • Name (identity) of beneficiary • Veteran contact history • Eligibility determination information • Benefit entitlement information • Payment information and history 	R

4.5.7 Subfunction 7: Program Evaluation

The performance of the Insurance functions are evaluated through multiple activities:

- The Insurance Center reviews its performance in comparison to private insurance companies through the Life Office of Management Association (LOMA).
- Evaluations to ensure the strength and growth of the VA Insurance trust funds and the integrity of the supporting systems and data.
- Software Quality Control (SQC) program reviews to assess timeliness and accuracy.
- Review management and balanced scorecard data to determine if targets are being met.

Associated Data Classes		
Title	Description	CRUD
Veteran Personal Data	All personal information for a veteran used in supporting benefits distribution, including (but not limited to): <ul style="list-style-type: none"> • Name and address • SSN • Current occupation • Salary and financial information • Family/dependents • Marital status • Medical status • Death information 	R
Service Data	Information on a veteran's service record provided by DOD (e.g., DD214 or equivalent), and provided to VA by other sources (frequently during development or claims)	R
Eligibility Determination Data	Information compiled by a VA organization used in deciding on an applicant's eligibility for a program benefit, and in assessing the level of benefit	R
Beneficiary Data	All personal information for a beneficiary; used in supporting benefits distribution, including (but not limited to): <ul style="list-style-type: none"> • Names and addresses • SSNs • Relationship to veteran • Medical Status 	R
Account Information: Insurance	Specific information related to a veteran's account with a VA program, which is used to support the delivery of services to the veteran and management of the overall program. Information will include (where appropriate): <ul style="list-style-type: none"> • Name (identity) of the veteran (to link to personal data) • Case/account number • Name (identity) of beneficiary • Veteran contact history • Eligibility determination information • Benefit entitlement information • Payment information and history 	R

4.5.8 Subfunction 8: Program Management

Many activities are required to run benefits programs. The activities include:

- Workload analysis and projections
- Trend Analysis
- Legislation
- Budget formulation
- Quality Assurance
 - Case Reviews
 - Process Reviews
- Program Evaluations
- Customer Satisfaction Surveys
- Implementation of Oversight Requirements (OMB, Legislation, etc.)
- Employee Development

Associated Data Classes		
Title	Description	CRUD
Veteran Personal Data	All personal information for a veteran used in supporting benefits distribution, including (but not limited to): <ul style="list-style-type: none"> • Name and address • SSN • Current occupation • Salary and financial information • Family/dependents • Marital status • Medical status • Death information 	R
Service Data	Information on a veteran's service record provided by DOD (e.g., DD214 or equivalent), and provided to VA by other sources (frequently during development or claims)	R
Eligibility Determination Data	Information compiled by a VA organization used in deciding on an applicant's eligibility for a program benefit, and in assessing the level of benefit	R

Associated Data Classes		
Title	Description	CRUD
Beneficiary Data	All personal information for a beneficiary; used in supporting benefits distribution, including (but not limited to): <ul style="list-style-type: none"> • Names and addresses • SSNs • Relationship to veteran • Medical Status 	R
Account Information: Insurance	Specific information related to a veteran's account with a VA program, which is used to support the delivery of services to the veteran and management of the overall program. Information will include (where appropriate): <ul style="list-style-type: none"> • Name (identity) of the veteran (to link to personal data) • Case/account number • Name (identity) of beneficiary • Veteran contact history • Eligibility determination information • Benefit entitlement information • Payment information and history 	R
Employee Data	Individual Development Plans, Training Plans.	RU
Economic and Demographic Projections	Market, demographic, macro and microeconomic, historical usage and other data statistics, and analyses used to support long range forecasts, projections, and assessments of VA benefits and claims volumes, program costs and funding requirements, legislation development, and other strategic program management functions	C
Workload and Budget Forecasts	Long range forecasts, projections, and assessments of VA benefits and claims volumes, program costs and funding requirements which support legislation development, and other strategic program management functions	CRU

4.6 Loan Guaranty

The Loan Guaranty Program (LGY) provides housing credit assistance to veterans and service persons with the objective of enabling entry into the home-buying market. Assistance is provided through the Government's partial guaranty of loans by private lenders in lieu of the

substantial down payment and other investment safeguards required in conventional mortgage transactions. The program was one of the major innovations and a most important part of the original Servicemen's Readjustment Act of 1944, Public Law 78-346. The first legal framework was set forth in Title III of that Act. In a way, the loan guaranty program was advanced as an alternative device to a cash bonus, because it would be vastly less expensive to the Government, and because it would better serve the needs of veterans.

4.6.1 Subfunction 1: Eligibility Determination

This sub function focuses on veteran eligibility determination and loan approval. Activities performed include:

- Approve application for Certificate of Eligibility
- Develop (acquire additional information required to make an eligibility determination)
- Determine eligibility
- If eligible, Lender collects loan information
- VA case number assigned/Fee appraiser assigned
- Lender involvement/coordination
- Notification of loan approval
- Loan closes
- Issuance of guaranty to lender

Associated Data Classes		
Title	Description	CRUD
Veteran Personal Data	<p>All personal information for a veteran used in supporting benefits distribution, including (but not limited to):</p> <ul style="list-style-type: none"> • Name and address • SSN • Current occupation • Salary and financial information • Family/dependents • Marital status • Medical status • Death information 	CRU

Associated Data Classes		
Title	Description	CRUD
External Service Provider Data	<p>Information on third party (commercial, non-profit, other government agency) providers of services delivered to veteran paid for with funds from VA program. Data will include:</p> <ul style="list-style-type: none"> • Name, address, contact data for institution • Specific information on provider concerning services to be provided • VA programs to be supported • Services authorized • Data concerning conditions, status of approval • Assessment analysis data <p>Examples include education and training institutions, rehabilitation service providers, mortgage lenders</p>	R
Eligibility Determination Data	Information compiled by a VA organization used in deciding on an applicant's eligibility for a program benefit, and in assessing the level of benefit	CRU
Service Data	Information on a veteran's service record provided by DOD (e.g., DD214 or equivalent), and provided to VA by other sources (frequently during development or claims)	R
Account Information: Loan Guaranty Services	<p>Specific information related to a veteran's account with a VA program, which is used to support the delivery of services to the veteran and management of the overall program. Information will include (where appropriate):</p> <ul style="list-style-type: none"> • Name (identity) of the veteran (to link to personal data) • Case/account number • Name (identity) of beneficiary • Veteran contact history • Eligibility determination information • Benefit entitlement information • Payment information and history 	CRU

4.6.2 Subfunction 2: Account Maintenance

This subfunction includes activities associated with providing loan administration (servicing) on defaulted loans and the resale of property.

- Involvement in a specific loan begins at request of veteran or lender (lender files an NOD)
- Veteran requests help: VA or lender provides financial counseling
- Types: Repayment plan, Deed in Lieu of Foreclosure, VA Refunding, or Compromise Sale
- VA maintains information on sale of property (case number, other data)
- Loan cures or is terminated

Associated Data Classes		
Title	Description	CRUD
Account Information: Loan Guaranty Services	Specific information related to a veteran's account with a VA program, which is used to support the delivery of services to the veteran and management of the overall program. Information will include (where appropriate): <ul style="list-style-type: none"> • Name (identity) of the veteran (to link to personal data) • Case/account number • Name (identity) of beneficiary • Veteran contact history • Eligibility determination information • Benefit entitlement information • Payment information and history 	RU

4.6.3 Subfunction 3: Program Integrity

The Program Integrity subfunction implements security, procedures, and processes to insure the integrity of data and the oversight of benefits processes.

- 9 Regional loan centers provide oversight of lenders in their region of jurisdiction.
- They review percentage of cases each month.
- Monitoring Unit (MU) performs more in-depth analysis
- MU performs audits (more lender focused, higher % cases/lender)
 - Medium and small lender audits done at VA
 - Large and Medium lenders done at lender location
- Survey Teams perform oversight of Regional Loan Centers (all LGY OPS)
- Portfolio Loan Oversight Unit (PLOU) oversight of Portfolio Contractor on Vendee Loans
- Fraud detection and prevention (IG Referral)

Associated Data Classes		
Title	Description	CRUD
Account Information: Loan Guaranty Services	Specific information related to a veteran's account with a VA program, which is used to support the delivery of services to the veteran and management of the overall program. Information will include (where appropriate): <ul style="list-style-type: none"> Name (identity) of the veteran (to link to personal data) Case/account number Name (identity) of beneficiary Veteran contact history Eligibility determination information Benefit entitlement information Payment information and history 	R
External Service Provider Data	Information on third party (commercial, non-profit, other government agency) providers of services delivered to veteran paid for with funds from VA program. Data will include: <ul style="list-style-type: none"> Name, address, contact data for institution Specific information on provider concerning services to be provided VA programs to be supported Services authorized Data concerning conditions, status of approval Assessment analysis data Examples include education and training institutions, rehabilitation service providers, mortgage lenders	R
Case Information	Detailed information on VA employee and office involvement in the treatment and resolution of a veteran's case in a benefits decision (used for STAR sheets)	R

4.6.4 Subfunction 4: Appeals

This subfunction includes activities associated with eligibility appeals and approval appeals.

- Veteran can appeal denial of eligibility or loan disapproval
- Any interested party can appeal property value determination
- Notifies VA office
 - Letter (required)
 - Phone call
- Regional loan centers or 2 Regional offices can decide appeal

Associated Data Classes		
Title	Description	CRUD
Service Data	Information on a veteran's service record provided by DOD (e.g., DD214 or equivalent), and provided to VA by other sources (frequently during development or claims)	R
Account Information: Loan Guaranty Services	Specific information related to a veteran's account with a VA program, which is used to support the delivery of services to the veteran and management of the overall program. Information will include (where appropriate): <ul style="list-style-type: none"> • Name (identity) of the veteran (to link to personal data) • Case/account number • Name (identity) of beneficiary • Veteran contact history • Eligibility determination information • Benefit entitlement information • Payment information and history 	R

4.6.5 Subfunction 5: Outreach

Title 38 requires VA to inform veterans, service personnel, reservist, dependents and other eligible persons about all VA benefits he/she may be eligible to receive. The Outreach program is designed to provide this information, as well as any changes to this information, through many different mediums. These include briefings to service personnel upon before and upon separation, mail outs, websites, etc. Activities within this area include:

- Pamphlet creation and distribution to other VA organizations and third parties
- Use of overall VA publicity programs
- Websites
 - Web-site (www.VA.gov)
- Briefings at discharge points
- Information to VA approved training institutions
- Program participant training on VA loans

Associated Data Classes		
Title	Description	CRUD
Service Data	Information on a veteran's service record provided by DOD (e.g., DD214 or equivalent), and provided to VA by other sources (frequently during development or claims)	R

Associated Data Classes		
Title	Description	CRUD
Account Information: Loan Guaranty Services	Specific information related to a veteran's account with a VA program, which is used to support the delivery of services to the veteran and management of the overall program. Information will include (where appropriate): <ul style="list-style-type: none"> Name (identity) of the veteran (to link to personal data) Case/account number Name (identity) of beneficiary Veteran contact history Eligibility determination information Benefit entitlement information Payment information and history 	R
Benefit Data: Loan Guaranty Services	Information intended for widespread distribution to veterans as part of VA promotion, marketing, and outreach activities for Loan Guaranty Services	R
External Service Provider Data	Information on third party (commercial, non-profit, other government agency) providers of services delivered to veteran paid for with funds from VA program. Data will include: <ul style="list-style-type: none"> Name, address, contact data for institution Specific information on provider concerning services to be provided VA programs to be supported Services authorized Data concerning conditions, status of approval Assessment analysis data Examples include education and training institutions, rehabilitation service providers, mortgage lenders	CRU

4.6.6 Subfunction 6: Program Participant Approval

This subfunction evaluates and approves lenders (called participants here) for participation in the Loan Guaranty program. Activities include:

- Request for program participant approval with financial data, and other data
- Evaluation of application/criteria
- Must be subject to Federal/State Regulatory Agencies (SRA) mandatory periodic examinations to be considered a Supervised Lender

- Non-supervised lender subject to one-year probationary period
- Non-supervised automatic lender must submit annual financial statement and list of agents

Fees are levied on participants, including:

- One-time fee for non-supervised lender's underwriters, and Staff Appraiser Reviewers
- Annual fee required to be submitted for lender's agents used on an ongoing basis (more than 4 times/year)

Associated Data Classes		
Title	Description	CRUD
External Service Provider Data	<p>Information on third party (commercial, non-profit, other government agency) providers of services delivered to veteran paid for with funds from VA program. Data will include:</p> <ul style="list-style-type: none"> • Name, address, contact data for institution • Specific information on provider concerning services to be provided • VA programs to be supported • Services authorized • Data concerning conditions, status of approval • Assessment analysis data <p>Examples include education and training institutions, rehabilitation service providers, mortgage lenders</p>	CRU

4.6.7 Subfunction 7: Program Management

This subfunction provides long range strategic analysis and forecasting of VA program financial requirements and status, and support for policy/legislative initiatives. Many activities are required to run benefits programs. The activities include:

- Projection of claims and guaranty dollar volumes
- Workload analysis and projections
- Trend Analysis
- Legislation support, development & implementation
- Budget formulation
- Quality Assurance
 - Case Reviews
 - Process Reviews
- Program Evaluations

- Customer Satisfaction Surveys
- Implementation of Oversight Requirements (GAO, OMB, Legislation, etc.)

Associated Data Classes		
Title	Description	CRUD
External Service Provider Data	Information on third party (commercial, non-profit, other government agency) providers of services delivered to veteran paid for with funds from VA program. Data will include: <ul style="list-style-type: none"> • Name, address, contact data for institution • Specific information on provider concerning services to be provided • VA programs to be supported • Services authorized • Data concerning conditions, status of approval • Assessment analysis data Examples include education and training institutions, rehabilitation service providers, mortgage lenders	R
Service Data	Information on a veteran's service record provided by DOD (e.g., DD214 or equivalent), and provided to VA by other sources (frequently during development or claims)	R
Economic and Demographic Projections	Market, demographic, macro and microeconomic, historical usage and other data statistics, and analyses used to support long range forecasts, projections, and assessments of VA benefits and claims volumes, program costs and funding requirements, legislation development, and other strategic program management functions	C
Workload and Budget Forecasts	Long range forecasts, projections, and assessments of VA benefits and claims volumes, program costs and funding requirements which support legislation development, and other strategic program management functions	CRU

4.6.8 Subfunction 8: Customer Service

This subfunction provides information about the Loan Guaranty Program:

- Uses other VA organizations to provide information
- Take calls, respond to inquiries, answer questions
- All Regional Offices and loan centers can accept and track calls
- Duty to Assist -- the obligation that VBA employees help applicants to obtain benefits

Associated Data Classes		
Title	Description	CRUD
Veteran Personal Data	All personal information for a veteran used in supporting benefits distribution, including (but not limited to): <ul style="list-style-type: none"> • Name and address • SSN • Current occupation • Salary and financial information • Family/dependents • Marital status • Medical status • Death information 	CRU
Service Data	Information on a veteran's service record provided by DOD (e.g., DD214 or equivalent), and provided to VA by other sources (frequently during development or claims)	RU
Benefit Loan Guaranty Services	Information intended for widespread distribution to veterans as part of VA promotion, marketing, and outreach activities for Loan Guaranty Services	R

4.6.9 Subfunction 9: Property Management

When a loan is defaulted upon and the lender forecloses, the property may pass into the possession of VA. This subfunction manages the maintenance and disposal of such properties. Activities include:

- VA property management (PM) brokers handle sale of property.
- Brokers list, show, act as VA agent, find buyers, and obtain financial information on borrowers when necessary.
- VA can provide financing when necessary.
- Countrywide Home Loans (CHL) currently serves as portfolio contractor.
- CHL provides administration of vendee loans.

Associated Data Classes		
Title	Description	CRUD
Borrower Data	Information on borrowers receiving VA loans for the purchase of VA-held properties acquired through foreclosure of VA-backed loans (in general, this will NOT be a veteran) <ul style="list-style-type: none"> • Name and address • Loan number 	CR

Associated Data Classes		
Title	Description	CRUD
Loan Description	Data on VA provided loan/financial assistance for sale of VA-held properties resulting from foreclosures on VA mortgages. Data will include: <ul style="list-style-type: none"> • Loan number • Loan amount • Loan ID of VA-provided loan (if provided) • Loan information (type, interest rate, repayment terms, etc...) • Borrower name, address and other information 	CRU
Sale Transaction Data	Data from sale of VA held properties resulting from foreclosures on VA mortgages. Sales are on the open market, and VA as seller will be required to retain information on transaction for some period of time. Data will include: <ul style="list-style-type: none"> • Buyer name, address and other information • Sale amount • Property information (address, condition, etc...) • Sale type • Loan ID of VA-provided loan (if provided) 	C

4.7 Memorials and Burial

VA has the responsibility of honoring veterans with a final resting place and lasting memorials that commemorate their service to our nation. The following subfunctions implement this responsibility.

4.7.1 Subfunction 1: Provide Burial Space For Veterans and Their Eligible Family Members

This subfunction provides burial space for veterans and their eligible family members. It in turn contains subfunctions including burial in a national cemetery; establishing new national cemeteries; expanding existing national cemeteries; and administering grants for establishing or expanding state veterans cemeteries.

4.7.1.1 Subfunction 1.1: Burial In A National Cemetery

This subfunction provides burial space for veterans and their eligible family members in National Cemeteries. Specific high-level activities include:

- Pre need qualification
- Receive request

- Determine eligibility
- Establish electronic record
- Schedule Interment/Inurnment
- Provide Committal Service
- Interment / Inurnment
- Electronic data sharing

Associated Data Classes		
Title	Description	CRUD
Veteran	An individual who by virtue of eligible military service may be interred in a national cemetery. The veteran has the option of choosing casket, in-ground cremain or columbaria interments.	CRU
Family Member	The spouse or minor or dependent child of an eligible veteran who may select interment in a national cemetery based on the veteran's eligibility. Eligible family members may predecease the veteran. Family members are usually interred in the same or adjacent gravesite as the eligible veteran.	CRU
Decedent	The decedent is the veteran or family member that will be buried in the national cemetery. The request will be submitted by a funeral home or next of kin (NOK) on behalf of the decedent. The eligibility is determined for the decedent.	CRU
Burial Request	The funeral home, NOK or other accountable party requesting burial at a national cemetery submits a burial request. The request contains the submitter's identifying information, point of contact (POC), initial POC if different from POC, NOK, decedent information, and requested cemetery.	CRU
State and Local Permits	Information required by state or county authorities in order to perform a burial, e.g., death certificate, cremation certificate	R
Burial Record (ROI – Record of Interment)	Documentation that a burial has been completed and a gravesite is occupied in a national cemetery.	CRU

Associated Data Classes		
Title	Description	CRUD
Burial Eligibility	The existence of burial eligibility verification means a request is valid and in the process of being fulfilled. The record contains all the necessary information to initiate and complete the request.	CRU
Sensitive Case Information	Documentation of request for an eligibility waiver or disposition of a Capital Crimes determination. Information includes a record of communication with the family and other accountable parties.	CRU
Burial Site	The burial site describes the specific location where burial will occur and the headstone/marker will be placed. This is used to support the committal service, shipment of the headstone/marker, and update of perpetual care requirements and available cemetery space.	CRU
Burial Reservation Information	The Gravesite Reservation System (GRS) tracks the remaining reserved gravesites from an Army program that was discontinued in 1962. Persons holding reserved grave space in national cemeteries are contacted regularly to determine their current intentions regarding use of the reserved space. Released reservations are added back to the cemeteries gravesite inventory.	CRUD
Adjacent Gravesite Set Aside Information (AGS)	The Adjacent Gravesite Set Aside Program enables national cemeteries to set aside the gravesite next to the eligible veteran or spouse for later use by the surviving spouse. This is done in cemeteries where soil conditions prevent more than one interment per grave or when both spouses are eligible veterans and therefore eligible for individual graves. Set asides are subtracted from the cemetery's gravesite inventory.	CRUD
Committal Service	This provides the schedule information for the burial service. It is used as a baseline for measuring performance, e.g., time to place marker after burial. It will also link to the burial site information, to enable tracking of performance by sites. Committal Service information also records whether or not military funeral honors were requested and provided.	CRU

Associated Data Classes		
Title	Description	CRUD
Funeral Directors Information	Professionals who are often the spokespersons for the veteran or next of kin and who are also directly involved in the delivery of burial services through the scheduling of committal services of interments and inurnments. Information includes name of firm, point of contact, address, and phone number.	CRU
Sensitive Case Information	Documentation of request for an eligibility waiver or disposition of a Capital Crimes determination. Information includes a record of communication with the family and other accountable parties.	CRU

4.7.1.2 Subfunction 1.2: Establish New National Cemeteries

VA works to establish new national cemeteries in areas where there is a large veteran population and where no burial options in a state veterans or national cemetery within 75 miles exists.

There are several activities within this sub function:

- Site selection
- National Environmental Policy Act Compliance
- Land Acquisition
- Master Planning and Design Development
- Construction Documents Preparation
- Construction Award and Completion
- Staffing and Equipping
- Outreach

Associated Data Classes		
Title	Description	CRUD
Veterans Served	The number of veterans who reside within the service area (75 miles) of an open national or state veteran's cemetery.	CRU
Veterans Unserved	The number of veterans who do not have access to an open national or state veteran's cemetery within 75 miles of their residence.	CRU
Veteran Demographic Information	Data relating to veteran deaths, mobility, population, and age by geographic location (state, county) across the United States and Puerto Rico.	CRU

Associated Data Classes		
Title	Description	CRUD
Burial Option	An indicator of access. Veterans are considered served by a burial option if there is a national or state veterans' cemetery with space for an initial casket or cremain burial within 75 miles of their residence.	CRU
Projections	Number of expected burials in a new cemetery extended over 20 years	CRU
Construction Information	<ul style="list-style-type: none"> • Funding • Gravesite Layout • Contracts • Acquisition information • Architectural Design/Blueprints/As-Built • Vendors/Contractor/Builders 	CRU

4.7.1.3 Subfunction 1.3: Expand Existing National Cemeteries

VA provides continued service to meet projected burial demands. National cemeteries will close due to the depletion of grave space when the cemetery's acreage is fully developed. Activities in this sub function do not include phased development of existing land in VA's inventory.

Associated Data Classes		
Title	Description	CRUD
Veterans Served	The number of veterans who reside within the service area (75 miles) of an open national or state veteran's cemetery.	CRU
Veteran Demographic Information	Data relating to veteran deaths, mobility, population, and age by geographic location (state, county) across the United States and Puerto Rico.	CRU
Burial Access	An indicator of options available. Veterans are considered served by a burial option if there is a national or state veterans' cemetery with space for a first casket or cremain burial within 75 miles of their residence.	CRU
Projections	Number of expected burials in a new cemetery extended over 20 years.	CRU

Associated Data Classes		
Title	Description	CRUD
Construction Information	<ul style="list-style-type: none"> • Funding • Gravesite Layout • Contracts • Acquisition information • Architectural Design/Blueprints/As-Builts • Vendors/Contractor/Builders 	CRU
Interment Trends	An indicator of usage or veteran preference. The number of burials by type, casketed, in ground cremation, columbaria cremains.	CRU
Interment Actions	Number of annual burials in an established cemetery. Used to project expansion needs.	CRU
Burial Reservation Information	The Gravesite Reservation System (GRS) tracks the remaining reserved gravesites from an Army program that was discontinued in 1962. Persons holding reserved grave space in national cemeteries are contacted regularly to determine their current intentions regarding use of the reserved space. Released reservations are added back to the cemeteries gravesite inventory.	CRUD
Adjacent Gravesite Set Aside Information (AGS)	The Adjacent gravesite Set Aside Program enables national cemeteries to set aside the grave site next to the eligible veteran or spouse for later use by the surviving spouse. This is done in cemeteries where soil conditions prevent more than one interment per grave or when both spouses are eligible veterans and therefore eligible for individual graves. Set asides are subtracted from the cemetery's gravesite inventory.	CRUD

4.7.1.4 Subfunction 1.4: Administer Grants For Establishing State Veterans Cemeteries
VA, through the State Cemetery Grants Program (SCGP), provides burial space for eligible veterans and their families in state managed veteran's cemeteries that complement the national cemetery system.

- States determine need, investigate availability of suitable land, assess impacts, encourage support, complete application SF 424
- Receive Grant Application Request
- Review and evaluate application submissions
- Final design process approval

- Award
- State / VA construction award and coordination

Associated Data Classes		
Title	Description	CRUD
State Cemetery Grant Program	The SCGP was established in 1978 to complement VA's National Cemetery Administration. The program assists states in providing graves sites for veterans in those areas where VA's national cemeteries cannot fully satisfy their burial needs. Information includes authorizing legislation, budget history and projections, regulations, policies and procedures.	CRUD
State Cemetery Grants Information	Grants used for the purpose of establishing, expanding or improving veterans cemeteries that are owned and operated by a state or U.S. territory. Historical records by state track the date, number and type of grants awarded as well as the monetary award. Historical records by state track the date, number and type of grants awarded as well as the monetary award.	CRU
State Information	Each of 56 states, territories and possessions of the United States, including Guam, American Samoa, the U.S. Virgin Islands and the Commonwealth of the Northern Marianas Islands, the District of Columbia, and the Commonwealth of Puerto Rico that are eligible to apply for a federal grant under the SCGP. State information includes location of state offices, names and addresses of governing officials, state VSO points of contact, applicable state laws or regulations, and state veteran demographics.	CRU
Grant Application	Format and documentation states are required to use for requesting government funds to establish a new state veteran's cemetery or to expand/improve an existing cemetery. Information includes Employee Identification Number (EIN), budget estimates (federal and state), design concept, needs assessment, Congressional districts to be served, location of project, date application is submitted, date application received, and Federal Application Identifier.	R

Associated Data Classes		
Title	Description	CRUD
Design Document Review	Guidance provided by NCA through the State Cemetery Grants Service for the design of new cemeteries and improvements to existing cemeteries. Information includes drawings and specifications of the project, contract manual, number of projected gravesites, location and size of buildings and structures, length of roads, and size of burial areas.	CRU
State Cemetery Data Sheet	Annual documentation provided by state veterans cemeteries that reports the number of interments (veterans and non veterans), type of interments (casket, cremain, columbaria), the number of gravesites (used and available), and annual operating costs.	R

4.7.2 Subfunction 2: Provide Memorials That Commemorate a Veteran's Service.

This subfunction provides memorials that commemorate a veteran's service, including ordering headstones and markers and marking graves in national cemeteries, providing headstones and markers for the graves of veterans in cemeteries other than national cemeteries, and providing Presidential Memorial Certificates for friends and family members of deceased veterans. This subfunction is decomposed further in the following subsections.

4.7.2.1 Subfunction 2.1: Headstones And Markers In National Cemeteries

This subfunction marks veterans' graves in national cemeteries with Government-provided headstones or markers. Activities include:

- Eligible burial occurs.
- Family members verify inscription information.
- Final inscription is approved in the Burial Operations Support System (BOSS).
- Transaction is placed in holding queue.
- Order Headstone or Marker (Submit order for headstones or markers for veterans and eligible family members).
- Contracting Office reviews order.
- Orders are sorted by type, location, and other criteria.
- Delivery orders are placed against federal contracts (currently numbering 78).
- Contractor Manufactures and Ships Headstone / Marker.
- Cemetery Receives and Places Headstone/ Marker.

Associated Data Classes		
Title	Description	CRUD
Marker Information	Burial in a national cemetery includes an inscribed headstone or marker. The types of available markers are flat bronze, granite or marble and upright granite or marble. Columbaria are marked with bronze, granite or marble niche covers for the inscription of inurnment of cremated remains. Headstones and markers may also be provided to memorialize a veteran when the remains are unrecoverable. When burial or memorialization is in a national, post, or state veterans' cemetery, the cemetery officials will order a headstone or marker.	CRU
Inscription Information	The headstone or marker inscription is based on information provided by the next of kin and other information received through other government sources. The inscription is the personal information of the decedent inscribed at the time of need. Mandatory information includes the name of the veteran, branch of service, and the year of birth and death, in that order, and "In Memory Of" for memorial markers. Other information may be inscribed (space permitting) such as authorized emblem of belief, grade, rate or rank, war service, military awards, military organizations, civilian or veteran affiliations and terms of endearment that meet acceptable standards of good taste. Spouse or family information includes name, relationship, date of birth and death.	CRU
Carrier Information	The shipment, delivery and receipt information of orders placed against contracts for manufactured goods. This category of information includes shipper information, mode of transportation, weights, shipping and delivery dates and associated shipping costs.	CRU
Contract Information	Federal government procurement vehicles used to acquire headstones, markers and inscriptions. Information includes manufacturer, marker type, unit cost, length of contract, capacity, location, terms of quality and timeliness	CRU

Associated Data Classes		
Title	Description	CRUD
Order Information	Legal authority for the manufacturer to begin work. Identification of the items manufactured, purchase (obligation) order #, inscription details, type, and destination.	CRU
Invoice Information	Certification of work that has been completed by the manufacturer includes carrier information/Government Bill of Lading.	R
Monument Order Acknowledgement Receipt (MOAR)	An automated report of approved inscription data, which includes shipment number and space for the cemetery to track receipt and setting dates.	CRU

4.7.2.2 Subfunction 2.2: Headstones And Markers In Cemeteries Other Than VA National Cemeteries

This subfunction marks veteran's graves in cemeteries other than VA national cemeteries.

For non VA cemeteries using BOSS:

- Eligible burial occurs
- Inscription information is verified by family members
- Final inscription is approved in BOSS.
- Transaction is placed in Holding Queue.
- Headstone or Marker is ordered
 - Centralized Contracting Division reviews order.
 - Orders are sorted by type, location, and other criteria.
 - Delivery orders are placed against federal contracts (currently 78).
- Contractor Manufactures and Ships Gravestone / Marker
- Cemetery Receives and Places Gravestone / Marker

OR

For private cemeteries, post cemeteries and some state veterans' cemeteries:

- Receive Request (VA Form 40-1330). Request can come from a State Cemetery, a Private Cemetery, funeral home or Next of Kin (NOK).
- Determine Eligibility
- Establish Electronic Record in the Automated Monument Application System (AMAS)
- Final inscription is approved in AMAS
- Transaction is placed in Holding Queue.

- Order headstone or marker
 - NCA Contracting Office reviews order.
 - Orders are sorted by type, location, and other criteria.
 - Delivery orders are placed against federal contracts (currently 78).
- Contractor Manufactures and Ships Gravestone / Marker Order Headstone or Marker
- Cemetery or other consignee receives headstone / marker.

Associated Data Classes		
Title	Description	CRUD
Headstone / Marker Application Information	When burial is in a private cemetery, the next of kin, funeral director or cemetery representative submits VA Form 40-1330, Application for Standard Government Headstone or Marker. A copy of the veteran's military discharge documents is required.	CRU
Marker Information	VA provides the following type of headstones and markers for placement in non-VA cemeteries; flat bronze, granite or marble, upright granite or marble and columbaria niche covers of bronze, granite or marble for the purpose of marking the location of veteran's grave site. Headstones and markers may also be provided to memorialize a veteran whose remains are not recoverable.	CRU
Inscription	Inscription of headstones and markers is the personal information of the decedent inscribed at the time of need. Mandatory information includes the name of the veteran, branch of service, and the year of birth and death, in that order. Other information may be inscribed (space permitting) such as authorized emblem of belief, grade, rate or rank, war service, military awards, military organizations, civilian or veteran affiliations and terms of endearment that meet acceptable standards of good taste.	CRU
Carrier Information	The shipment, delivery and receipt information of orders placed against contracts for manufactured goods. This category of information would include shipper information, mode of transportation, weights, shipping and delivery dates and associated shipping costs.	
Contract	Pre-established federal government procurement vehicles used to acquire headstones and markers.	CRUD

Associated Data Classes		
Title	Description	CRUD
Manufacturer Information	Identification of the items manufactured, invoice numbers, inscription details, and type.	CRU
Monument Order Acknowledgement Receipt (MOAR)	An automated report of approved inscription data that includes ordering and receipt of headstone and marker delivery information.	CRU

4.7.2.3 Subfunction 2.3: Provide Presidential Memorial Certificate

A Presidential Memorial Certificate (PMC) is provided for family members or friends to recognize a deceased veteran's service to a grateful nation. Key activities include:

- Receive Request
 - Veteran interred in a national cemetery (data source: BOSS)
 - Personal request from family or friend
 - First Notice of Death (FNOD) records (Beneficiary Identification & Record Locator System/Internet BIRLS/BDN Access (BIRLS/IBBA))
- Determine Eligibility
- Contractor produces PMC
- NCA verifies PMC quality
- Contractor embosses and mails

Associated Data Classes		
Title	Description	CRUD
PMC Request	A request for PMC may be generated automatically through BOSS first notice of death or by individual request from friends or family members. Friends and family members may request PMCs by personal letter, email, fax or telephone call.	CRU
Certificate	A printed document on parchment paper inscribed with the veteran's name and the signature of the sitting President of the United States. The certificate also has a gold foil embossed seal.	CRU
Eligible Veterans	Families and friends of veterans discharged under honorable conditions may receive a PMC.	R
Contractor	Responsible for embossing and mailing PMCs.	CRU

4.7.3 Subfunction 3: Maintain National Cemeteries As National Shrines

This subfunction maintains national cemeteries and affiliated soldiers', Government, and Confederate lots, as national shrines. Each national cemetery and affiliated soldiers', Government, and Confederate lot exists as a national shrine and as such serves as an expression of the appreciation and respect of a grateful Nation for the service and sacrifice of her veterans. Each national shrine provides an enduring memorial to their service as well as a dignified and respectful setting for their final rest.

The commitment of our Nation, as defined by law, is to create and maintain these sites as national shrines, transcending the provision of benefits to an individual. A national shrine may be defined as a place of honor and memory that declares to the visitor or family member who views it that, within its majestic setting, each and every veteran may find a sense of serenity, historic sacrifice and nobility of purpose. Each visitor should depart feeling that the grounds, the gravesites and the environs of the national cemetery are a beautiful and awe-inspiring tribute to those who gave much to preserve our Nation's freedom and way of life.

NCA maintains occupied graves and developed acres in a manner befitting their stature as national shrines. Extensive renovations and improvements in the appearance of burial grounds and historic structures, as well as perpetual maintenance, is performed to avoid the deterioration of veterans' graves, grave headstones and markers, monuments and memorials, cemetery grounds, buildings, and other infrastructure. Maintenance involves the following activities:

- Develop separate but equal Standards / Performance Measures for 1) active cemeteries and 2) closed/historic cemeteries
- Measure against standards
- Evaluate and submit budget request
- Implement measures
- Measure results

Associated Data Classes		
Title	Description	CRUD
National Cemetery	<p>One of 120 national cemeteries. NCA ensures that national cemeteries are maintained as national shrines dedicated to preserving our Nation's history, nurturing patriotism, and honoring the service and sacrifice veterans have made.</p> <ul style="list-style-type: none"> • Active Cemeteries: 87 cemeteries with gravesites and/or columbaria niches available for interment. Active cemeteries may encompass historic sections that are inactive which are maintained as a national shrine with respect for and retention of historic original features—grounds, buildings and structures. • Historic Cemeteries: 66 cemeteries closed to burials, typically more than 50 years old. Maintained as a national shrine with respect for and retention of historic original features. • Information includes the date the cemetery was established, date of first burial, notable burials, size of the cemetery (in acres), number of occupied gravesites and inventory of cemetery assets both historical and others. 	
Soldiers', Government and Confederate Lots	<p>One of 33 small and historic cemetery properties typically embedded in a larger private cemetery. NCA ensures these diverse cemetery properties are maintained as national shrines dedicated to preserving our Nation's history, nurturing patriotism, and honoring the service and sacrifice veterans have made. Includes information about these locations as well as documentation of projects, repair and maintenance.</p>	CRU
Headstones and Markers	<p>Permanent memorials used to mark the burial location or memory of an eligible veteran or his/her eligible family member in a national cemetery. These permanent memorials of granite, bronze or marble communicate the identity and service of those buried. Includes information about these monuments as well as documentation of projects, repair and maintenance.</p>	CRU

Associated Data Classes		
Title	Description	CRUD
Gravesites	Burial locations for caskets or cremains. Gravesites may be in ground or in structures known as columbaria. Gravesites in national cemeteries are planned to accommodate more than one set of remains from the same family. Includes information about gravesites and burial sections as well as documentation of projects, repair and maintenance.	CRU
Monuments and Memorials	Structures placed to commemorate the service of individuals or groups of veterans. Most memorials in national cemeteries and affiliated soldiers', Government, and Confederate lots are of historical significance. Monuments and memorials in national cemeteries vary in size, materials and design. Includes information about the monuments and memorials as well as documentation of projects, repair and maintenance.	CRU
Grounds	The turf, trees, shrubs, flowers, water elements, perimeter walls, entrance gates and other landscape features both natural and designed. Includes information about grounds and landscape features as well as documentation of projects, repair and maintenance.	CRU
Buildings / Infrastructure	Structures that house or have historically housed administrative and maintenance functions, committal shelters, roads, walkways, electrical and irrigation systems, etc., necessary to accomplish the mission of the national cemetery. Includes information about the structure as well as documentation of projects, repair and maintenance.	CRU
Perpetual Maintenance	VA's commitment to veterans' states that their cemeteries will be maintained and protected forever. National cemeteries carry expectations of appearance higher than other cemeteries. Includes NCA inventory, documentation and tracking of historic cemeteries and their features to ensure cyclical maintenance and long-term preservation.	CRU

Associated Data Classes		
Title	Description	CRUD
Historical Research & Documentation	VA is committed to preserving its historical record. Recording NCA's administrative history and the physical/cultural evolution of its cemeteries within the context of American history will ensure its record as a federal agency. This data—archival and graphic material, oral histories, artifacts, resource databases—is the source for educating present and future constituencies about the sacrifices made by veterans of generations past and will inform future decision-making.	CRU
Education, Outreach, Interpretation Information	VA is committed to educating its employees, constituents and the general public about its origins, accomplishments and historic resources. Public recognition of VA's history and that of its cemeteries as national shrines is achieved through exhibits, printed literature, electronic media, school and organizational programming, etc. Information includes records of public ceremonies, educational programs at the cemetery and in the community, transcripts of speeches, informational brochures and pamphlets with NCA and cemetery data, and fact sheets on burial benefits and national cemetery operations.	CRU

4.8 Medical Care

VA serves the health care needs of America's veterans through a comprehensive, integrated health care system providing primary care, specialized care, and related medical and social support services. These needs are supported by the following subfunctions.

4.8.1 Subfunction 1: Beneficiary/Member Management

This sub function encompasses the front-end of the medical care value chain. It includes all aspects of registration, enrollment, eligibility, scheduling, and patient movement, e.g., between facilities. Specific high-level activities include the following:

- Registration, Enrollment, Eligibility
 - Gather patient information
 - Determine/Verify eligibility [also includes determining catastrophic disability, verifying benefits, and verifying SSN/income]
 - Process Enrollment [also includes determining enrollment priority]
 - Assign Preferred Facility
 - Assign Primary Care Physician
 - Process Appeal/Notice of Disagreement [includes initiating appeals, preparing for hearing, and evaluating appeals]

- Determine Enrollment Group Threshold
- Process Request for Referral
- Scheduling
 - Schedule Appointment
 - Register/Admit Patient
- Discharge/Transfer Patient

Associated Data Classes		
Title	Description	CRUD
Veteran	Veteran is the most important customer/stakeholder within VA. A Veteran is a person who served in the active military, naval, or air services and who was discharged or released under conditions other than dishonorable.	CRU
Employee	A person who works for VA in return for financial or other compensation. Employees may also include administrative staff, e.g., member management, billing, customer service, authorizations, claims processing, contract management, policy and VA IT staff.	R
Care Practitioner	A person responsible for the provision of healthcare services to an individual, or involved in the provision of healthcare related services. This class is not a healthcare provider organization. Examples include physician, midwife, and nurse practitioner. Related caregivers and allied health staff such as physical therapists, rehab specialists may also be included.	R
Referral	An introduction of a patient from one caregiver to another caregiver or provider institution. The referral may authorize the patient to receive Healthcare services. A referral may authorize a specified quantity of a particular kind or level of service. A referral may also simply be a recommendation or introduction.	CRU
Facility	A place where patient services are delivered. A facility is a distinct real property entity (i.e., a man-made object and its surrounding real estate), including all objects managed by facility management system, but not including furnishings that are included in property management systems. Facilities incorporate the properties of being (1) objects, established at (2) specific places for (3) specific purposes. Within this context, facilities are limited to place-based objects that are subject to facilities management and work.	R

Associated Data Classes		
Title	Description	CRUD
Appointment	<p>Appointments are instances of the performance of a service or the use of a resource. They describe the “why”, the “who”, and the “when” in any communication of scheduling transactions. These appointments occupy one or more slots on a service or resource schedule, causing those slots to become unavailable or “booked”. In its simplest form, an appointment consists of one service or resource for a period of time, for a specific reason (Abstracted from HL7 v2.4, final standard Nov 2000).</p>	CRU
Eligibility	<p>A condition or attribute of an applicant that can determine a person’s qualification for VA healthcare related benefits. Information related to a person's or an organization's entitlement to benefits is captured. This subject area includes eligibility criteria, available benefits, service connected disability information, and entitlement decisions. Title 38, USC designates the beneficiaries of the VHA system. The Veterans’ Health Care Eligibility Reform Act of 1996 direct VA to limit care to those veterans who have enrolled for care, with the following priorities for enrollment:</p> <ol style="list-style-type: none"> 1. Veterans with service-connected disabilities of 50 percent or more. 2. Veterans with service-connected disabilities rated at 30 or 40 percent. 3. Former prisoners of war and veterans with service-connected disabilities rated at 10 or 20 percent. 4. Catastrophically disabled veterans and veterans receiving increased nonservice-connected disability pensions because they are housebound or need the aid and attendance of another person to accomplish the activities of daily life. 5. Veterans unable to defray the cost of medical care. 6. All other veterans in the so-called “core group,” including veterans of World War I and veterans with priority of care based on presumed environmental exposure. 7. All other veterans. 	CRU

Associated Data Classes		
Title	Description	CRUD
Patient	A person who is subject to receive, is receiving, or has received healthcare services. A patient may have a relationship to the veteran/beneficiary.	CRU

4.8.2 Subfunction 2: Healthcare Delivery Management

Healthcare Delivery and Provider Management includes Healthcare Delivery, Order Management, Healthcare Management, and Management of Providers. Health Care Delivery Services encompasses the processes by which patients are provided healthcare services, e.g., primary and ambulatory, specialty, inpatient, mental health, extended care, acute care, allied health care, rehabilitation care, domiciliary care, remote care, and nursing home in a seamless manner.

High-level activities for this sub function include: Provide Direct Care, e.g., primary, specialized, inpatient, outpatient, dental, orthotics, Mental Health, prosthetic, acute, and emergency; in addition it also includes:

- Provide/leverage clinical practice guidelines
- Manage Orders (order entry, validation, tracking – e.g., consults, procedures)
- Implement/Manage Population Health Programs (Health Cohorts, e.g., diabetes, stroke, hypertension)
- Deliver Caregiver Education
- Monitor Healthcare Quality and Safety Outcomes
- Monitor Patient Satisfaction
- Manage Providers (credentialing, privileging, profiling)
- Obtain patient history and review complaints (or problem lists)
- Obtain health summary and integrated/comprehensive health record
- Examine the patient (e.g., vitals, allergies, adverse reactions, current medications)
- Analyze the results of the examination
- Assess, evaluate health status, and determine risks
- Leverage guidelines, protocols, disease management strategies, and research materials to determine the most appropriate intervention
- Develop a treatment plan and a course of action
- Consult peers if necessary
- Deliver treatments, services, and recommendations
- Document notes using common medical lexicon/terminology, e.g., observations.
- Review/update patient demographic information
- Capture patient care encounter information
- Monitor and follow-up on patient's health status and progress

Provide Extended Care (nursing and domiciliary); in addition it also includes:

- Provide/leverage clinical practice guidelines
- Manage Orders (order entry, validation, tracking – e.g., consults, procedures)
- Implement/Manage Population Health Programs (Health Cohorts, e.g., diabetes, stroke, hypertension)
- Deliver Caregiver Education
- Monitor Healthcare Quality and Safety Outcomes
- Monitor Patient Satisfaction
- Manage Providers (credentialing, privileging, profiling)
- Obtain patient history and review complaints (or problem lists)
- Obtain health summary and integrated/comprehensive health record
- Examine the patient (e.g., vitals, allergies, adverse reactions, current medications)
- Analyze the results of the examination
- Assess, evaluate health status, and determine risks
- Leverage guidelines, protocols, disease management strategies, and research materials to determine the most appropriate intervention
- Develop a treatment plan and a course of action
- Consult peers if necessary
- Deliver treatments, services, and recommendations
- Document notes using common medical lexicon/terminology, e.g., observations.
- Review/update patient demographic information
- Capture patient care encounter information
- Monitor and follow-up on patient's health status and progress

Provide Ancillary Services (pharmacy, lab, imaging, therapy, monitoring); in addition it also includes:

- Provide/leverage clinical practice guidelines
- Manage Orders (order entry, validation, tracking – e.g., consults, procedures)
- Implement/Manage Population Health Programs (Health Cohorts, e.g., diabetes, stroke, hypertension)
- Deliver Caregiver Education
- Monitor Healthcare Quality and Safety Outcomes
- Monitor Patient Satisfaction
- Manage Providers (credentialing, privileging, profiling)
- Obtain patient history and review complaints (or problem lists)
- Obtain health summary and integrated/comprehensive health record
- Examine the patient (e.g., vitals, allergies, adverse reactions, current medications)
- Analyze the results of the examination
- Assess, evaluate health status, and determine risks

- Leverage guidelines, protocols, disease management strategies, and research materials to determine the most appropriate intervention
- Develop a treatment plan and a course of action
- Consult peers if necessary
- Deliver treatments, services, and recommendations
- Document notes using common medical lexicon/terminology, e.g., observations.
- Review/update patient demographic information
- Capture patient care encounter information
- Monitor and follow-up on patient's health status and progress

Provide Allied Health Services, e.g., dietics, physical therapy; in addition it also includes:

- Provide/leverage clinical practice guidelines
- Manage Orders (order entry, validation, tracking – e.g., consults, procedures)
- Implement/Manage Population Health Programs (Health Cohorts, e.g., diabetes, stroke, hypertension)
- Deliver Caregiver Education
- Monitor Healthcare Quality and Safety Outcomes
- Monitor Patient Satisfaction
- Manage Providers (credentialing, privileging, profiling)
- Obtain patient history and review complaints (or problem lists)
- Obtain health summary and integrated/comprehensive health record
- Examine the patient (e.g., vitals, allergies, adverse reactions, current medications)
- Analyze the results of the examination
- Assess, evaluate health status, and determine risks
- Leverage guidelines, protocols, disease management strategies, and research materials to determine the most appropriate intervention
- Develop a treatment plan and a course of action
- Consult peers if necessary
- Deliver treatments, services, and recommendations
- Document notes using common medical lexicon/terminology, e.g., observations.
- Review/update patient demographic information
- Capture patient care encounter information
- Monitor and follow-up on patient's health status and progress

Provide Remote Care (telemedicine); in addition it also includes:

- Provide/leverage clinical practice guidelines
- Manage Orders (order entry, validation, tracking – e.g., consults, procedures)
- Implement/Manage Population Health Programs (Health Cohorts, e.g., diabetes, stroke, hypertension)
- Deliver Caregiver Education

- Monitor Healthcare Quality and Safety Outcomes
- Monitor Patient Satisfaction
- Manage Providers (credentialing, privileging, profiling)
- Obtain patient history and review complaints (or problem lists)
- Obtain health summary and integrated/comprehensive health record
- Examine the patient (e.g., vitals, allergies, adverse reactions, current medications)
- Analyze the results of the examination
- Assess, evaluate health status, and determine risks
- Leverage guidelines, protocols, disease management strategies, and research materials to determine the most appropriate intervention
- Develop a treatment plan and a course of action
- Consult peers if necessary
- Deliver treatments, services, and recommendations
- Document notes using common medical lexicon/terminology, e.g., observations.
- Review/update patient demographic information
- Capture patient care encounter information
- Monitor and follow-up on patient's health status and progress

Associated Data Classes		
Title	Description	CRUD
Order	Orders are requests for a particular service to be performed once, repeatedly, or continuously on a patient. They are usually written by health care professionals and include the name of a service (for example, glucose test, vital signs, penicillin) that can be an observation (glucose test), a medication (penicillin), a nursing treatment (wet to dry dressings), a consultation, a patient amenity (stationery), and instructions that specify the amount of the service, the frequency, the duration, and the urgency of the service, and special circumstances that should control the dispensing of the service.	CRU
Act	A service is an intentional action in the business domain of HL7. ² Healthcare (and any profession or business) is constituted of intentional actions. A service instance is a record of such an intentional action. The terms service, action, activity, and service action are all used interchangeably, but service has been selected as the principle name of this class. Examples for services in health care are: a clinical test, an assessment of health condition (such as problems and diagnoses), the setting of healthcare goals, the performance of treatment services (such as medication, surgery, physical and psychological therapy,) assisting, monitoring or attending, training and education services to patients and their next of kin, notary services, such as advanced directives or living will.	CRU
Consent	Informed consents and all similar medico-legal transactions between the patient (or his legal guardian) and the provider. Examples are informed consent for surgical procedures, for clinical trials, advanced beneficiary notice, against medical advice decline from service, release of information agreement, etc.	R

² Health Level Seven is a health care standards development organization

Associated Data Classes		
Title	Description	CRUD
Electronic Health Record	All health-related patient information about a patient over time. It is considered to be the legal evidential medical record for an individual. Examples of documentation found in the legal health record includes immunization record, problem list, medication profile, consent forms, consultation reports, test/study/medication orders, procedure reports, anesthesia records, patient to care practitioner/care-practitioner-to-care practitioner communications, care plan, nursing assessment, discharge notes, advanced directives, diagnostic images, and videos of consultations.	CRU
Intervention	An intervention is the administration of a substance or technique (via face-to-face interaction, e-mail, phone) to provide care for or to prevent a condition. An intervention need not be administered solely to individuals. Examples include therapeutic and preventive treatments, procedure, counseling, educational campaigns, and media campaigns. Intervention is a type of Act.	CRU
Material	All physical and physiological things that are of interest to Veterans Health. This includes pharmaceutical substances or disposable supplies as well as durable medical equipment, prosthetics, implantable devices, accesses, drains, and specimens, literally everything. Notably the material class includes facilities, such as immovable service locations or ambulances.	RU

Associated Data Classes		
Title	Description	CRUD
Observation	Observations are actions performed in order to determine an answer or result value. Observation result values are specific information about the observed object. The type and constraints of result values depend on the kind of action performed. The observation action and observation result include two aspects of the same concept, just like the two faces of a coin are not separable from each other. An observation can be a diagnosis, test, health condition, problem list, assessment of causality, or health status inquiry. An observation may also be a public health case that represents a condition or event that has a specific significance for public health.	CRU
Permission	Authorization to provide specified medical, dental and other patient care services in the granting facility, within defined limits, based on the individual's education, professional license, experience, competence, ability, health and judgment.	R
Procedure	The term "procedure" is also commonly known as a "surgical procedure" or an "operative procedure". Typically, a surgical procedure involves planned alteration of the structure of the body, ordinarily requiring the disruption of some body surface, usually through an incision. Procedure is a type of Intervention.	CRU
Provider	An organization responsible for the provision of healthcare services to an individual, or involved in the provision of healthcare related services. A business entity which furnishes health care to a consumer; it includes a professionally licensed practitioner who is authorized to operate a health care delivery facility. Examples include VHA Hospitals (medical centers), home care facilities, domiciliary, long-term care centers, radiology facilities, diagnostic centers, ambulatory clinics, rehab centers, lab facilities, nursing homes, counseling centers, out-patient clinics, community-based clinics, academic medical centers, and consulting/contracted providers.	RU

Associated Data Classes		
Title	Description	CRUD
Qualification	Evidence that an organization or person has the required credentials and/or certifications to receive clinical permissions. Examples include board certification, professional degree, and healthcare accreditation.	CRU
Supplier	An entity that provides a resource, e.g., material, information, to VHA. Examples include brick-and-mortar medical, device, and surgical suppliers, distributors, business-to-business exchanges, supply hubs, e-commerce portals, and online auction sites.	RU
Visit	The visit of an outpatient to one or more units or facilities located in or directed by the provider maintaining the outpatient health services (clinic, medical center, hospital, physician's office). An outpatient visit is the physical presence of a person (at or away from the facility) who has obtained outpatient services during a single 24-hour period. Services provided may be diagnostic, therapeutic, or both. They may be provided by physicians, or at their direction and supervision, by other personnel. An outpatient visit can also be made by or to a family member or other collateral person who is providing needed medical care or information of value to the treatment team about a veteran whose status is an outpatient.	CRU

Associated Data Classes		
Title	Description	CRUD
Volunteer	<p>VA Voluntary Service (VS) volunteers assist veteran patients by augmenting staff in such settings as ambulatory care, Hospice Programs, foster care, hospital-based home care, hospital wards, nursing homes, and veterans' readjustment counseling centers (Vet Centers). VAVS volunteers and their organizations annually contribute millions of dollars in gifts, donations, and time.</p> <p>The Secretary of Veterans Affairs is authorized by Title 38 United States Code (U.S.C.) 513 and MP-5, Part I, Chapter 300, Paragraph 4c, to accept uncompensated services of persons as deemed appropriate. VAVS volunteers are covered under this provision. The services of VAVS volunteers will be for the purpose of supplementing, not replacing, VA compensated staff. Volunteers (individuals or groups) are not to be permitted to participate in or conduct a program for patients in a VA facility independent of VA direction, control, and supervision.</p> <p>Examples may include: student volunteers, volunteers from community organizations, VA employees, employees from non-VA organizations, and patients.</p>	R
Oversight/Regulatory Group	<p>Oversight groups such as GAO, FDA, OMB, National Committee for Quality Assurance (NCQA), Joint Commission on Accreditation of Health Care Organizations (JCAHO), Policymakers, Institute of Medicine, Inspector General (IG), Lawmakers/Congress, and accrediting organizations provide oversight for clinical, medical, budget, policy, information technology, quality, research, privacy, security, and patient safety initiatives.</p>	R

4.8.3 Subfunction 3: Health Data/Process Management/Collaboration

This is a strategic sub function that encompasses the following activities:

- Manage internal health data
 - Implement next generation of health delivery to achieve high degree of quality, patient health care information internally, and maximum collaboration with DOD and the Health care community/agencies
- Share/Exchange Health data/information with partners
 - Collaborate with DOD (sharing of resources, processes, and operations) in such areas as research, patient safety, formulary, education, geriatrics, procurement of medical/surgical/pharmaceutical supplies, guidelines/protocol development, coordination of specialized care (Traumatic Brain injury, Spinal Cord injury, Blind Rehab), and coordination of healthcare. This will result in seamless integration of business processes across departmental lines.
 - Improve sharing of health data, e.g., electronic health record, and information with all partners.
 - Pursue joint venture opportunities with DOD, e.g., infrastructure sharing, development of health/clinical data repository.

Associated Data Classes		
Title	Description	CRUD
Partner	An organization with which VA has a formal agreement, that acts as a VA agent in the operation and monitoring of VA programs. Examples include other Federal Agencies (DOD, CDC, HHS, SSA, IRS), public health institutions, universities, and contractors.	R
Pharmacy	The internal pharmacy system, on line, and brick- and-mortar pharmacies play a key role in delivering care to veterans. Important strategies include improved ability to manage pharmacy costs, collaborate with DOD, and dispense prescriptions in a timely and safe manner.	R

4.8.3.1 Infrastructure and Integration Opportunity: VHA Health Data Repository

The Enterprise Architecture analysis and functional decomposition of the Enterprise Business Functions for the Veterans Health Administration identified several key subfunctions that describe its medical care mission. Analysis of these subfunctions has illuminated the benefit that would result from a shared clinical repository.

The proposed VHA Health Data Repository (HDR), as the cornerstone to the encompassing HealthuVet strategy described in Section 3, is intended to serve as the collection point and authoritative source for clinical information within VHA. Positioned to improve data quality, consistency, and data integration capabilities within VHA, this infrastructure component

becomes the foundation upon which the next generation systems within the Administration will be built, providing greater flexibility through the data services it provides. By storing data consistently in this repository, other systems can be implemented at lower cost by eliminating the need to store copies of data created in other systems, and by reducing the required number of interfaces to other systems. The HDR will be the vehicle VHA will use to migrate its systems towards a patient- and data-centric infrastructure.

The HDR program directly satisfies the needs identified of several of the identified subfunctions, and offers a resource-sharing approach that crosscuts these functional needs. Akin to the Department-level benefit opportunities described in other sections, the Health Data Repository offers similar opportunities to VHA. This target architectural infrastructure provides the basis on which future systems will be built, maximizing reuse and sharing while minimizing redundancy.

Table 4.18-1 below illustrates the subfunctions under Medical Care and the coverage benefit offered by the HDR program. Although the tangible benefit of HDR to VHA presents a particularly compelling case in the Medical Care enterprise business function, VHA believes that HDR will also benefit other areas, such as medical research.

Table 4.18-1: Relationship between HDR and VHA Business Functional Decomposition

Function	Subfunction	Coverage by HDR	Comments
Medical Care	1. Beneficiary/ Member Management		
Medical Care	2. Healthcare Delivery Management	Yes	Includes activities such as provision of direct patient care, extended care, ancillary services, allied health services, remote care
Medical Care	3. Health Data/Process Management / Collaboration	Yes	Addresses areas such as data interchange with partners.
Medical Care	4. Financial Management		
Medical Care	5. Beneficiary / Member Education Management		

Table 4.18-1: Relationship between HDR and VHA Business Functional Decomposition

Function	Subfunction	Coverage by HDR	Comments
Medical Care	6. National Emergency Healthcare Management	Yes	Addresses issues such as management of medical resources, continuity of VA medical facility operations, etc.

VA Enterprise Opportunities

VHA is positioning HealthVet-VistA and its Health Data Repository to take maximum advantage of available Department-level shared resources, and to support other EBFs and KEFs. Even considering that this document reflects among the earliest identification of such sharing opportunities, the benefits in leveraging these proposed new-starts are already evident. HDR can utilize several of these initiatives as part of its development and maturation. A capsule synopsis of reuse opportunities is presented in the following table.

Key Enabling Function (Allocated Functional Baseline)	Relationship of HDR to EBF/KEF	Descriptive Comments
Call Center Initiative	Loose dependency, HDR supports Call Center	Given the nature of the call center, the HDR will have an indirect dependency. Pertinent medico-legal information will be available in the HDR that may need to be accessed by the call center.
Telecommunications and Infrastructure Improvement	Strong dependency, function supports HDR	There is a strong dependency involved with the HDR deployment alternatives, particularly as related to areas of network performance and deployment.
Security	Strong dependency, function supports HDR	Department level security measures and the infrastructure supporting them will provide the foundation necessary to address many infrastructure-oriented security needs of the HDR program.

Key Enabling Function (Allocated Functional Baseline)	Relationship of HDR to EBF/KEF	Descriptive Comments
Data Center / Continuity of Operations	Strong dependency, program supports HDR	Work in areas of continuity of operations planning and failover can be leveraged as part of HDR contingency planning.
Registration, Eligibility, Enrollment	Strong dependency, the functions support each other; multiple benefits programs (EBFs) involved	Given that the HDR has a co-dependency upon this information, this initiative provides an authoritative source for this information and ensures that VHA is supporting veterans consistently with Department records.

The program is targeted to complement several in-process initiatives, such as the Federal Health Information Exchange (FHIE) program [providing information interchange capability with other federal health providers—DOD and IHS], and coreFLS, where the Interface Engine portion of that project provides a key technology infrastructure component that will be leveraged within HDR.

Cross-administration capabilities will continue to be identified and instituted, and HDR will take advantage of them as they become available. Conversely, HealthVet-VistA will become a shared asset not only to VHA but to the Department as well, as it is to contain the authoritative medical information for all VHA beneficiaries.

Health Data Repository (HDR) Functionality

The HDR will serve as an operational clinical repository—a collection of clinical information residing on one or more independent platforms—to be used by clinicians and other personnel to facilitate longitudinal, patient-centric care. Data in the HDR will be organized in a format supporting the delivery of care regardless of the physical location of a patient's clinical information. Additionally, the HDR will serve five fundamental purposes within VHA. It will:

- Serve as a primary source for the legal medical record,
- Enable the generation of clinical reports based on the entire clinical holdings of VHA,
- Serve as the foundational platform for next generation VHA clinical systems,

- Facilitate standardization among federal health providers—Department of Defense (DOD), Indian Health Service (IHS)—and other clinical databases through the creation of a standards-based database, and
- Serve as a platform for patient self-access to the medical record.

One of the primary business drivers behind this initiative is to make available at the point of care the information necessary to improve clinical decision-making to optimize care to our beneficiaries. Requisite is supporting this need to ensure that data has consistency in representation, meaning, and quality across VHA – all improvement opportunities facing the Administration. This persistent, authoritative source of clinical information achieves cross-facility data integration, improves data quality, captures comprehensive data, provides timely clinical decision support, and provides the foundation for the electronic legal medical record. The HDR program further serves as a vehicle for VHA to enhance its support of security and privacy requirements in supporting authorization, authentication, and disclosure needs based upon legislation and policy.

The HDR addresses several content areas vital to VHA's ability to support the requirements of clinical care, and include support for notifications, clinical reminders, decision support, and alerts. The initial phase is planned to include:

- Physician orders and results
- Observations (progress notes, discharge summaries, procedure results, and other forms of documentation pertinent to the legal medical record)
- Patient problem list
- Allergies and adverse reactions
- Vital measurements
- Patient demographic data
- Patient Care Encounter (PCE) data (purpose of visit, diagnoses and procedure codes, immunizations and skin tests, health factors, patient education topics, etc)
- Results of select non-Department of Veterans Affairs (VA) care events

Based upon the recommendations of external consultants, the HDR development approach will be based upon the integration of commercial-off-the-shelf technology (COTS) into program plans. The repository structure and information storage will be COTS into program plans, but that COTS alone would be insufficient to satisfy VHA's requirements.

VHA is widely viewed as an industry leader in healthcare repository and user interfaces areas based upon the systems originally developed and currently maintained by VHA. Presently, VHA requires a "5th Generation" Computerized Patient Record (as defined by criteria established by the Gartner Group), with the HDR program intended to satisfy that need. Current off-the-shelf HDR-type offerings support the 3rd generation level (as defined by Gartner). This stage of maturity is insufficient to satisfy the needs of VHA. Further, these commercially available products are not as advanced as current VHA-developed CPRS system and do not integrate with departmental VistA applications.

The proposed Health Data Repository program allows VHA the ability to institute a collection point and authoritative source for clinical information with direct benefits in areas such as data quality, consistency, and improved integration of VHA's systems. As the cornerstone of the HealthVet-VistA strategy, the Health Data Repository establishes the foundation for information sharing to enable an electronic health record and best support the Veteran by aligning our systems to patient-centric care.

4.8.4 Subfunction 4: Financial Management

Financial Management sub function includes activities related to transfer of funds between stakeholders/entities related to provision of medical care. Specific high-level activities include:

- Execute Billing and Fee
 - Process Medical Bills and Fee
 - Process Collections
- Perform overall finance management activities to include execution and management of General Ledger, Budget, Fixed Assets, Purchasing, Cost Accounting, Asset Management, Accounts Receivables, Inventory Management, Contract Management, and Accounts Receivables.

Associated Data Classes		
Title	Description	CRUD
Account	A record of financial transaction, e.g., patient account, material account.	CRU
Financial Event	A receipt or disbursement (payment) of money where the amount of money may be posted against accounts where each posting is either a debit or a credit. This concept includes payroll payments and collections.	CRU
Payor	Includes organizations engaged in financial transactions with VA for medical care related services, e.g., HICFA, Insurance companies, etc.	RU
Financial Document	A summary of a business transaction that has taken place within the enterprise. Because business transactions may have financial consequences, they may be associated with financial accounting transactions, e.g., financial documents include claim, bill, purchase order, and invoice.	CRU

4.8.5 Subfunction 5: Beneficiary/Member Education Management

Upon patient/beneficiary request, or special situations such as timed reminders, patients are provided care education in diverse settings from multiple touch points. Areas of interest may

include: health promotion, wellness, disease management/prevention, and use of prosthetic appliances/devices.

Associated Data Classes		
Title	Description	CRUD
Education Program	A unit course, a group of unit courses, or a training plan, apprenticeship, or on the job training (OJT).	CRU

4.8.6 Subfunction 6: National Emergency Healthcare Management

VA plays a critical role during emergency situations, both as a primary and a coordinator. VA performs the following critical activities:

- Ensure the continuity of VA medical facility operations
- Back up DOD's medical resources following an outbreak of war or other emergencies involving military personnel
- Administer the National Disaster Medical System (NDMS) with DOD, Federal Emergency Management Agency (FEMA), and the Department of Health and Human Services (HHS)
- Carry out Federal Response Plan efforts to assist state and local governments in coping with disasters
- Carry out Federal Radiological Emergency Response Plan efforts to respond to nuclear hazards
- Support efforts to ensure the continuity of government during national emergencies
- Stockpile pharmaceuticals and medical supplies in the event of large scale disasters caused by weapons of mass destruction (WMD)
- Maintain pharmaceutical stockpiles for the Centers for Disease Control and Prevention (CDC)

Associated Data Classes		
Title	Description	CRUD
Facility	A place where patient services are delivered. A facility is a distinct real property entity (i.e., a man-made object and its surrounding real estate), including all objects managed by facility management system, but not including furnishings that are included in property management systems. Facilities incorporate the properties of being (1) objects, established at (2) specific places for (3) specific purposes. Within this context, facilities are limited to place-based objects that are subject to facilities management and work.	R

Associated Data Classes		
Title	Description	CRUD
Material	All physical and physiological things that are of interest to Veterans Health. This includes pharmaceutical substances or disposable supplies as well as durable medical equipment, prosthetics, implantable devices, accesses, drains, and specimens, literally everything. Notably the material class includes facilities, such as immovable service locations or ambulances.	R

4.9 Medical Education

Title 38 U.S.C. mandates that VA assist in the training of health professionals for its own workforce needs and for those of the nation. This function is decomposed into the following subfunctions.

4.9.1 Subfunction 1: Graduate Medical Education

This subfunction manages education and training for clinical residents and fellows. Specific high-level activities include:

- Provide medical resident training
- Administer VA special resident fellowship
- Formulate academic affiliation policy and agreements with medical schools

Associated Data Classes		
Title	Description	CRUD
Education Workload	An expression of the amount of work, identified by the number of work units or volume of a workload factor, that a work center has on hand at any given time or performs during a specified period of time. Education Workload pertains to work-related activities in the medical education domain.	CRU
Education Programs	A unit course, a group of unit courses, or a training plan, apprenticeship, or on the job training (OJT). Examples may include: audiology/speech pathology, blind rehabilitation, dentistry residency, optometry, pharmacy. Education programs include all programs in mainstream medical care, and associated/allied health.	CRU

Associated Data Classes		
Title	Description	CRUD
Trainee	Includes all individuals in pursuit of medical care learning, and that will enroll for one/more education programs. Examples, residents, nurse, and care practitioner.	CRU
Trainers/Faculty	Includes all individuals who define, design, deliver, and manage medical education programs. Examples, faculty preceptors, program preceptors.	CRU
Accreditation	Includes all information related to accreditation of medical education programs	R
Affiliations/Agreements	An agreement or contract between parties, which specifies the roles and responsibilities of each in relation to the provision of service(s). Examples, Veterans Health Care, Education, Research.	CRU
Stipends	Token compensation provided to trainees to recognize their contributions.	CRU
Medical Education Policy	A business policy provides plan/course of action, guiding principles, and guidelines. It is generally established and ratified by senior management. It results in influencing and determining business decisions/actions. Examples, Education Policy, IT Policy, Research Policy, Security Policy.	CRU

4.9.2 Subfunction 2: Associated and Allied Health Education

This subfunction manages education and training for associated and allied health care professionals, including academic affiliation policy and agreements with associated health programs, e.g., dietetics, optometry, physical therapy, and psychology.

Associated Data Classes		
Title	Description	CRUD
See Graduate Medical Education	All data classes apply.	

4.10 Medical Research

4.10.1 Subfunction 1: Medical Research Service

Medical Research Service (MRS) is responsible for developing, administering, and coordinating a program of biomedical and behavioral research that focuses on the etiology, pathogenesis, diagnosis, and treatment of the wide range of diseases and disorders most prevalent among the veteran population. The primary goals of MRS are to support high quality biomedical research relevant to the health care needs of veterans and to develop and enhance an intramural research environment that promotes research while attracting and retaining productive research clinicians and scientists. The following high-level activities encompass the medical research service sub function:

- Support biomedical and behavioral research
- Enhance intramural research environment
- Manage internal grants
- Support compliance activities

Associated Data Classes		
Title	Description	CRUD
Research/Living Subject	Comprised of subjects that are used in the conduct of medical/prosthetic research (examples, animals, patients, veterans, populations, communities, individuals, families, volunteers)	CRU
Research Area	Comprised of designated research areas, e.g., aging, chronic disease, mental illness, substance abuse, sensory loss, trauma-related illness, health systems, special populations, military occupations and environmental exposures, priority areas, e.g., cancer, diabetes, diseases (ref ICD9 classification), and disease groupings, e.g., DRGs.	RU
Care Practitioner	See Medical Care Function	R
Researcher/Investigator	Researchers from VHA, DOD, NIH, CDC, educational/academic institutions, non-profit organizations, private organizations (pharmaceutical companies), public health organizations collaborate on medical, clinical, dental, mental health, device, genome, proteome, geriatric, and drug research. A principal investigator typically leads a research activity.	CRU

Associated Data Classes		
Title	Description	CRUD
Grant	Incorporates information about research grant information from initial submission through its disposition. VHA grants are internal.	CRU

4.10.2 Subfunction 2: Rehabilitation Research and Development Service

Rehabilitation Research and Development Service (RR&D) is responsible for developing, administering, and coordinating a rehabilitation research program that provides new knowledge to advance optimal rehabilitation healthcare for veterans. Emphasis is placed on prosthetics, orthotics, orthopedic rehabilitation, disabilities as a consequence of aging, neurological dysfunction, spinal cord injury restoration/rehabilitation, visual and hearing impairment rehabilitation, engineering and rehabilitation outcomes. The following are the high-level activities:

- Support rehabilitation research
- Support compliance activities

Associated Data Classes		
Title	Description	CRUD
Material	See Medical Care for further details.	RU
Care Practitioner	See Medical Care for further details.	RU
Researcher/Investigator	See MRS sub function for further details.	CRU
Research Observations	Includes research data, methods, outcomes, and results. May also include related publications, e.g., research observation published in a journal.	CRU

4.10.3 Subfunction 3: Health Services Research and Development Service

Health Services Research and Development Service (HSR&D) is responsible for evaluating how social factors, financing systems, organizational structures and processes, health technologies, and human behavior affect access to health care, the quality and cost of health care, and ultimately the health and well-being of veterans. Its research domains are individuals, families, organizations, institutions, communities, and populations. Health services research emphasizes studies that have practical applications and can assist patients, health care providers, managers, and policy makers.

Associated Data Classes		
Title	Description	CRUD
Oversight/Regulatory Group	See Medical Care for further details.	R
Protocols and Guidelines	Includes evidence-based guidelines, proven best practices related to care delivery.	CRU
Qualification	See Medical Care, e.g., research accreditation by NCQA.	R

4.10.4 Subfunction 4: Cooperative Studies Program

The Cooperative Studies Program (CSP) is responsible for the development, administration and coordination of phase III, multi-center clinical trials within the VA health care system. Studies may be conducted by VA independently, or may involve coordination with non-VA partners including the Department of Defense (DOD), Department of Health and Human Services (HHS), pharmaceutical industry, international healthcare systems, universities, and private and public corporations or foundations. The following are the critical activities:

- Conduct/manage clinical trials
- Coordinate with partners
- Support compliance activities

Associated Data Classes		
Title	Description	CRUD
Research Area	See MRS Sub Function for further details.	RU
Material	See Medical Care for further details.	RU
Partner	See Medical Care for further details.	CRU
Supplier	See Medical Care for further details.	RU
Facility	See Medical care for further details.	RU
Consent	See Medical Care for further details.	CRU
Researcher/Investigator	See MRS Sub Function for further details.	CRU
Procedure	See Medical Care for further details.	R
Direction and Governance	Includes laws, regulations, policies, and procedures that govern research, e.g., FDA regulations.	CRU

Associated Data Classes		
Title	Description	CRUD
Research/Living Subject	See MRS Sub function for further details.	CRU
Oversight/Regulatory Group	See Medical Care for further details.	R

4.11 Finance and Accounting

The Finance and Accounting Key Enable Functions provides VA with support of their financial and logistics management information needs.

4.11.1 Subfunction 1: General Ledger Processing

This subfunction provides financial controls, data collection, and financial reporting to enable Government-wide data management. It is responsible for maintaining accurate account balances, creating and processing journal entries, and closing sets of books in a timely manner; and support of production of financial reports.

Associated Data Classes		
Title	Description	CRUD
Accounts, Accounting structure	The basic structure used for the general ledger and specific accounts and related information within that structure.	R
Transactions	Individual journal entries. Journal entries are received from other systems (“R”), e.g., via batch and on-line interfaces, and on-line transaction processing, and other entries are entered directly (“C”). Detailed fields include account number or transaction code that can be associated to accounts.	CR
Reports	78 reports General Ledger reports provide time and useful financial information to support management’s fiduciary role, budget formulation and execution functions; fiscal management of program delivery and program decision making.	C

Associated Data Classes		
Title	Description	CRUD
Party information	Information on Vendors, Debtors, and other organizations and individuals who receive or owe payments, and/or are responsible for supplying/receiving equipment and/or services. Detailed fields include name, tax identification number, address, etc.	R
Organizational information	Specifies organization within VA, e.g., administration, station, and cost center for which the function is being performed or to which the associated information pertains.	R

4.11.2 Subfunction 2: Payables Processing

This subfunction provides payment processing and creates financial control to prevent double payments. It also allows visibility of required information. It includes preparation, approval, scheduling, processing of any transaction that results in the disbursement of federal funds. Includes Treasury payment processing, reconciliation, and offset programs.

Associated Data Classes		
Title	Description	CRUD
Payees	Vendors, veterans, employees, etc.	R
Party information	Information on payees, e.g., vendors, and other organizations and individuals that receive payments. Detailed fields include name, tax identification number, and address, etc.	R
Payment request	Request for payments to be made by VA to its customers or vendors, or to other federal agencies. Requests, invoices, etc. Information can be updated due to prompt payment requirement, e.g., interest automatically added. Includes status, e.g., disapproved. Detailed fields include account number or transaction code that can be associated to accounts.	RU
Payment schedule	Schedule of check and EFT payments submitted to Treasury for disbursement on behalf of VA.	C
Contract/Purchase Agreement	A written agreement between VA and Federal, or non-Federal entities for goods and/or services. Used to validate the charge.	R

Associated Data Classes		
Title	Description	CRUD
Reports	153 reports. Payables reports provide time and useful financial information to support management's fiduciary role, budget formulation and execution functions, fiscal management of program delivery and program decision-making.	C
Payments	Grants, other agencies, vendors.	C
Receiving Report	Documentation providing information necessary to confirm receipt of goods by VA.	CR
Payment notification	Written notification of payments made, submitted to payee simultaneously with submission of payment schedule to Treasury. Notification provides details of individual payments and any offsets, e.g., credits, discounts, tax withholding, and veteran premiums collected for insurance or loans.	C
Treasury payment report	Report received from Treasury confirming both check and EFT payments disbursed on behalf of VA, and check cancellations.	R
Payment error notice	Notification of error in credit card charges processed by credit card vendor, based on discrepancies between order and charge amounts, or errors in other payments disbursed by the Treasury to VA customers and vendors. Errors are resolved prior to allocation of credit charges to appropriate VA organizations, control points, or other points of payment initiation, and prior to compilation of final payment information for generation of required reports.	R
Credit Card Information	Information on credit card charges processed, including information from credit card users pertaining to goods or services purchased, and statements of credit card charges processed by credit card vendor.	R
Cancelled/returned payments	Unpaid, undeliverable or unaccepted payments (EFT or check).	R

Associated Data Classes		
Title	Description	CRUD
Bank information	Destination/source for funds transactions. Detailed fields include Bank routing number, account type, account number, address, etc.	R
Organizational information	Specifies organization within VA, e.g., administration, station, or cost center for which the function is being performed or to which the associated information pertains.	R
Human Resources Information	Used to confirm that approver (VA personnel) is authorized to provide such approval.	R
Fixed Asset	Generated when receiving report describes a fixed asset.	C
Requirements History Data	Database of information that includes the quantity, types, prices, and sources of goods and services previously procured by the Government.	C

4.11.3 Subfunction 3: Receivables Processing

This subfunction manages funds owed to or received by VA, and improves cash flow. It includes receipt of funds, offset of payments, and invoicing.

Associated Data Classes		
Title	Description	CRUD
Debtor	Vendors, veterans, employees (all for adjustments); Third Party Insurance Companies, and other government organizations.	R
Party information	Information on Debtors, and other organizations and individuals who owe payments. Detailed fields include name, tax identification number, address, etc.	R
Charge Information	Billing information related to a specific event, e.g., debtor, amount owed, account, organizational information, etc.	R
Payment/Adjustment	Funds received for application to an accounts receivable; any change, other than a charge or payment, to a receivable. This includes offsets, write-offs, refunds, etc. Includes transaction code or	RU

Associated Data Classes		
Title	Description	CRUD
	account.	
Refund/Transfer	An identified overpayment or suspense amount that is returned to the debtor, or the account, or transferred to an appropriate entity. Includes transaction code or account, bank information.	C
Bill	Notification to debtor of payment due. Includes transaction code or account.	C
Account Status	Up-to-date, Overdue, Dunning notice sent, etc.	U
Contract/Purchase Agreement	A written agreement between VA and Federal, or non-Federal entities for goods and/or services. Used to validate the charge.	R
Payment Plan	A schedule of payments; allows the debtor to make payments over a specific period of time.	C
Third Party Insurance Policies	Contract between the policyholder and the payer for health care services rendered to the policy holder/beneficiary according to various chosen medical benefit plans. Used to validate the charge.	R
Reports	34 reports. Receivables reports provide time and useful financial information to support management's fiduciary role, budget formulation and execution functions, fiscal management of program delivery and program decision-making.	C
Organizational information	Specifies organization within VA, e.g., Administration, Station, Cost Center, for which the function is being performed or to which the associated information pertains to.	R
Human Resources Information	Used to confirm that submitter (VA personnel) is authorized to create such a transaction.	R

4.11.4 Subfunction 4: Fixed Assets Processing

This subfunction provides financial analysis for fixed (capitalized) assets, e.g., calculates depreciation, performs tracking functions, and conducts "what if" scenarios for fixed assets.

Associated Data Classes		
Title	Description	CRUD
Real Property Asset Accounting Information	Accounting information for fiscal reporting of capitalized real property assets. Includes original value, acquisition date, salvage value, transaction code or account, organization.	R
Personal Property Asset Accounting Information	Accounting information for fiscal reporting of capitalized personal property assets. Includes original value, acquisition date, salvage value, transaction code or account, organization.	R
Item information	Information about items that can be contracted for, paid for, received and handled, and/or inventoried. Detailed fields include item number, item name, unit of measure, inventory organization, vendor, and location.	R
Report	Fixed Asset reports provide time and useful financial information to support management's fiduciary role, budget formulation and execution functions; fiscal management of program delivery and program decision making.	C

4.11.5 Subfunction 5: Project Cost Accounting Processing

This subfunction maintains detailed cost and billing information to monitor project performance in a format that optimizes productivity, while financial managers track the total cost of running the business. Project planning, execution, and analysis, including reporting, phases are included.

Associated Data Classes		
Title	Description	CRUD
Work Breakdown Structure	Definition of activities to be performed on a project, defined in a hierarchical structure.	R
Cost and Revenue Budgets	Definition of expected spending and income by the project; includes allocated funding.	R
Project Customers	For revenue and billing.	R
Actual costs	Detailed costs.	R

Associated Data Classes		
Title	Description	CRUD
Revenue	Income generated by the project.	R
Invoices	Statements of funds owed to others by the project.	R
Organizational information	Specifies organization within VA, e.g., administration, station, and/or cost center for which the function is being performed or to which the associated information pertains.	R
Human Resources Information	Information about employee/volunteer related to a project, e.g., as supervisor, manager, staff. Detailed fields include Name, employee number (SSN), job classification, job title, organization, cost center, schedule, etc.	R
Project financial reports	62 reports. Financial Reports used to describe the financial status of the project. Project Cost accounting reports provide time and useful financial information to support management's fiduciary role, budget formulation and execution functions; fiscal management of program delivery and program decision making.	C

4.11.6 Subfunction 6: Budget Processing

This subfunction handles budget execution, federal report definition, and the year-end closing process.

Associated Data Classes		
Title	Description	CRUD
Budget	Some budgets are determined by Congress ("R"), some determined internally ("C"), some modified as the year continues ("U").	C RU
Reports	43 reports. Budget reports provide time and useful financial information to support management's fiduciary role, budget formulation and execution functions; fiscal management of program delivery and program decision making.	C
Payables	Disbursements by VA, used in Payables and Travel Management processing to record payment information.	R
Receivables	Funds received by VA.	R

Associated Data Classes		
Title	Description	CRUD
Organizational information	Specifies organization within VA, e.g., administration, station, and/or cost center for which the function is being performed or to which the associated information pertains.	R

4.11.7 Subfunction 7: Travel Management

This subfunction racks all travel-related obligations and expenditures, travel related invoices, storage and relocation costs.

Associated Data Classes		
Title	Description	CRUD
Party information	Information on Vendors of travel services. Detailed fields include name, tax identification number, address, etc.	R
Bank information	Destination/source for funds transactions. Detailed fields include Bank routing number, account type, account number, address, etc.	R
Reports	Travel reports provide time and useful financial information to support management's fiduciary role, budget formulation and execution functions, fiscal management of program delivery and program decision-making.	C
Organizational information	Specifies organization within VA, e.g., administration, station, and/or cost center for which the function is being performed or to which the associated information pertains.	R
Human Resources Information	Information about travelers and approvers. Detailed fields include Name, employee number (SSN), job classification, job title, organization, cost center, schedule, etc. Also used to confirm that approver (VA personnel) is authorized to provide approvals.	R

4.11.8 Subfunction 8: Grants

This subfunction is responsible for grant processing that handles the financing of Federal programs executed by organizations outside the Federal Government. Activities include issuance and administration of letters of credit, cash advancement through treasury check, grant reimbursement, and grant accounting.

Associated Data Classes		
Title	Description	CRUD
Recipient Organization (grantee)	Information on recipients of Grants. Detailed fields include name, tax identification number, address, etc.	R
Organizational information	Specifies organization within VA, e.g., administration, station, and/or cost center for which the function is being performed or to which the associated information pertains.	R
Human Resources Information	Used to confirm that approver (VA personnel) is authorized to provide approvals.	R

4.11.9 Subfunction 9: Financial System Setup, Operations and Maintenance

This subfunction establishes the general ledger structure, organizational structure, and budget structure; and supports updating associated referential tables used by multiple functions as needed, e.g., vendors, party information, etc.

Associated Data Classes		
Title	Description	CRUD
Accounting structure, Accounts	The basic structure used for the general ledger and specific accounts and related information within that structure.	CUD
Organizational Structure	The government agency to which the data is to be reported. Detailed elements include specific addressee, e.g., office and location.	CUD
Party information	Information on Vendors, Debtors, and other organizations and individuals that receive or owe payments, and/or are responsible for supplying/receiving equipment and/or services. Detailed fields include name, tax identification number, address, etc.	CUD
Transaction Code	A code that indicates transaction types; can be mapped to an account number.	CUD
Credit Card Information	Information on credit card charges processed, including information from credit card users pertaining to goods or services purchased, as well as statements of credit card charges processed by credit card vendor.	CUD

Associated Data Classes		
Title	Description	CRUD
Bank information	Destination/source for funds transactions. Detailed fields include Bank routing number, account type, account number, address, etc.	CUD
Human Resources Information	Used to confirm that approver (VA personnel) is authorized to perform l.	CUD

4.11.10 Subfunction 10: Functional Consolidation and Integration Opportunity: Supplier Management

VA currently has multiple systems and processes dealing with supplier (vendor) management. This is recognized as an opportunity for improvement. Consistent handling of vendor registration and management leads to a better quality of data and thus of service and operations. Elimination of redundant processes reduces operating costs. This section describes the approach to arrive at a consolidated Supplier Management Process for the enterprise. It describes the current process for each major line of business, and provides a description of the target consolidated Supplier Management Process.

4.11.10.1 Approach

The approach taken to consolidate Supplier Management processes was to develop process flow diagrams that describe the “as is” operation across VA businesses. These diagrams are stated in terms of the function, subfunction, and data class decompositions for each line of business or key enabling function. The collection of process flow diagrams thus represents a set of “vertical” views of how VA currently performs Supplier Management.

The next step was to review each of the process flow diagrams to determine what subfunctions and data classes are (or should be) common across the enterprise, and to identify any subfunctions or data classes that are unique to a line of business. The resulting “to be” process flow diagram is thus a “horizontal” view of a consolidated Supplier Management subfunction for the enterprise, which still preserves those aspects that are unique to a line of business.

4.11.10.2 As Is Process Flows

VA currently has several vendor files spread out across the enterprise and utilized by various business owners in VHA, VBA, NCA, and associated staff offices. The “as is” operation for Supplier Management includes registering and maintaining multiple vendor files through master and secondary systems and is shown in Figure 4-1, Figure 4-2, and Figure 4-3. The vendor files include the following:

- Financial Management System (FMS) centralized vendor file,

- Integrated Funds Distribution Control Point Activity Accounting and Procurement (IFCAP) vendor file,
- Local FEE Basis vendor file,
- Central FEE vendor file,
- Health Administration Center (HAC) vendor file,
- Loan Servicing and Claims (LS&C) vendor file, and
- Corporate Waco, Indianapolis, Newark, Roanoke, Seattle (WINRS) vendor file.

The Local FEE Basis VistA System performs entire fee for service processing, both authorized and unauthorized, for Outpatient Medical Fee, Civil Hospital, Community Nursing Home, and Pharmacy. It sends vendor registration requests to the Central FEE system to keep all files accurate and up-to-date in FMS.

The Central FEE system supports VHA's Fee for Service Project. Central FEE manages all Local FEE vendor registration requests and payment requests for transmission to the FMS. The system is the centralized receiving point for the VistA Fee Basis system operating at each medical facility. Central FEE receives payment confirmations from the Department of Treasury via FMS, and then passes this information (check numbers and payment dates) to the medical centers through VistA Local Fee.

Corporate WINRS (used in Waco, Indianapolis, Newark, Roanoke, Seattle) is a comprehensive case management system that interfaces to other VA systems to track and manage a station's Vocational Rehabilitation and Employment workload.

Loan Servicing and Claims (LS&C) automates the claims process of liquidation and claims processing and provides a financial management tool to the regional offices.

The Financial Management System (FMS) is an integrated, COTS, JFMIP-compliant, SGL accounting system. FMS is a table-driven, on-line transaction processing system that simultaneously posts to the general ledger and all subsidiary ledgers and tables. FMS maintains a comprehensive audit trail of all transactions to provide users with the capability to reconcile input.

Integrated Funds Distribution Control Point Activity Accounting and Procurement (IFCAP) is the decentralized procurement, funds control, and front-end accounting system that is used at the VA Medical Centers and certain Regional and Administrative Offices. IFCAP integrates the functions of Fiscal Service, Acquisition and Material Management and other VA Medical Center services that request supplies and services for the DVA. IFCAP is used to fund budgets, order goods and services, maintain records of available funds, determine the status of a request, compare vendors and items to determine the best purchase, record the receipt of items into the warehouse, and pay vendors.

FMS maintains the master vendor record for all recurring vendors. In order to stay synchronized with secondary system vendor files, FMS sends those systems vendor reconciliation or update files nightly.

FMS, IFCAP, Local FEE Basis, and HAC are source systems for vendor registration and update as shown in Figure 4-1. HAC staff enter and update vendors directly in FMS. LS&C and Corporate WINRS staff send hard-copy vendor request forms to the Austin Vendorizing Unit where they are validated before being re-keyed in FMS.

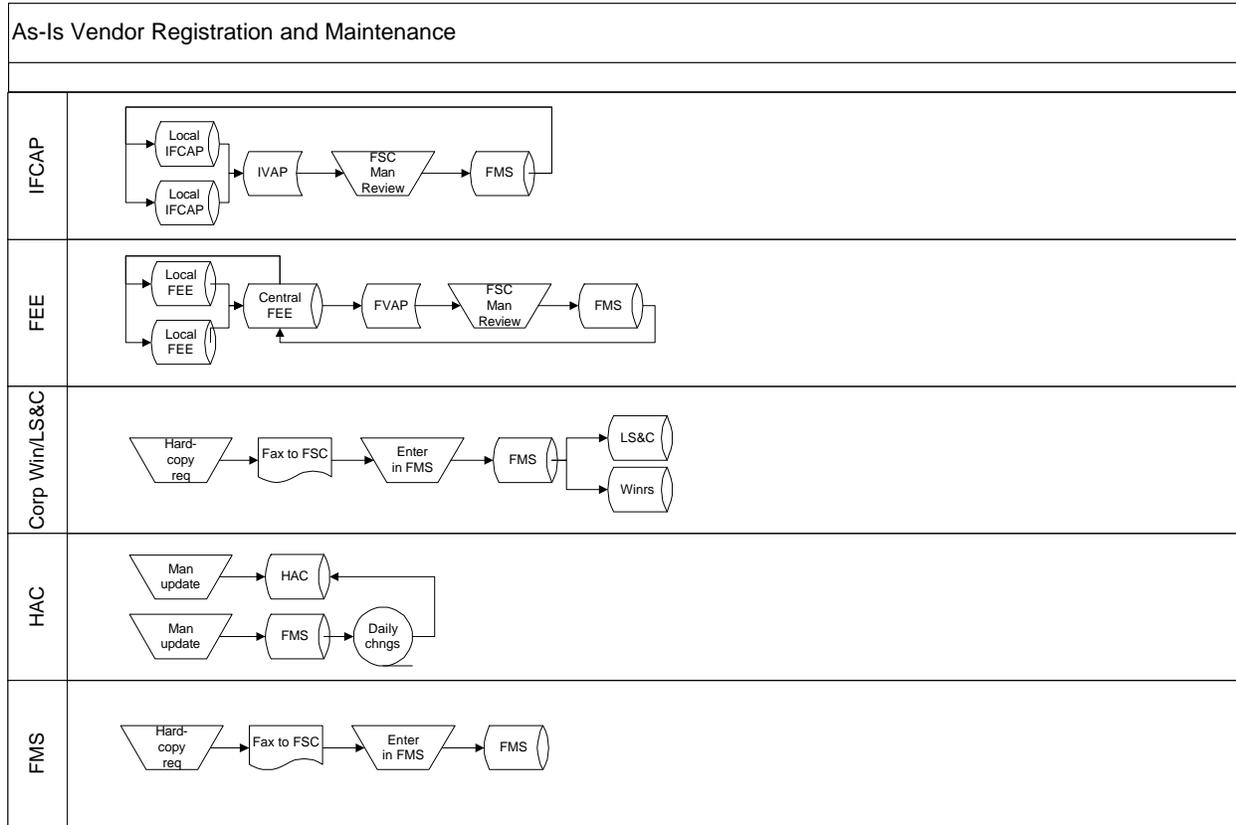


Figure 4-1: Supplier Management As-Is Registration and Maintenance

The Austin Vendorizing Unit currently maintains responsibility for entering and updating all non-HAC vendors in the FMS vendor file. The VBA Denver Regional Loan Center (RLC) and the HAC have a separate vendorizing unit with direct access to the FMS vendor file.

While IFCAP and Local Fee employ decentralized vendorizing structures, entries and updates to those vendor files are electronically submitted to FMS interface tables where the Austin Vendorizing Unit manually validates them before loading them to the FMS vendor file.

IFCAP and Local FEE (via Central FEE) electronically submit recurring vendor additions/updates to FMS where the Austin Vendorizing Unit validates them before being loaded to the FMS vendor file as shown in Figure 4-2 and Figure 4-3.

The Austin Vendorizing Unit is comprised of one FMS centralized vendor file (VEND) team, four cross-functional teams, and one Mortgage Loan Accounting Center (MLAC) team. The VEND team includes eight staff who:

- Enter/update vendor data from manual requests,
- Validate and update vendor data from IFCAP and FEE electronic requests,
- Issue 1099s,
- Process 1099 adjustments, and
- Oversee the VEND file, communicate legislative mandates, etc.

The four cross-functional teams include eight additional staff members who are responsible for all payment functions associated with specific field facilities. These functions include processing the vendor requests received from the field stations. The MLAC team completes all payment functions associated with MLAC payments including processing vendor requests received from the regional offices.

Currently, the vendorizing unit in Austin receives on average:

- 300-500 IFCAP vendor entry/update requests daily,
- 200-300 FEE vendor entry/update requests daily, and
- 200-250 manual vendor entry/update requests daily.

The HAC Vendorizing Unit, located in Denver, is comprised of four to five staff and is responsible for entering and updating HAC vendors in both the FMS and HAC vendor files. The HAC Vendorizing Unit processes approximately 300-500 vendor requests daily.

As-Is Vendorizing Process

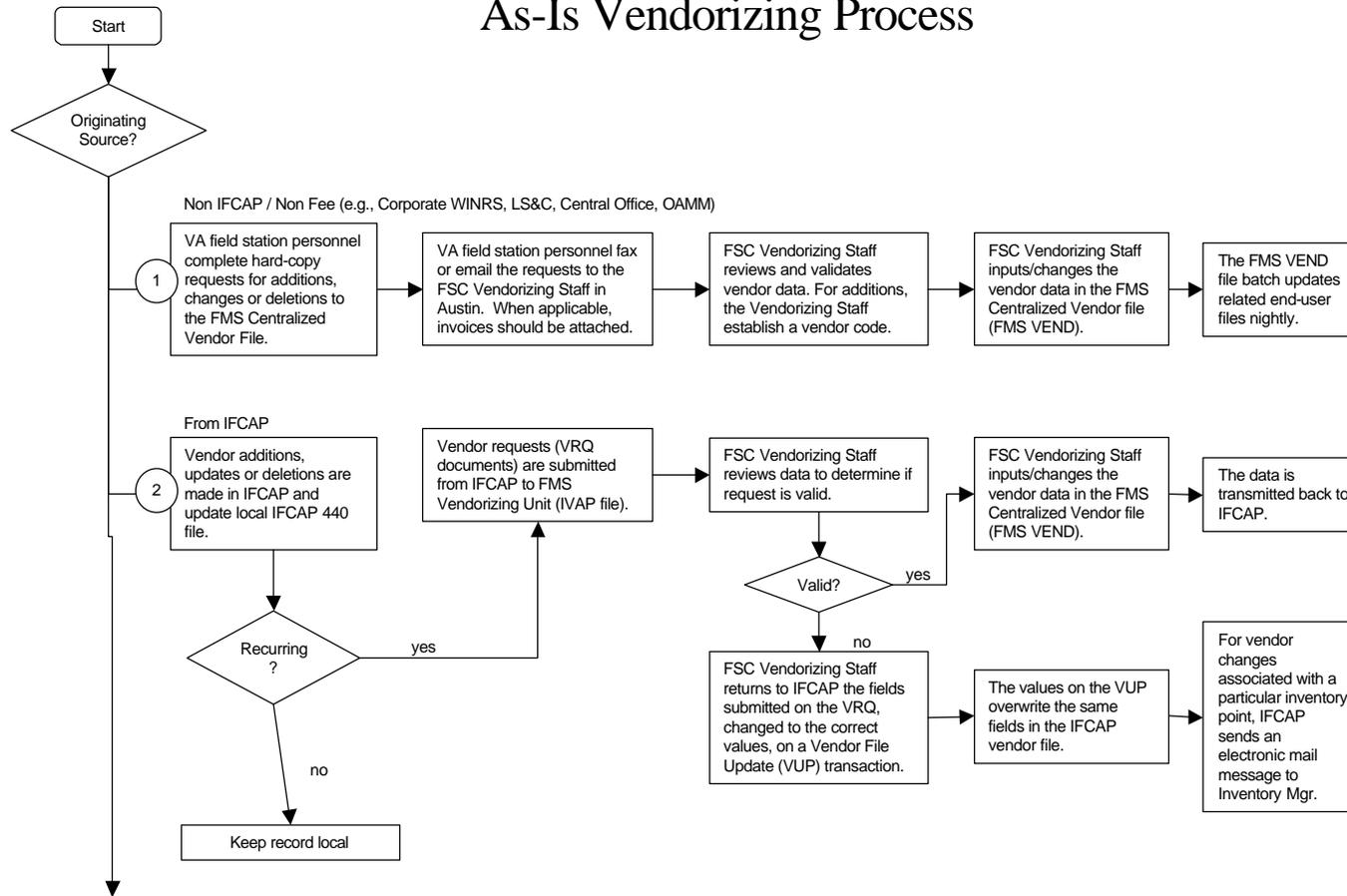


Figure 4-2: Supply Management As-Is Vendorizing Process (Part 1)

As-Is Vendorizing Process

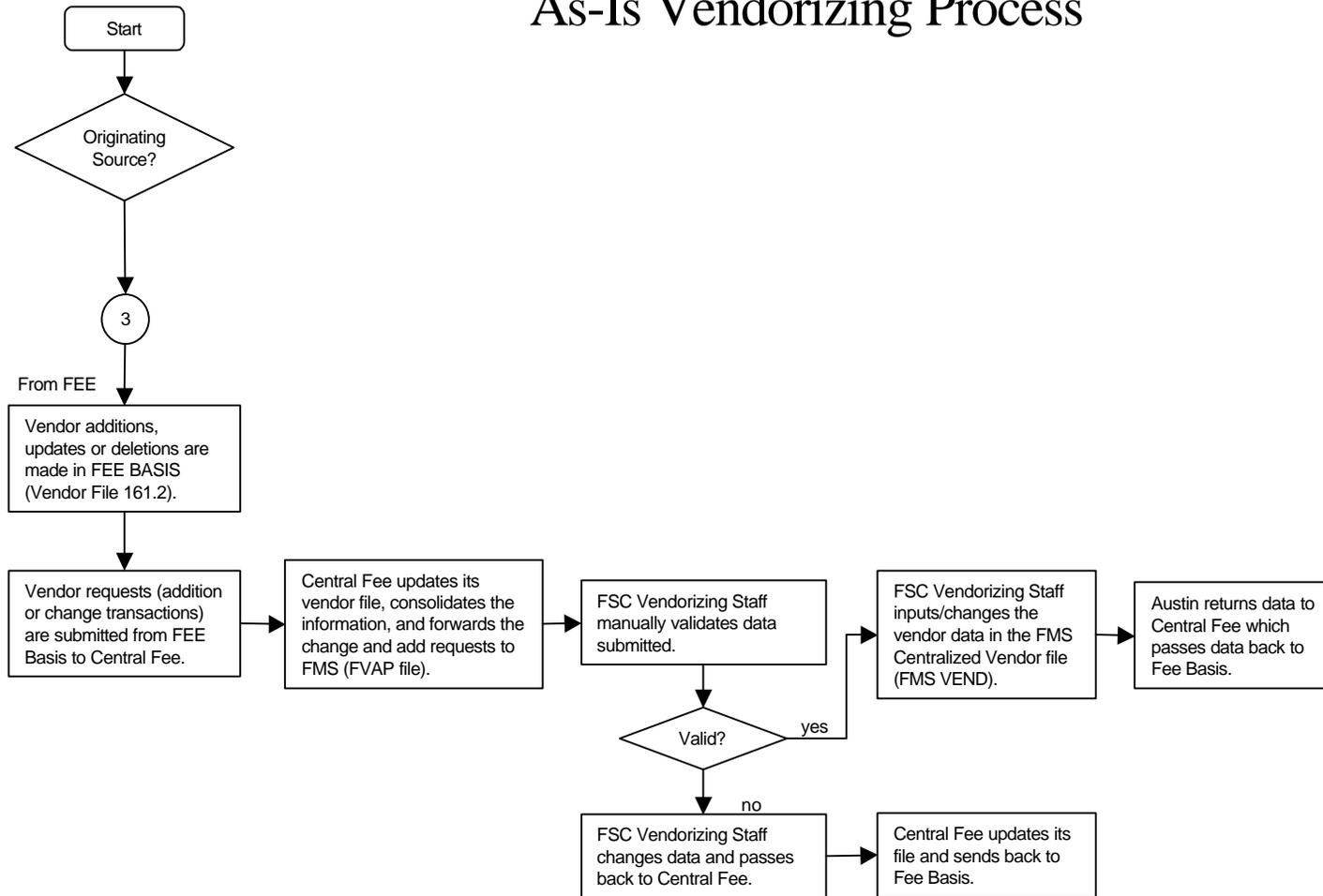


Figure 4-3: Supply Management As-Is Vendorizing Process (Part 2)

4.11.10.3 To Be Decomposition

At the highest level, the to-be Supplier Management process has been decomposed into four subfunctions, as follows.

4.11.10.3.1 Subfunction 1: Register Vendor

The Register Vendor subfunction contains the process of entering or listing current or potential VA vendors or suppliers in a database for the first time (enrollment), including their associated information relating to their product/service, TAX information, contract demographic status etc and generating a unique ID for the supplier that can be used by the vendor when transacting business with VA. VA employees are also considered vendors for certain financial and accounting purposes.

Associated Data Classes		
Title	Description	CRUD
Current or Potential vendor. Subclasses include:	A current or potential vendor is any supplier or a future supplier of a product, materiel, or service that has been contracted by VA or is eligible to supply to VA.	CRUD
Commercial vendors	Commercial vendors will make up the majority of vendors. They include any vendor such as corporations, partnerships, and foreign vendors operating in the U.S. using a Tax Identification Number (TIN).	
Individual Vendor	Individual vendors are vendors who are sole proprietors or contractors. They use their Social Security Number (SSN) instead of a Tax Identification Number (TIN).	
VA employee	These “vendors” are VA employees who require payment for travel, tuition, and for transit benefit reimbursement.	
Canteens	Canteens are vendors that operate various cafeterias and retail stores throughout VA. They are treated like Federal vendors, using a TIN.	
Mortgage Loans/Loan Guaranty	These vendors are part of the VA mortgage loan program. They use a TIN for identification. Mortgage Loans/LGY will be required to register under the vendor type commercial or individual.	
Utility company	Utility companies are vendors who provide utilities such as electricity, telephone, and gas to VA. They use TIN for identification.	

Associated Data Classes		
Title	Description	CRUD
Federal Customers	Federal Customers are Federal organizations other than VA with which VA does business. They use a TIN for identification.	
Agent Cashiers	Agent Cashiers are cashiers at the various VA field facilities. They use a TIN for identification.	
Foreign vendors	Foreign vendors are non-U.S. owned companies located outside the United States.	
Veterans and Beneficiary Recipients	These payees are veterans or individuals who receive beneficiary payments. They use SSNs for identification.	
Coast Guard vendors	Coast Guard vendors are often students at school and may not be able to access the Internet site. They use a SSN for identification.	
One-time payment vendors	One-time payment vendors are vendors who receive only one payment from VA; usually made via check payment.	
Purchase card vendors	Purchase card vendors are vendors who utilize the purchase card to receive payment for merchandise or services. They use a TIN or SSN for identification.	
Transaction Item Information	Product, service, or item supplied, size, unit quantity etc.	CRUD
Vendor Effective Date	Date on which vendor is enrolled, information about the vendor is validated, and data record created and stored for VA-wide retrieval	CRUD
Vendor De-activation Date	Date on which vendor is notified of potential purge from vendor database due to lack of activity over a period defined by VA	CRUD
Tax ID	IRS established TAX ID given to the vendor for business purposes	CR

Associated Data Classes		
Title	Description	CRUD
Contract Information	Type of contract, socio-economic information, period of performance etc.	CRUD
Address information	Physical address of the supplier	CRUD

4.11.10.3.2 Subfunction 2: Update Vendor

The Update Vendor subfunction encompasses the process of maintaining the list of valid and eligible VA vendors or suppliers in a database or the associated information related to their product/service, TAX information, contract demographic status etc. This activity can be performed by VA personnel or by the vendor.

Associated Data Classes		
Title	Description	CRUD
Vendor	A vendor is any qualified supplier of a product, materiel, or service that has been contracted by VA or is eligible to supply to VA.	CRUD
Transaction Item Information	Product, service, or item supplied, size, unit quantity, etc.	CRUD
Tax ID	IRS established TAX ID given to the vendor for business purposes	CR
Contract Information	Type of contract, socio-economic information, period of performance etc.	CRUD
Address information	Physical address of the supplier	CRUD

4.11.10.3.3 Subfunction 3: Re-certify vendor

This subfunction supports the process of re-certifying inactive VA vendors or suppliers in a database including associated information related to their product/service, TAX information, contract demographic status etc.

Associated Data Classes		
Title	Description	CRUD
Inactive vendor	An inactive vendor is any supplier of a product, materiel, or service that has been contracted by VA who has not supplied or transacted business with VA.	CRUD
Vendor	A vendor is any qualified supplier of a product, materiel, or service that has been contracted by VA.	CRUD
Item Information	Product, service, or item supplied, size, unit quantity, etc.	CRUD
Tax ID	IRS established TAX ID given to the vendor for business purposes	CR
Contract Information	Type of contract, socio-economic information, period of performance etc.	CRUD
Address information	Physical address of the supplier	CRUD

4.11.10.3.4 Subfunction 4: Manage Employee Registration Information

The Manage Employee Registration Information subfunction is the process of managing the list of VA employees and associated data. Employees can submit travel expense vouchers, tuition re-imbursements, and transit reimbursement to VA for expenses incurred. The information collected in the database includes associated information related to the transaction item for travel, tuition, or transit. A unique ID is generated from this process that can be used by the employee in all future transactions as long as the listing is active.

Associated Data Classes		
Title	Description	CRUD
Address information	Physical address of the supplier or employee	CRUD
Employee information	Name, Employee number, job department, title, job code	CRUD
Expense Information	Information about Travel, tuition, other Business Purpose	CRUD

4.11.10.4 To Be Process Flows

The Supplier Management (SM) subfunction shall be used by authorized VA personnel to register vendors and maintain their data. Authorized VA personnel can perform initial vendor registration via an Intranet site. Vendors will then receive a user id and password after registration and will then be able to self-maintain their respective vendor data via an Internet site. This vendor information shall then be used by financial and logistics features in coreFLS to perform functions such as purchasing, benefit payments, accounts payable, issuance of 1099 Forms, and vendor activity history reports. Another aspect of SM provides all VA employees who require payment for travel, tuition, and for transit benefit re-imbusement to self-register through the VA Personnel and Accounting Integrated Data (PAID) system interfacing to coreFLS.

This registration process will replace current processes in the Financial Management System (FMS) where vendors or VA employees complete hardcopy registration forms and FSC personnel enter this data into the FMS vendor file manually. In the "To Be" process VA personnel must perform initial registration. Vendors or authorized VA personnel may perform any subsequent changes over the Inter/Intranet. The SM subfunction will consist of Web-based, front-end software that will interface with and update the coreFLS Master Supplier File database in real time. The following figure shows a functional representation of the users of the SM subfunction and how they would interact with coreFLS system.

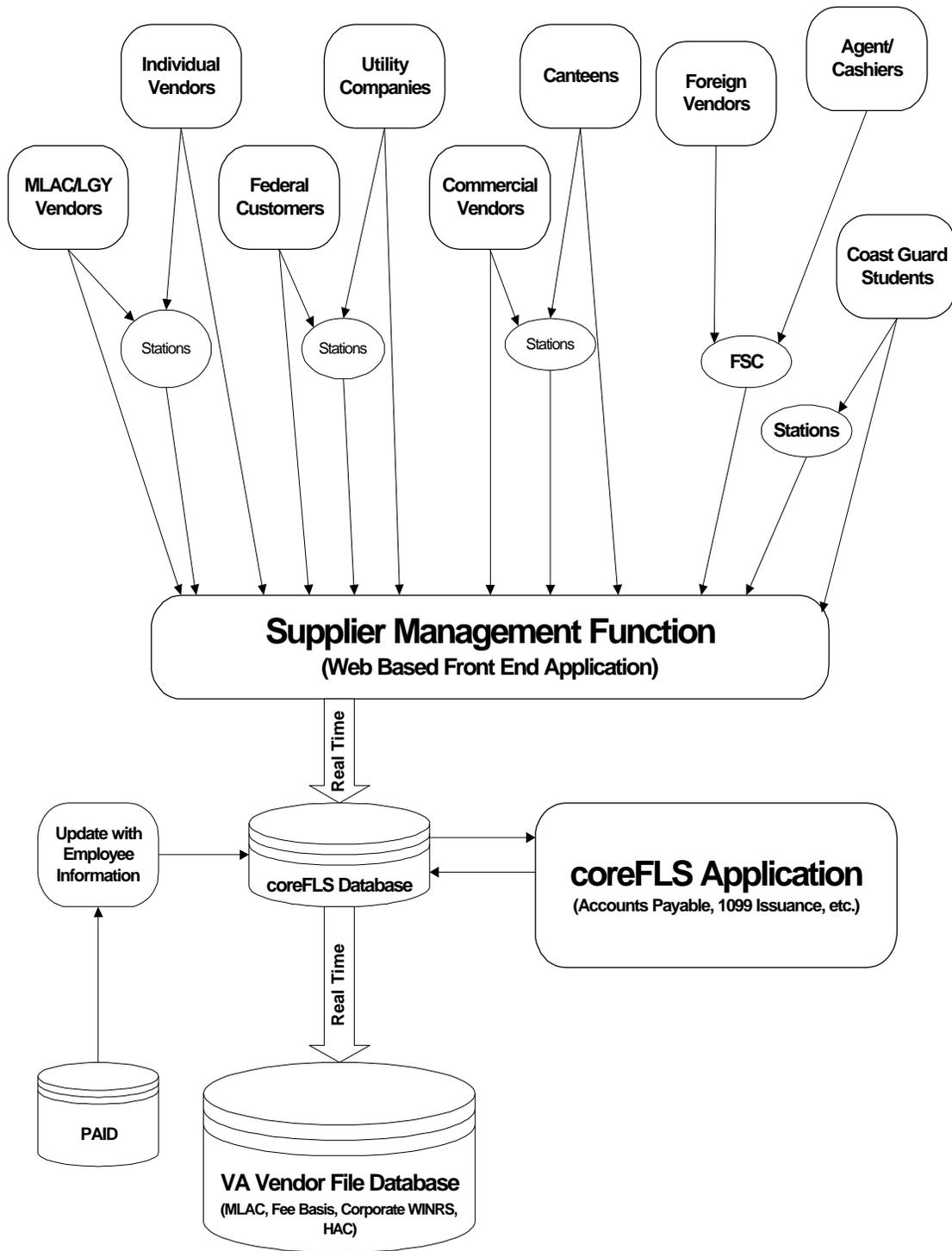


Figure 4-4: Supplier Management To Be Functional Representation

The coreFLS system will provide a custom report that identifies vendors who have a Last Update Date of greater than 18 months from the date of the report and have no open or closed transactions in coreFLS for 18 months. The SM function will process the file and generate a letter for each applicable vendor informing vendors they will be purged if their registration information is not validated within the following “to be determined” number of months. If vendor data is not validated in that period (and no new transactions are processed against that vendor), coreFLS will purge these records from the coreFLS vendor file.

Implementing this subfunction as an Enterprise wide capability is expected to increase efficiency and productivity. FSC currently devotes 12 full-time personnel to the vendor registration process supporting FMS. VA field facilities also devote a large amount of time to this process. By allowing vendors to maintain their vendor information, a great deal of this workload can be reduced for both field facilities and FSC. Associated personnel resources can be reprogrammed to other areas.

At a high-level, the SM function must provide coreFLS with data required to support coreFLS financial and logistics functions, VA and Federal reporting requirements, and secondary system vendor file requirements.

The figure below shows the processes for Vendor Registration/Update and Re-certification.

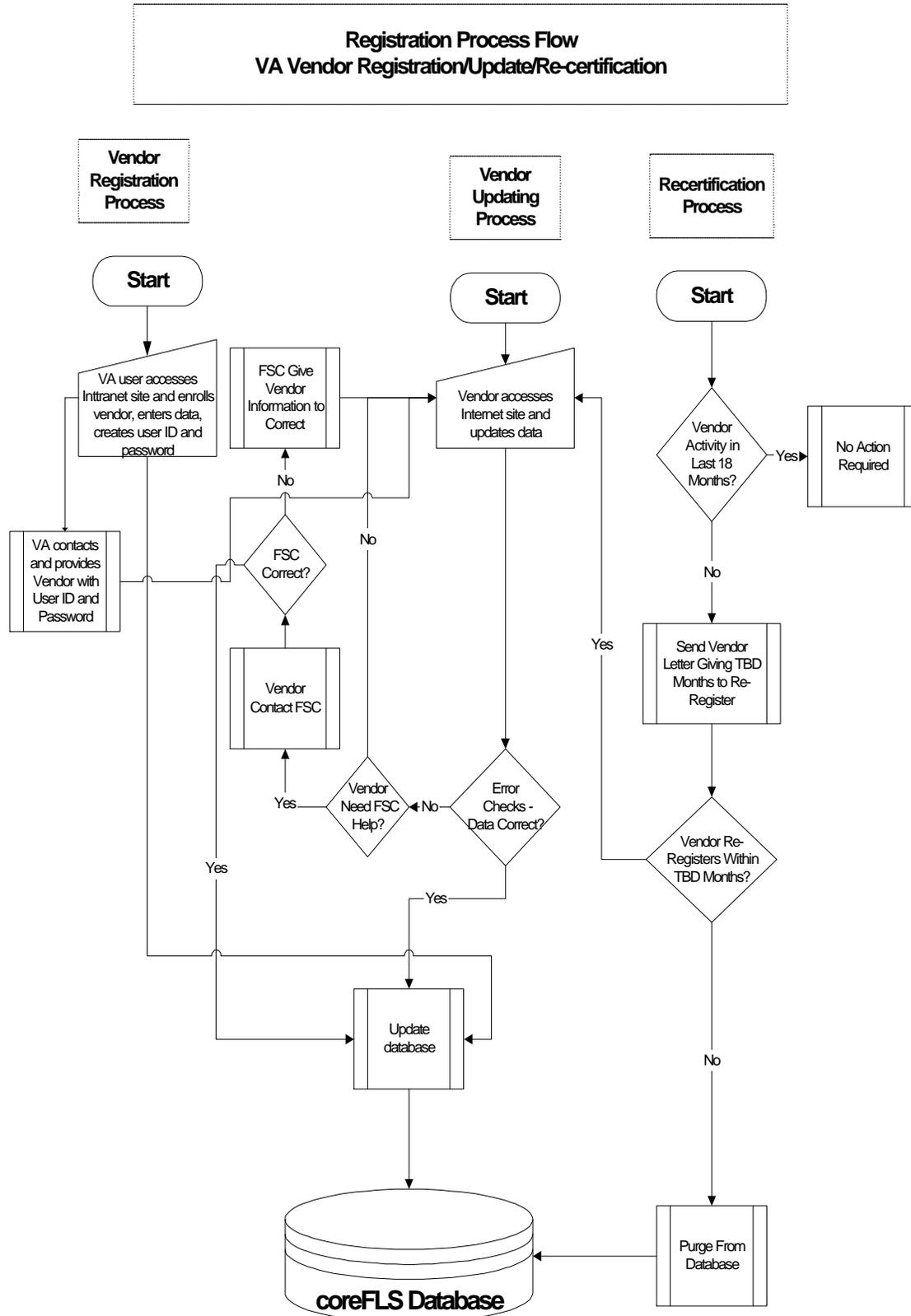


Figure 4-5: Supplier Management To Be Registration Process Flow

The SM subfunction allows VA personnel to register vendors by accessing coreFLS via an Intranet site. After vendors have been registered, FSC will send a unique user ID and password by letter. Once vendors receive their unique user id and password they may access the Internet site to update existing vendor information or to inquire about payment history through a link provided to other VA systems. Instructions will be provided to guide vendors through the updating process. An error check of all mandatory fields will be performed and any errors will require the vendors to resubmit appropriate information. Vendors will be unable to submit updates until all error checks are cleared. Vendors will be required to update only those fields that need to be changed. Once all error checks have processed, the SM subfunction will update coreFLS. The system will prevent vendors from having access to any other portion of the coreFLS system.

The following is a detailed description of some of the system requirements for implementing the SM subfunction.

The system will contain instructions at each step to assist vendors through the process. The system will also provide vendors with information on how to get a Data Universal Numbering System (DUNS) number, since the DUNS number is an optional field suggested by VA for the vendor to complete. The system will also provide a Web site with instructions on how to obtain the bank routing number and bank account number from the vendor check. FSC will provide vendors with a customer service telephone number for resolving questions and problems. FSC customer service function will assist vendors without Internet access and vendors having problems. Vendors that are without Internet access will have the option of receiving a password if they would like to access the Internet site in the future, or they may have the option of not receiving the password.

Qualified FSC, Health Administration Center (HAC), and field facility personnel will be afforded complete access to the system through an Intranet application. All edit checks with specific instructions at each registration step will be applied to FSC, HAC, and field facility entries. Where applicable, web-site links shall be provided on the Intranet site to enable verification of debarred vendors. Set permissions will be required in the system via the Intranet site to allow access to be limited to authorized VA personnel through a user id and password. User ID will identify VA staff persons who enter or update a record in coreFLS. Following is information to be tracked in coreFLS and made available online: Record Created By, Record Created On, Record Last Updated By, and Record Last Updated On.

Vendor information shall download from coreFLS to separate VA vendor files. The following vendor files may require real-time online vendor data or nightly batch file updates of vendor information: Corporate WINRS, LS&C, HAC, FEE Basis, Central FEE, Prosthetics, VistA AR, and Library. coreFLS will interface required vendor data to these systems to meet their system requirements.

4.11.10.5 Functional Allocation

As described in the previous subsection, subfunctions of the Supplier Management function are

allocated to an Internet site/system for direct supplier interaction, to the PAID system for vendorized employees, and to coreFLS for supplier information storage, usage within coreFLS, and for dissemination to legacy systems requiring supplier information.

Implementation of the portions of the Supplier Management process allocated to coreFLS is currently underway as part of the coreFLS program and the status of each legacy system is shown in the list below.

- Financial Management System (FMS) centralized vendor file will be retired and replaced by coreFLS Supplier Management process
- Integrated Funds Distribution Control Point Activity Accounting and Procurement (IFCAP) vendor file will be retired and replaced by coreFLS Supplier Management process
- Local FEE Basis vendor file will be re-designed and interfaced with the coreFLS Supplier Management process
- Central FEE vendor file will be re-designed and interfaced with the coreFLS Supplier Management process
- Health Administration Center (HAC) vendor file will be retired and replaced by coreFLS Supplier Management process
- Loan Servicing and Claims (LS&C) vendor file will be re-designed and interfaced with the coreFLS Supplier Management process
- Corporate Waco, Indianapolis, Newark, Roanoke, Seattle (WINRS) vendor file will be re-designed and interfaced with the coreFLS Supplier Management process
- The Employee Time and Attendance (ETA) system is an existing system, which may require some modifications to interface with coreFLS.

4.11.11 Subfunction 11: External Reports Processing

External reporting requirements include the requirements for financial statements prepared in accordance with form and content prescribed by OMB, reporting requirements prescribed by Treasury, and legal, regulatory and other special management reports of the agency.

Associated Data Classes		
Title	Description	CRUD
External report	[Specific external reports required SF-224; Federal Agency Centralized Trial Balance System (FACTS I and FACTS II); Prompt Payment Report; IRS 1099-INT, G, I (Expand to include all mandated OMB, Treasury, IRS, GAO, etc reports).	C
Customer	The government agency to which the data is to be reported. Detailed elements include specific addressee, e.g., office, and location.	R

4.12 Acquisition and Material Management

The Acquisition and Material Management (A&MM) Key Enabling Functions (KEFs) are a complex set of functions supporting the VA enterprise supply chain and supply-chain management for the U.S. Veterans, the American citizenry, and the highly diversified Department of Veterans Affairs organizational base.

4.12.1 Subfunction 1: Acquisition Management

The “Acquisition” aspect of the KEF develops acquisition strategies, and procures products and services for VA as well as Other Government Organizations (OGA) through the award and administration of cost-effective national, regional, commodity based and service based contracts.

4.12.1.1 Subfunction 1.1: Acquisition Policy Management

Acquisition Policy Management focuses on the development of policies and procedures in the Federal acquisition arena, on behalf of the Department of Veterans Affairs.

These policy activities include:

- VA Acquisition Regulations (VAAR) maintenance.
- VA Circular processing.
- Directive issuance.
- Handbook issuance.
- Information Letter issuance.

Associated Data Classes		
Title	Description	CRUD
VAAR Maintenance	Review of VA Acquisition Regulations to ensure currency to existing/changed Federal Acquisition Regulations. Periodically updating the entire VAAR to ensure it contains only codified information. Updating non-codified information through the development of Handbooks and Directives.	CRU
VAC	Changes to the VAAR are implemented through the processing of VA Circulars (VAC).	CRU
Directives	Prescribe mandatory Department-wide policies. They may be permanent or temporary. If the policies are temporary, e.g., for one-time reports or data collections, an expiration or rescission date will be specified.	CRU
Handbooks	Prescribe mandatory Department-wide procedures or operational requirements implementing policies contained in directives.	CRU

Associated Data Classes		
Title	Description	CRUD
Information Letters	Prescribe non-directive information.	CRU

4.12.1.2 Subfunction 1.2: Acquisition Oversight

Acquisition Oversight provides department-wide acquisition oversight and focuses on providing guidance and oversight to VA acquisition professionals through technical, legal, and business reviews. Determinations regarding specific acquisition activities are conducted through the review of the department's protest, debarment/suspension, and voluntary disclosures.

Associated Data Classes		
Title	Description	CRUD
Technical Reviews	At specified dollar thresholds, as outlined in the VAAR, a review is conducted of solicitations and other pre-bid documents to ensure their technical sufficiency, prior to release to the bidding public.	RU
Business Reviews	Site-specific reviews of a VA acquisition entity to ensure that all activities performed at the facility are in compliance with FAR/VAAR and other regulatory requirements.	RU
Protest	Provides for responding to GAO and other Federal entities when bidders have entered protests to a solicitation/award of a contract. Also provides for responding to protest of solicitations/awards filed at the Departmental level.	R
Debarment/Suspension	Action to preclude (debar) and/or suspend contractors from receiving Federal government contracts on an administrative basis (civil remedy).	CU
Voluntary Disclosure	Actions that support a contractor's determination to return funds to the Federal government on a voluntary basis, as a result of wrongful action by the contractor.	R

4.12.1.3 Subfunction 1.3: Acquisition Training

Acquisition Training manages department-wide acquisition training and certification programs. It includes a variety of activities in support of Clinger-Cohen requirements, such as:

- Training of acquisition professionals
- Providing an Acquisition Training Program
- Supporting the Acquisition Management Forum

- Providing the Center for Acquisition and Materiel Management Education Online (CAMEO)
- Implementing the Contracting Officer Certification Program
- Career Development

Associated Data Classes		
Title	Description	CRUD
Acquisition Training Program	The Acquisition Training Program (ATP) consists of providing specified courses to department's acquisition professionals.	CRU
Acquisition Management Forum	Entails providing 40 hours of continuing education every other year to all VA acquisition professionals and allied acquisition professionals (COTRs, etc.).	CRU
Contracting Officer Certification Program	The Contracting Officer Certification Program (COCP) reviews training, experience, education and other credentials for the purpose of issuing warrants that authorize specific department personnel to obligate the government in support of acquisition actions.	CRU
CAMEO	The Center for Acquisition and Materiel Management Education Online (CAMEO) is an automated program that provides for tracking education, training, warrant, and certification data of the acquisition workforce.	CRU
Career Development	Develops an Acquisition Intern Program provides information on acquisition career opportunities within the department and develops/implements succession planning projects.	CRU

4.12.1.4 Subfunction 1.4: Acquisition Analysis

Acquisition Analysis collates and analyzes department-wide data on acquisitions. It provides for the analysis of data located in the Procurement History File for the purpose of establishing acquisition trends and determining items that should be standardized throughout the department for the purpose of realizing cost avoidance/cost savings.

Associated Data Classes		
Title	Description	CRUD
Procurement History File	Database collected from the Integrated Funds Distribution Control Point Activity, Accounting and Procurement (IFCAP) System that includes sources of goods and services, item, quantity, and price.	CRU

Associated Data Classes		
Title	Description	CRUD
Trend Analysis	Consists of analyzing information contained in the PHF for the purpose of determining patterns of acquisition/buying on an individual site basis and on a national level.	CRU
Support Standardization	Standardization consists of a determination that an item is bought in sufficient quantity on a recurring basis to ensure the item is utilized throughout the department on a cost avoidance/cost reduction basis.	CRU

4.12.1.5 Subfunction 1.5: Marketing

Marketing identifies potential customers of available services for the purposes of revenue generation. It promotes Office of Acquisition and Materiel Management's products and services and identifies business opportunities through business development schemes and market planning.

Associated Data Classes		
Title	Description	CRUD
Business Development	Develop resources and business opportunities, e.g., research prospective clients, cold calls, conferences, to gain more business/accomplish an objective/increase the depth of business knowledge. Identifies resource-sharing opportunities with the DOD activities and other government agency partnership opportunities and conducts Federal Healthcare Summits.	CRU
Market Plan	Process of planning, organizing, and managing tasks and resources to accomplish a defined objective, usually within constraints on time, resources, or cost.	CRU

4.12.1.6 Subfunction 1.6: Specialized Contract Management

Specialized Contract Management manages the development and execution of specialized contracts. The types of specialized contracts include, but are not limited to:

- Information Technology.
- Telecommunications.
- Management Studies.
- Flags.
- Other specialized acquisition actions include, but are not limited to:
 - Memorandums of Agreement.
 - Blanket Purchase Agreements.
 - Interagency Agreements.

This subfunction also includes a purchasing and procurement analysis component.

Associated Data Classes		
Title	Description	CRUD
Information Technology Contract	A written agreement between VA and Federal, or non-Federal entities for goods and/or services for hardware or software.	CRU
Telecommunications Contract	A written agreement between VA and Federal, or non-Federal entities for good and/services for telephones and switchboards.	CRU
Management Studies/Specialized Studies Contract	A written agreement between VA and Federal, or non-Federal entities for advisory and assistance services.	CRU
Flags Contract	A written agreement between VA and Federal, or non-Federal entities for flags used in burial services at National Cemeteries.	CRU
Memorandums of Understanding	Bilateral agreement between parties that spells out the terms, conditions, and agreements of the parties relative to a specific issue. MOU may be used for intra-VA agreements, inter-governmental agreements between Federal agencies, or between VA and other Federal agencies under the Economy Act or between VA and States under certain circumstances.	CRU
Blanket Purchase Agreements	Agreements written against existing contracts for repetitive products and services acquired on a volume basis.	CRU
Interagency Agreements	Provides for the utilization of support services, e.g., materials, supplies, equipment, services, of other agencies to the extent feasible, also provides for other government agencies to utilize the support services of VA.	CRU
Purchasing	Procurement functions to process requisitions, purchase orders and receipts.	CRU

4.12.1.7 Subfunction 1.7: National Contract Management

National Contract Management manages the development and execution of national contracts. The types of national contracts include, but are not limited to the following:

- Supplies
- Service
- Equipment
- Prime Vendor

Other actions under this subfunction include the development and execution of Federal Supply Schedules, including a purchasing and procurement analysis component.

Associated Data Classes		
Title	Description	CRUD
Supply Contract	A written agreement between VA and Federal, or non-Federal entities for medical supplies. These agreements include, but are not limited to, medical, surgical, and pharmaceutical products.	CRU
Service Contract	A written agreement between VA and Federal, or non-Federal entities for services. These agreements include, but are not limited to, home oxygen and medical gases.	CRU
Equipment Contract	A written agreement between VA and Federal, or non-Federal entities for high technology/high cost equipment. These agreements include, but are not limited to, MRI, CT Scan, PET equipment.	CRU
Prime Vendor Contract	A written agreement between VA and Federal, or non-Federal entities for distribution services. These agreements include, but are not limited to, subsistence, dental, medical/surgical, etc.	CRU
Federal Supply Schedules	Simplified process of acquiring commonly used supplies and services while obtaining volume discounts through contracts that are awarded using competitive procedures to commercial firms. GSA has delegated the authority for VA to enter such Schedules for a variety of medical products and services.	R

4.12.2 Subfunction 2: Material Management

The Materiel Management subfunction performs supply chain operations relating to management and business oversight of a full range of materiel and property management products and services.

4.12.2.1 Subfunction 2.1: Perform Materiel Management Operations

This subfunction includes activities to assure that VA's supplies, inventory and property management activities are effective and meet the needs of the department. This subfunction includes several operational programs such as freight management, household goods, employee relocation, publications, and homeless veterans support. Specific activities include:

- Distribution - to provide guidance and manage distribution of expendable and re-usable supplies and equipment including ordering, receiving, inventory management, proper handling, and meeting the user's needs.
- Property Management - to provide guidance on how to manage or directly manage VA nonexpendable equipment and furnishings.
- Customer Service - to provide assistance to the VA materiel management staff and customers regarding policy, training, guidance and regulations. To also provide timely information about the status of the customer transaction or assist the customer.
- Transportation – to provide transportation support for VA on moving supplies and equipment as well provide assistance for household moves for VA employees. This includes assistance in transportation of supplies to San Juan, PR.
- Repair – to provide repair service for medical equipment such as endoscopes, hearing aids for VA and Department of Defense at a reduced cost and provide replacement equipment for use during the repair

Associated Data Classes		
Title	Description	CRUD
Supplies	Expendable and re-usable medical, surgical, engineering, office, prosthetics, pharmaceuticals, and Automatic Data Processing supplies	CRUD
Non-expendable Equipment	Medical durable equipment (X-ray, CAT scan, wheelchairs), IT, Telecommunications, Office automation, Furniture, vehicles, security/fire-arms.	CRUD
Handling	Procedures/Operations to safely handle equipment and supplies.	CRU
Customer Transaction	Requisition, inquiry, shipment or other relevant action	CRU
Policy	VA established rules	CRU

Associated Data Classes		
Title	Description	CRUD
Guidance	Commercially available or VA provided information for established rules	CRU
Regulations	Authoritative rules dealing with details or procedures	CRU
Inventory	Establishing policy and procedures for VA inventory management (e.g. item number, storage location, vendor).	CRU
Equipment Accountability	Responsible for establishing policies and procedures for equipment accountability, disposal, and replacement (e.g., equipment, serial number).	CRU

4.12.2.2 Subfunction 2.2: Provide Materiel Management Oversight

Oversight is provided through policy and procedural guidance for:

- Business Reviews - scheduled visits to VA operations to review compliance with policy and other requirements and to provide guidance as required.
- Executive Assistance Programs - Executive Assistance reviews are conducted at the request of the medical center director, network directors or other management to review problems with policy violations and to provide guidance in other areas.

Associated Data Classes		
Title	Description	CRUD
Medical Center Director	Senior Executive of the medical center	R
Network Director	Senior Executive of all Medical centers within a region/area	R
Guidelines (Compliance)	Issuance of departmental guidance such as regulations and procedures.	CRU
Findings (Business Reviews)	Audit results, studies, and other materiel pertinent to materiel management operations.	CU
Recommendations	Provides corrective actions to findings.	CRU

Associated Data Classes		
Title	Description	CRUD
Resolutions	Appropriate actions to resolve customer issues and correct any identified operational deficiencies.	CRU

4.12.2.3 Subfunction 2.3: Perform or Provide Materiel Management Quality Assurance
Review and determine that departmental materiel management program is operating set targets/measures through:

- Inspections
 - Visits are made to VA material management operation facilities to identify any potential operational problems and provide recommendation for identified deficiencies.
 - Ensure the facility is operating with in established standards.
 - Review performance measures to determine overall operational effectiveness and compliance (metrics).
- SPD certification program

The SPD Certification program documents the training and provides national testing for VA's SPD staff. The program tracks completion of annual continuing education unit requirements.

Associated Data Classes		
Title	Description	CRUD
Targets and Measures	Establish goals to achieve operational effectiveness.	CRU
Standards	Set criteria that are in conformance with industry standards and meet VA's needs.	CRU
Metrics	Establish performance indicators to monitor compliance.	CRU
Result	Measured performance against metrics. For example, nearly 3,000 employees have received SPD certification.	CR

4.12.2.4 Subfunction 2.4: Provide Materiel Management Training

This subfunction provides a training program to assure a competent workforce. This is done through formal training events, written guidance, and through the SPD certification program. Activities include:

- SPD (Supply Processing and Distribution) Cluster Training - Training to provide the technical information to the SPD technicians. This training program includes preparation, decontamination, distribution and inventory management functions. The training also covers the required SPD level one training.

- Seminar Management - Section level Supervisors/Chiefs training for the materiel management staff at VA facilities, including VHA, VBA and NCA. This training/information is designed for inventory management, distribution, reprocessing reusable supplies (preparation/decontamination) and warehousing.
- IFCAP (Integrated Funds Distribution Control Point Activity, Accounting and Procurement) - Provides hands on training of the automated inventory system, automated case carts and control point modules. Classes are scheduled as required for system changes or personnel needs.
- AEMS/MERS (Automated Equipment Management System/ Medical Equipment Repair Service - Hands on training of automated equipment management system. The training is conducted in different phases depending on the need or changes to the AEMS/MERS system.
- Equipment Turn-in - Hands on training of the automated equipment request and turn-in system that integrates with AEMS/MERS and IFCAP. Phased training is conducted based on system changes or unit requirements.

Associated Data Classes		
Title	Description	CRUD
Section Level Supervisor/ Chief	Person responsible for managing the section handling specific items (medical and surgical supplies) in inventory, distribution, or reprocessing reusable supplies	R
Inventory Management	Systematic approach to managing VA's Materiel assets	CRUD
SPD Certification	The SPD certification program acknowledges mastery of technical aspects and demonstrated employee competency. In addition to the SPD certification program, VA employees can attend other training forums, conducted by OA&MM to acquire needed technical information for competency.	CRUD
Section Chief Level Training Seminars	Materiel Management Seminars present technical and management topics that address departmental requirements and policies.	CRUD
Results	Measured performance against metrics. For example, over 500 materiel management employees receive formal training each year. To date over 3,000 VA employees have received SPD certification.	CRU

4.12.2.5 Subfunction 3.1: Materiel Management Policy

This subfunction provides operation standards and guidance for the proper operation of VA's materiel assets.

- VA Directives - Policy and guidance to meet the requirements of the VA materiel management program
- Management and Information Letters - Policy, regulations and guidance provided to the materiel management programs until the information is included in a directive.

Associated Data Classes		
Title	Description	CRUD
VA Directives/ Management and Information Letters	Administrative Instruments that provide guidance for the proper functioning of the VA materiel management programs	CRU
Standards	A common set of methods, processes and/or procedures for the performance of designated operations or in designated situations.	CRUD
Guidance	Advice and interpretation of established procedures for the management of VA material assets.	CRUD

4.12.3 Subfunction 3: Financial Management

The "Financial Management" subfunction provides the ability for innovative financial services to VA customers via the VA Supply Fund. This Supply Fund provides the capability to extend obligation authority of appropriated funds up to five years beyond the current fiscal year for bona fide needs. This subfunction is also used to ease up front acquisition costs for leasing capital equipment. Beyond supply fund management and oversight, this financial management subfunction includes accounting, budgeting, costing, financial records management and expense activity support for both internal and external customers or Other Government Agencies (OGA).

4.12.3.1 Subfunction 3.1: Manage Supply Fund Accounting

This subfunction enables financial services to VA customers via the VA Supply Fund. The Supply Fund is authorized by Title 38 U.S.C 8121 as a revolving fund with cost reimbursements from appropriated customer agencies and provides the capability to extend obligation authority of appropriated funds up to five years beyond the current fiscal year for bona fide needs for an execution fee. It is used to ease up-front acquisition costs for leasing capital equipment. The Supply fund consists of two programs, One VA+ and Leasing. One VA+ applications include Information Technology Projects, Telecommunications Projects, Activation and other Equipment, and larger programs that require longer planning or site development lead-time. It

establishes formal agreements including bona fide need between a customer Program Office (PO) and the Supply fund using VA Form 2269; Receive the Obligation as an Unfilled Customer Order and Reimbursement; Receivable Program Office solicits procurement and Obligates against Supply Fund Accounts; Customer order is filled and the PO obligation Supply Fund is reduced; Return obligation balance to Treasury upon completion of agreement fulfillment or after five years.

- Establish formal agreement including bona fide need between a customer Program Office (PO) and the Supply fund using VA Form 2269
- Receive the Obligation as an Unfilled Customer Order and Reimbursement Receivable
- Program Office solicits procurement and Obligates against Supply Fund Accounts
- Customer order is filled and the PO obligation Supply Fund is reduced
- Return obligation balance to Treasury upon completion of agreement fulfillment or after five years

Associated Data Classes		
Title	Description	CRUD
Customer	Internal VA program office or department office from any VA administration (VHA, VBA, NCA) or OGA program or department utilizing the services for the Supply Fund.	R
Obligation	Funds required for the operation of the Supply fund and all its programs. Sub-accounts consist of funds for People, Services, Space, Travel, Equipment, etc.	R
Obligation Authority	Authority to Obligate appropriated funds on potential future purchases or expenses.	R
Revolving Fund	Self-sustaining fund, i.e., no appropriations, that recovers operations costs through service fees.	R
Execution Fee	Service fee collected to reimburse cost of administering and managing this program.	R
Unfilled Customer Order	Customer designated use of the obligated fund to purchase, lease, or expense.	CR
Reimbursement Receivable	Reimbursement to be paid by the customer when Acquisition and Materiel Management Finance disburses Obligated funds	CR

4.12.3.2 Subfunction 3.2: Manage Supply Fund Budgeting

This subfunction enables the formulation and execution of the annual budget for the Supply Fund consisting of three components: full-time equivalent staff (FTEs), Obligation, and Performance Measures.

The formulation of the supply fund budgeting requires the submission of estimates for each of the three components by all programs within VA and by OGAs wishing to utilize this Supply Fund. After the review and approval by the Director in the CFO, the formulation is submitted to the VA Secretary's office, which after reviews and modifications submits to OMB and Congress.

The execution of the supply fund budgeting mirrors the process for the formulation. This requires the creation of an annual Budget Operating Plan with monthly estimate at the start of the Fiscal Year. This information is input once annually into the Financial Management Systems (FMS) by the VA Secretary's Budget Office. The execution subfunction also compiles the reporting information about the actual amounts on a monthly basis for the three components of FTEs, Obligations, and Performance Measures.

Associated Data Classes		
Title	Description	CRUD
FTE	Represents the head count for the number of full time staff required for administering and managing the associated functions in Acquisition and Materiel Management including Supply Fund.	CRU
Obligation	Funds required for the operation of the supply fund and all its programs. Sub-accounts consist of funds for people, services, space, travel, equipment, etc.	CRU
Performance Measures	Metrics or targets to measure the performance in each category for the goals established by VA. This is used in the management and control of the program.	CRU
Budget Operating Plan	Document that describes what would be purchased or resources utilized, when, and why, along with a monthly estimate of the total.	CR

4.13 Information Technology

As discussed in Section 3.13, Information Technology (IT) is an enabler for delivering services. IT activities and facilities support all other EBFs and KEFs described in this document, supporting all VA business functions regardless of which administration is operating the IT assets and managing the supporting personnel and resources.

The benefits of an Enterprise Architecture view of the IT function are many, including the ability to:

- Provide a basis to establish security controls
- Provide a basis to allocate functions to Projects
- Provide a basis to delineate the roles and responsibilities
- Provide a basis to establish centralized management control
- Provide a basis to identify data items
- Provide a basis to understand the scope of functions performed within IT
- Provide a basis to identify location or system allocations
- Provide a basis to identify personnel, or organizational responsibilities
- Provide a basis to determine business cycles, initiators or terminator of process strings
- Provide a basis to identify and ultimately satisfy the motivators for conducting IT functions
- Provide a basis to reduce network and telecommunications costs and improve quality and reliability through definition of an integrated, performance based service
- Provide a basis for critical information infrastructure protection for continuity of operations and disaster recovery.

In this section, the IT Infrastructure is viewed as a whole entity and decomposed into its parts with the guiding principle of attempting to understand the functions and how they interact with each other. The decomposition is completed to a level where an individual subfunction (which could be many levels deep) can be allocated to a single project or program for management, budgeting and execution purposes. Since IT elements both integrally support other EBFs and KEFs by supplying functionality and intertwine with those functions (e.g., through Cyber Security policy and mechanisms), the approach used to describe IT in this subsection of the Enterprise Architecture is different than in previous subsections of this Section 4.

At a top level, the IT function encompasses the activities required to provide all VA business functions and other key enabling functions with an infrastructure able to effectively and securely collect, store, process, distribute, and communicate data and information.

All of VA's IT KEF activities are composed in 4 subfunctions:

- Cyber Security
- Network Communications Telecommunications
- Critical Infrastructure Protection (CIP)
- Information Technology Management

The following three priority subfunctions have been defined in this document. IT Management and the remaining portions of CIP will be further defined in the next version of the Enterprise Architecture.

Subfunction	Description
Cyber Security	Secure the VA enterprise against cyber attack. The primary goal of Cyber Security is to maintain confidentiality, integrity and access to information so that VA business operations proceed effectively and efficiently. Activities include: <ul style="list-style-type: none"> • Manage Security Services Oversight • Lead IT Security Workforce • Establish Security Infrastructure & Environment • Operate and Maintain Security Services for VA
Network Communications / Telecommunications	Implement a “One VA” Telecommunications network to assure that information can be shared quickly across organizational entities. Activities include: <ul style="list-style-type: none"> • Identify business need for connectivity. • Acquire connection. • Monitor connection performance. • Retire connection. • Document connection. • Train user/administrator on the connection.
Data Center COOP	Implements a processing platform and data storage infrastructure that is secure and reliable. Activities include: <ul style="list-style-type: none"> • Establishing business-based recovery time and recovery point objectives. • Establishing best practices across the enterprise • Supports workload distribution ensuring cost effective continuity of operations.

Each of these subfunctions is described in more detail in the following subsections.

4.13.1 Subfunction 1: Cyber Security

The mission of Cyber Security, taken from the Information Technology Strategic Plan April 2002, DRAFT, is to secure the VA enterprise against cyber attack. The primary goals of Cyber Security are:

- Establish and operate an IT environment where Veterans and their families can be confident that their sensitive personal information is protected and remains private.
- Maintain confidentiality, integrity and access to information so that VA business operations proceed effectively and efficiently.

Cyber Security activities undertaken to accomplish these goals include:

- Manage Security Services Oversight
- Lead IT Security Workforce
- Establish Security Infrastructure & Environment
- Operate and Maintain Security Services for VA

The concept of “Defense in Depth” is the foundation for the VA Cyber Security functions. The “Defense in Depth” approach is designed to protect VA’s information technology enterprise so that the presence of an individual with malicious intent within the network will be detected, identified and neutralized with little or no adverse affect on VA’s information resources. “Defense in Depth” is composed of seven strategic processes of defense (See Figure 4-6). Each of the seven processes has specific subfunctions that, when achieved, establish the infrastructure’s ability to defend itself.

1. Protected Network Infrastructure
2. Securable Operating Systems
3. Secure Protocols
4. Boundary Protection
5. Intrusion Detection Devices
6. Online Virus Protection
7. Active Security Monitoring

Figure 4-6: Seven Strategic Processes of Defense

Motivations:

Key Objectives

The key objectives required to accomplish the mission and goals include:

- Maintain the confidentiality, integrity, and accessibility of Veteran’s sensitive information that is collected, processed, stored, and distributed by VA.
- Maintain the confidentiality, integrity, and accessibility of VA employee’s sensitive information that is collected, processed, stored, and distributed by VA.
- Maintain the confidentiality, integrity, and accessibility of sensitive business information that is collected, processed, stored, and distributed by VA.
- Meet or exceed the expectation of Congress, the President, and the Secretary in operating and maintain a secure IT environment that is responsive to the needs of VA.

Controlling Factors on VA’s ability to achieve its Goals

Controlling factors both constrain and motivate Cyber Security go provide a secure IT environment. Controlling factors include the following:

- Veteran’s Confidentiality and Privacy expectations

- Legislation
 - Health Insurance Portability and Accountability Act of 1996
 - GISRA
- Presidential Directives and OMB Guidance
- GAO Audit Guidance - FISCAM
- Secretary's Goals and Directives
- Current Infrastructure Vulnerabilities
- Potential and Actual Threat against VA

Subfunctions:

The Cyber Security Function has four primary subfunctions, as summarized below.

Subfunction	Description
Establish Security Oversight	<p>This subfunction establishes the rules and controls upon which the VA IT infrastructure is developed, managed, and operated. There are several external regulations placed on VA that require periodic reporting and status maintenance. This collection of activities addresses Security planning, reporting the infrastructure's security status to legislative oversight groups, and Security related policies. Activities include:</p> <ul style="list-style-type: none"> • Establish VA Security Plan • Comply with Legislative Oversight • Manage Security Policies
Lead IT Security Workforce	<p>This subfunction is concerned with leading the IT security workforce. This collection of activities is the action taken to make sure people are properly prepared to operate the IT infrastructure in a secure manner and to protect sensitive information, maintaining its confidentiality, integrity and access. Activities include:</p> <ul style="list-style-type: none"> • Control Personnel Activities through Formal Operating Procedures, Supervision, and Review • Provide Security Training for field Information Security Officers. • Provide Security Awareness Training for IT personnel • Provide Security Awareness Training for all VA personnel

Subfunction	Description
Establish Security Capabilities	<p>This subfunction establishes a secure IT infrastructure. This collection of activities focuses on the physical and procedural elements of the infrastructure. The resulting infrastructure should ensure that the information assets and resources are protected from malicious attack or inadvertent loss. The assets and resources can operate and process VA lines of business in a secure environment where confidence is high that information is available, accurate, and privacy is maintained at the highest levels possible. Activities include:</p> <ul style="list-style-type: none"> • Establish Critical Infrastructure Protection capabilities with the VA infrastructure • Establish Access Controls • Establish capability to maintain data integrity • Establish capability to protect the physical VA information infrastructure • Establish PKI capability
Operate & Maintain Security Services	<p>This subfunction operates the VA infrastructure in a secure manner that maintains the confidentiality, integrity and accessibility of information assets and resources. This environment and its operation is critical for VA to process its Primary Lines of Business and preserve each Veteran's confidence that his information is held in strict confidence and privacy. Activities include:</p> <ul style="list-style-type: none"> • Operations and Maintenance (O&M) of an IT C3 infrastructure • O&M Security Operations Center (SOC) • O&M centralized and automated intrusion monitoring and reporting to VA CIRC • Certify & Accredite systems/application/networks • O&M Certificate Authority • O&M Anti-Virus Capability

Cyber Security Functional Decomposition:

The decomposition of all subfunctions encompassing the Cyber Security functions is listed in the Decomposition tables below. The numbering scheme and indentation depict the hierarchy of the decomposition.

A1	Establish Security Oversight
A11	Establish VA Security Plan
A111	Periodically Assess Risk
A112	Document an Entity-wide Security Plan

A113	Establish a Security Management structure & clearly assign security responsibilities
A114	Monitor the Security Program's effectiveness & make changes as needed
A12	Comply with Legislative Oversight
A121	Identify Law/regulation requirements
A122	Collect performance data
A123	Evaluate reports from CIRC, Field ISOs, NOC, and SOC
A124	Update Database(s) for Legislative Oversight
A125	Report status
A126	Advise leadership
A13	Manage Security Policies
A131	Establish development, review, & retirement procedures for Policies & Guidelines
A132	Segregate Incompatible Duties and Establish Related Policies
A133	Implement effective security-related personnel policies
A134	Identify Secure Protocols
A135	Identify and Manage Security Policies

Decomposition 4.13.1-1 Establish Security Oversight

A2	Lead IT Security Workforce
A21	Control Personnel activities through formal operating procedures, supervision, and review
A22	Provide Security Training for Field Information Security Officers (ISO)
A23	Provide Security Awareness for all IT Personnel
A24	Provide Security Awareness for all VA Personnel

Decomposition 4.13.1-2 Lead IT Security Workforce

A3	Establish Security Infrastructure & Environment
A31	Establish CIP capabilities within the VA Infrastructure
A311	Establish a secure Service from a protected network infrastructure all the way to each subscriber's facility
A312	Implement secure Operating Systems (OS) on all servers and clients
A313	Establish secure protocols for servers and clients
A314	Establish boundary protection infrastructure at processing and subscriber facilities
A315	Implement Intrusion Detection devices
A316	Implement an Online Virus Protection capability
A317	Identify key events and their associated alerts
A32	Establish Access Controls
A321	Establish User Registration procedures
A322	Establish User Identification procedures
A323	Establish User Authentication procedures
A324	Establish User Authorization procedures
A325	Permit/Deny Access
A326	Log Access Events
A33	Establish capability to protect the physical VA infrastructure
A331	Establish Environmental Protection
A332	Establish Physical Access procedures
A34	Establish VA PKI
A341	Implement Certification Authority

Decomposition 4.13.1-3 Establish Security Capabilities

A4	Operate & Maintain Security Services
A41	O&M an IT command, control & communication (C3) infrastructure
A411	Monitor the performance of the information infrastructure
A412	Direct operations of the information infrastructure
A413	Communicate with IT stall in the field
A42	O&M Security Operations Center (SOC)
A421	Administer Centralized Security of Servers and network devices
A422	Actively Monitor the security of the enterprise infrastructure
A423	Report Security Events to CIRC
A424	Conduct Forensic Analysis
A425	Manage the disposal of sensitive materials
A43	O&M Centralized Reporting and Automated Intrusion Monitoring & Reporting to VA CIRC
A431	Collect Field Reports
A432	Coordinate with External CIRCs
A433	Disseminate Incident Reports to the field
A434	Maintain Event/Incident database
A435	Report Security Events & Trends to VA leadership
A44	Certify and accredit systems/applications/networks
A441	Certify Systems
A442	Monitor System maintenance and changes
A443	Certify Networks
A444	Monitor Networks maintenance and changes
A445	Certify Application software development
A446	Monitor Application maintenance and changes
A45	O&M Certificate Authority
A451	Issue Certificates
A452	Provide certificate validations
A453	Distribute public keys
A454	Revoke Certificates
A46	O&M an Anti-Virus capability
A461	Distribute Anti-Virus software
A462	Distribute Virus Signature updates

Decomposition 4.13.1-4 Operate & Maintain Security Services

Key Data Elements of Cyber Security:

Cyber Security has many data classes that it creates, reads, updates, or deletes (CRUD) on a continuous basis. Cyber Security has two types of data classes to be concerned with: data classes that are used to manage the security of the VA IT Infrastructure; and data classes that need to be protected within the VA IT infrastructure.

The following table shows a sample of the data classes managed within VA's Cyber Security realm of responsibility.

Associated Data Classes		
Title	Description	CRUD
Access Control Policy	A plan or course of action intended to influence and determine decisions, actions, and other matters concerning how access is controlled.	C
Access Control Procedures	A set of steps that are used to permit or deny access to a resource or asset.	CRU
Access Log	A table that identifies each access attempt. It includes whom, what accessed, when.	CR
Access Status	Status of conducting an evaluation for access	CR
Asset Information	Collection of information regarding the state of VA assets. It includes make, model, serial number, location, IP address, function, POC, etc.	CRUD
Authorization Information	Information used by the Authorization function to verify if the subject is authorized to access an asset or resource.	CR
Authorization List	List of Users, applications and devices that are permitted access to a resource or asset	R
Authorization Status	Status resulting from conducting an authorization evaluation.	CRUD
Certification Criteria	List of conditions that when met meet an established standard for performance.	R
CIRT Contact Information	List of CIRT Team members and their contact information.	CRUD
Classification of the resource/asset	Assignment of the information to a classification	R
Compliance Criteria	List of conditions that when met meet a set standard.	R
Contact Information	A set of data used to make contact. Examples: Telephone, location, email, & IP information.	RU

Associated Data Classes		
Title	Description	CRUD
Course of Action	Direction. A set of steps to achieve a Goal.	CRUD
Employee Information	Identification, demographic, contact, & employment information	R
Encryption Policy	A plan or course of action intended to influence and determine decisions, actions, and other matters concerning how encryption is applied.	CRUD
Family Member information	Identification, demographic, contact, & relationship to the veteran information	R
GISRA Database	A set of relational tables maintaining the current GISRA infractions from the VA infrastructure.	CRUD
I&A Status	The status resulting from conducting an identification and authentication activity.	CRUD
Identification (ID)	A set of data used to identify a subject. It can be a logical, physical, or biometric set of data. Examples: Badge, smart card, digital certificate, fingerprint, birth certificate, passport, etc.	R
Incident information	A collection of data elements regarding an event.	CR
Incidence reports and resolutions	Reports containing data about security events.	CR
Information Classes	A set or grouping of information that should receive similar security handling.	R
Initial Password	An assigned password so that the first time user can access an application or web site. Usually this password is set to be a one-time use password, which requires the user to select and establish their own unique password that they can remember and use in the future.	C
Law	Federally mandated statutes.	R

Associated Data Classes		
Title	Description	CRUD
Log	A table used to store information about individual events.	R
Log Entries	Records in a table.	R
Log Policy	A plan or course of action intended to influence and determine decisions, actions, and other matters concerning how logs are created, managed and destroyed.	CRUD
Method for applying classification	List of procedures used to group resources or assets.	R
Password	An alphanumeric string when combined with the user name authenticates the User.	R
Personally Identifiable Information (PII)	Any data set that can be linked back to a specific individual.	R
Privacy Policy	A plan or course of action intended to influence and determine decisions, actions, and other matters concerning how privacy is maintained.	CRUD
Relationship Information	The relationship an individual has with the Veteran	R
Report	A disclosure of information about a specific event or subject. It includes who, what information, when, type of disclosure event, current status.	CR
Representative information	Identification, demographic, contact, & relationship to the veteran information	R
Resource Information	Collection of information regarding the state of a Resource. It includes identification, location, function, POC, etc.	R
Review Procedures	Steps taken to examine a set of records and report findings.	R

Associated Data Classes		
Title	Description	CRUD
Risk Assessment	An assessment of threat facing an organization, the inherent vulnerabilities contained in the information technology employed or planned, and the value of the information controlled by the organization.	CR
Security Logs	Tables containing records describing security events	R
Security Policy	A plan or course of action intended to influence and determine decisions, actions, and other matters concerning security issues.	CRUD
Signature Policy	A plan or course of action intended to influence and determine decisions, actions, and other matters concerning how signature is accepted.	CRUD
Situation	A set of environmental conditions or states that are note worthy.	R
Test Results	Findings from conducting an evaluation.	R
Veteran's Health Information	An individual Veteran's health information	R
User	Employees, contractors, vendors, and customers that operate within the VA shared environment.	R
Username	Alphanumeric string assigned/chosen to represent the user	R
Veteran's Information	Identification, demographic, military service, health, contact, & family information	R

Locations:

Cyber Security is applied in all facilities and locations where Information Technology is used. Eight categories of VA Facilities are listed in Table 4.13.1-1

Table 4.13.1-1. VA Facility Types

Medical Centers	Community based Outpatient clinics	Regional Offices	Data Processing Centers
Veteran Service Organizations	National Cemeteries	Affiliated Universities	Collocated DOD sites

Mapping of Allocated Functions:

One of the key purposes of the Enterprise Architecture is to be able to allocate elemental functions to individual projects for Budgeting and Project Management efforts, yielding an allocated functional baseline. Tables 4.13.1-2 through 4.13.1-5 below show the functional decomposition of Cyber Security allocated to a current or future Project. Note that each function is allocated to only one Project. If it has the potential to be allocated to more than one then decomposition continues for that function until each of its subfunctions can be uniquely allocated to a Project.

There are currently 5 projects or project categories that the functions of Cyber Security are allocated to for either establishment of the function, acquisition to be able to do the activities, or manage the activities.

- Enterprise Cyber Security Infrastructure Project: the Enterprise Cyber Security Infrastructure Project (ECSIP) provides boundary protection at Corporate and Regional Data Center, establishes Virtual Private Network access, installs network and host based intrusion detection systems, and stands up a Security Operations Center (SOC) for actively monitoring and reporting security events. Appropriate Cyber Security functions are allocated to the Project Category: ECSIP.
- Telecommunications Modernization Plan: the Telecommunications Modernization Plan (TMP) provides the capability to acquire and manage the WAN infrastructure among protected network infrastructures and subscribing facilities. Appropriate Cyber Security functions are allocated to the Project Category: TMP.
- Application Development Projects: There are several application development projects (ADP) currently underway at VA. Most require only basic security guidance and services. The Program Manager will be responsible to implement the defense in depth processes that apply to the application. The key processes that might apply include Secure Protocols and Secure Operating Systems. As depicted in the tables below the primary activity is within the "Access Control" area. The individual application project manager will be responsible for implementing the appropriate access controls to the application. Appropriate Cyber Security functions are allocated to as required to the Project Category: Application Develop Projects (ADP).

- **ADP Privacy HIPAA:** Many VA applications handle sensitive information that requires specific Privacy and Confidentiality assurances. The Federal Government enacted a set of laws dealing with the Privacy and Security of an individual's health information. Primarily the HIPAA laws are directed toward the healthcare industry to maintain an individual's Right to Privacy. This requires anyone who works with protected health information to take all appropriate safeguards to protect the information. HIPAA has two sections: Privacy and Security. Privacy is the policies that an organization needs to establish and follow. Security is a collection of tools and procedures used to execute the policies. The Security portion of the law has been published in draft only as of July 8, 2002. Cyber Security functions that provide a higher level of Privacy assurances to meet the requirements of an individual Right to Privacy (HIPAA and like regulation) are allocated to the Project Category: ADP Privacy HIPAA.
- **CIRC/SOC:** Computer Incident Response Center (CIRC) / Security Operations Center (SOC) is a future project for the operation of the CIRC/SOC. Appropriate Cyber Security functions are allocated to the Project Category: CIRC/SOC.
- **Other:** Remaining Cyber Security functions or activities are allocated to the "Other" project category for management and execution.

LEGEND: Values in the table cells identify the Strategic Process with the Defense in Depth concept that they support or the key enabling Security Administration function that supports the Defense in Depth Strategic Processes.

D1	Protected Network Infrastructure
D2	Secure Operating Systems
D3	Secure Protocols
D4	Boundary Protection
D5	Intrusion Detection
D6	Online Virus Protection
D7	Active Security Monitoring
CSA	Centralized Security Administration
SO	Security Operations
ITO	Information Technology Operations

Highlighted rows are higher-level classification labels for the allocated functions and are not individually allocated since they could span across several layer of defense or projects.

Table 4.13.1-2. Functional Allocation to Projects – Establish Security Oversight

Function	Project					
	ECSIP	TMP	Application Development Projects (ADP)	ADP - Privacy HIPAA	CIRC/SOC	Other
A1 Establish Security Oversight						
A11 Establish VA Security Plan						
A111 Periodically Assess Risk						
A1111 Identify the Threat						CSA
A1112 Determine the Value of the Assets being protected						CSA
A1113 Identify the Vulnerability of the Network Elements						D1
A1114 Identify the Vulnerability of the Operating Systems being used						D2
A1115 Identify the Vulnerability of the Protocols and Applications						D3
A1116 Identify the Vulnerability of the Firewalls, RAS entry points, and Edge Routers						D4
A1117 Calculate the Acceptable Risk Level(s)						CSA
A112 Document an Entity-wide Security Plan						
A1121 Establish element of the plan for Protecting the Network Infrastructure	D1					
A1122 Establish element of the plan for Securing Operating Systems	D2					
A1123 Establish element of the plan for Securing Protocols	D3					
A1124 Establish element of the plan for Protecting the Boundary	D4					
A1125 Establish element of the plan for Detecting Intrusions	D5					
A1126 Establish element of the plan for Protecting from Online Viruses or Malicious Codes	D6					
A1127 Establish element of the plan for Actively Monitoring for Security Events	D7					
A113 Establish a Security Management structure & clearly assign security responsibilities						CSA
A114 Monitor the Security Program's effectiveness & make changes as needed						
A1141 Evaluate reports from CIRC, the Field ISOs, NOC, and SOC					SO	
A1142 Identify areas where unacceptable risk is encountered						CSA
A1143 Recommend Changes to Plans and Implementations						CSA
A12 Comply with Legislative Oversight						
A121 Identify Law/regulation requirements						CSA

Table 4.13.1-2. Functional Allocation to Projects – Establish Security Oversight

Function	Project					
	ECSIP	TMP	Application Development Projects (ADP)	ADP - Privacy HIPAA	CIRC/SOC	Other
A122 Collect performance data						CSA
A123 Evaluate reports from CIRC, the Field ISOs, NOC, and SOC						CSA
A124 Update Database(s) for Legislative Oversight						CSA
A125 Report status						CSA
A126 Advise leadership						CSA
A13 Manage Security Policies						
A131 Establish development, review, & retirement procedures for Policies & Guidelines						CSA
A132 Segregate Incompatible Duties and Establish Related Policies						CSA
A133 Implement effective security-related personnel policies						CSA
A134 Identify & Manage Secure Protocols						
A1341 Define SMTP/SMIME standards based processes for email						D3
A1342 Define VA Firewall Protocols	D3					
A1343 Define secure system configurations						D3
A1344 Define SSL/TLS procedures for server and client I&A						D3
A1345 Define data encryption procedures for web, FTP, and directory services						D3
A1346 Define IPSEC standards for VPN						D3
A135 Identify & Manage Security Policies						
A1351 Establish polices and procedures for reproduction/replication/disposal of sensitive data						CSA
A1352 Establish Polices for Protecting the Network Infrastructure						D1
A1353 Establish Polices for Securing the Operating System						D2
A1354 Establish Policies for identifying & using secure Protocols						D3
A1355 Establish Polices for Protecting the Boundary						D4
A1356 Establish Polices for Detecting Intrusions						D5
A1357 Establish Policies for Protecting from Online Viruses or Malicious Code						D6
A1358 Establish Policies for Actively Monitoring for Security Events						D7

Table 4.13.1-3. Functional Allocation to Projects – Lead IT Security Workforce

Function	Project					
	ECSIP	TMP	Application Development Projects (ADP)	ADP - Privacy HIPAA	CIRC/ SOC	Other
A2 Lead IT Security Workforce						
A21 Control Personnel activities through formal operating procedures, supervision, and review						SO
A22 Provide Security Training for Field Information Security Officers						SO
A23 Provide Security Awareness Training for all IT Personnel						SO
A24 Provide Security Awareness Training for all VA Personnel						SO

Table 4.13.1-4. Functional Allocation to Projects – Establish Security Infrastructure & Environment

Function	Project					
	ECSIP	TMP	Application Development Projects (ADP)	ADP - Privacy HIPAA	CIRC/ SOC	Other
A3 Establish Security Infrastructure & Environment						
A31 Establish CIP capabilities within the VA Infrastructure						
A311 Establish a secure service from a protected network infrastructure all the way to each subscriber's facility		D1				
A312 Implement secure Operating Systems (OS) on all servers and clients	D2					
A313 Establish Secure Protocols for servers and clients	D3					
A314 Establish Boundary Protection infrastructure at processing and subscriber facilities	D4					
A315 Implement Intrusion Detection devices	D5					
A316 Implement an online Virus Protection capability	D6					
A317 Identify key events and their associated alerts	D7					
A32 Establish Access Controls						
A321 Establish User Registration procedures						CSA
A322 Establish User Identification						CSA

Table 4.13.1-4. Functional Allocation to Projects – Establish Security Infrastructure & Environment

Function	Project					
	ECSIP	TMP	Application Development Projects (ADP)	ADP - Privacy HIPAA	CIRC/ SOC	Other
procedures						
A323 Establish User Authentication procedures						CSA
A324 Establish User Authorization procedures						CSA
A325 Permit/Deny Access			D2			
A3251 Establish "least privilege" based access permissions			D2			
A3252 Establish Access Controls to Enforce Segregation of Duties						CSA
A326 Log Access Events			D2			
A33 Establish capability to protect the physical VA infrastructure						
A331 Establish Environmental Protection						
A3311 Review Local/Regional/Federal regulation						CSA
A3312 Verify compliance						CSA
A3313 Establish periodic review for compliance						CSA
A3314 Establish new construction/development procedures to ensure compliance						CSA
A3315 Report status to leadership						CSA
A332 Establish Physical Access procedures						CSA
A34 Establish a PKI capability						
A341 Implement Certificate Authority				D3		

Table 4.13.1-5. Functional Allocation to Projects – Operate & Maintain Security Services for VA

Function	Project					
	ECSIP	TMP	Application Development Projects (ADP)	ADP - Privacy HIPAA	CIRC/ SOC	Other
A4 Operate & Maintain Security Services						
A41 O&M an IT command, control & communication (C3) infrastructure						ITO
A411 Monitor the performance of the information infrastructure						ITO

Table 4.13.1-5. Functional Allocation to Projects – Operate & Maintain Security Services for VA

Function	Project					
	ECSIP	TMP	Application Development Projects (ADP)	ADP - Privacy HIPAA	CIRC/ SOC	Other
A4111 Maintain problem, status, and resolution records and procedures						ITO
A4112 Ensure only VA authorized systems are installed on infrastructure						ITO
A4113 Monitor system/network/application maintenance						ITO
A4114 Monitor system/network/application installation/upgrade						ITO
A412 Direct operations of the information infrastructure						ITO
A413 Communicate with IT staff in the field						ITO
A42 O&M Security Operations Center (SOC)					D7	
A421 Administer Centralized Security of Servers and network devices					D7	
A422 Actively Monitor the security of the enterprise infrastructure					D7	
A4221 Conduct regular, no/short notice independent vulnerability assessments & penetration tests						SO
A4222 Conduct On-site security assessments and audits						SO
A42221 Establish auditing procedures						CSA
A42222 Conduct Audits						SO
A42223 Conduct Network Infrastructure Assessments						D1
A42224 Conduct Operating System Assessments						D2
A42225 Conduct Protocol Assessments						D3
A42226 Conduct Boundary Assessments						D4
A42227 Conduct Intrusion Detection Assessments						D5
A42228 Conduct Anti-Virus Assessment						D6
A42229 Report Assessment Findings						SO
A4222.10 Ensure internal security procedures and policies are being properly followed						SO
A4222.11 Identify security configuration shortfalls						SO
A4223 Monitor for security incidents within the VA enterprise network					D7	

Table 4.13.1-5. Functional Allocation to Projects – Operate & Maintain Security Services for VA

Function	Project					
	ECSIP	TMP	Application Development Projects (ADP)	ADP - Privacy HIPAA	CIRC/ SOC	Other
A42231 Monitor Intrusion Detection Systems for Events					D7	
A42232 Report Detected Intrusion Events					D7	
A42233 Collect & report Virus infection events					D7	
A42234 Collect & report attempts of DNS events					D7	
A42235 Collect & report evidence of malicious data tampering, destruction, compromise, or loss					D7	
A423 Report security events to CIRC					D7	
A424 Conduct Forensic Analysis					SO	
A425 Manage the disposal of sensitive materials						SO
A43 O&M Centralized and automated intrusion monitoring & reporting to VA CIRC						
A431 Collect field reports					D7	
A432 Coordinate with External CIRC's					SO	
A433 Disseminate incident reports to the field					SO	
A434 Maintain Event / Incident database					SO	
A435 Report Security events & trends to VA leadership					SO	
A44 Certify and Accredite systems/applications/networks						
A441 Certify Systems						
A4411 Verify System uses approved Operating Systems						D2
A4412 Verify System uses defined Access Control Procedures						D3
A442 Monitor System maintenance and changes					D7	
A443 Certify Networks						
A4431 Verify Network Device uses approved configuration						D1
A4432 Verify Boundary Devices use approved Configuration						D4
A4433 Verify Network uses defined Access Control Procedures						D3
A444 Monitor Networks maintenance and changes					D7	

Table 4.13.1-5. Functional Allocation to Projects – Operate & Maintain Security Services for VA

Function	Project					
	ECSIP	TMP	Application Development Projects (ADP)	ADP - Privacy HIPAA	CIRC/ SOC	Other
A445 Certify Application software development & Change Control						
A4451 Processing Features & Program Modifications as Properly Authorized						D3
A4452 Test & Approve all new & revised Software						D3
A4453 Control Software Libraries						D3
A4454 Verify Application uses defined Access Control Procedures						D3
A446 Monitor Application maintenance and changes						D7
A45 O&M Certificate Authority						
A451 Issue Certificates						CSA
A452 Provide certificate validations						CSA
A453 Distribute public keys						CSA
A454 Revoke Certificates						CSA
A46 O&M an Anti-Virus capability						D6
A461 Distribute Anti-Virus software						D6
A462 Distribute Virus Signature updates						D6

Map of Functions to Defense in Depth

Recent Cyber Security incidents demonstrate the increasing need to prevent unauthorized individual with malicious intent from access VA's IT infrastructure. Consequently VA is implementing the strategy of "Defense in Depth" to defend against cyber attacks of all kinds. "Defense in Depth" is composed of seven strategic processes. Each of these strategic processes is specifically designed to protect sensitive information and resources and maintain confidentiality, integrity and access. Each activity defining Cyber Security will either directly implement a strategic defensive process or enable the implementation. The following table depicts the allocation of Cyber Security activities to a strategic process or enabler of strategic processes.

Table 4.13.1-6. Functional Allocation to Defense in Depth Concepts – Establish Security Oversight

Function	7 Strategic Processes of Defense in Depth							Sec Mgmt	
	Protected Network I Infrastructure	Securable Operating Systems	Secure Protocols	Boundary Protection	Intrusion Detection Devices	Online Virus Protection	Active Security Monitoring	Centralized Security Admin	Security Operations
A1 Establish Security Oversight									
A11 Establish VA Security Plan									
A111 Periodically Assess Risk									
A1111 Identify the Threat							X		
A1112 Determine the Value of the Assets being protected							X		
A1113 Identify the Vulnerability of the Network Elements	X								
A1114 Identify the Vulnerability of the Operating Systems being used		X							
A1115 Identify the Vulnerability of the Protocols and Applications			X						
A1116 Identify the Vulnerability of the Firewalls, RAS entry points, and Edge Routers				X					
A1117 Calculate the Acceptable Risk Level(s)							X		
A112 Document an Entity-wide Security Plan									
A1121 Establish element of the plan for Protecting the Network Infrastructure	X								
A1122 Establish element of the plan for Securing Operating Systems		X							
A1123 Establish element of the plan for Securing Protocols			X						
A1124 Establish element of the plan for Protecting the Boundary				X					
A1125 Establish element of the plan for Detecting Intrusions					X				
A1126 Establish element of the plan for Protecting from Online Viruses or Malicious Codes						X			
A1127 Establish element of the plan for Actively Monitoring for Security Events							X		
A113 Establish a Security Management structure & clearly assign security responsibilities								X	
A114 Monitor the Security Program's effectiveness & make changes as needed									
A1141 Evaluate reports from CIRC, the Field ISOs, NOC, and SOC									X
A1142 Identify areas where unacceptable risk is encountered								X	
A1143 Recommend Changes to Plans and Implementations								X	

Table 4.13.1-6. Functional Allocation to Defense in Depth Concepts – Establish Security Oversight

Function	7 Strategic Processes of Defense in Depth							Sec Mgmt	
	Protected Network I Infrastructure	Securable Operating Systems	Secure Protocols	Boundary Protection	Intrusion Detection Devices	Online Virus Protection	Active Security Monitoring	Centralized Security Admin	Security Operations
A12 Comply with Legislative Oversight									
A121 Identify Law/regulation requirements								X	
A122 Collect performance data								X	
A123 Evaluate reports from CIRC, the Field ISOs, NOC, and SOC								X	
A124 Update Database(s) for Legislative Oversight								X	
A125 Report status								X	
A126 Advise leadership								X	
A13 Manage Security Policies									
A131 Establish development, review, & retirement procedures for Policies & Guidelines								X	
A132 Segregate Incompatible Duties and Establish Related Policies								X	
A133 Implement effective security-related personnel policies								X	
A134 Identify & Manage Secure Protocols									
A1341 Define SMTP/SMIME standards based processes for email			X						
A1342 Define VA Firewall Protocols			X						
A1343 Define system configurations			X						
A1344 Define SSL/TLS procedures for server and client I&A			X						
A1345 Define data encryption procedures for web, FTP, and directory services			X						
A1346 Define IPSEC standards for VPN			X						
A135 Identify & Manage Security Policies									
A1351 Establish polices and procedures for reproduction/replication/disposal of sensitive data									X
A1352 Establish Polices for Protecting the Network Infrastructure	X								
A1353 Establish Polices for Securing the Operating System		X							
A1354 Establish Polices for identifying & using secure Protocols			X						
A1355 Establish Polices for Protecting the Boundary				X					
A1356 Establish Polices for Detecting Intrusions					X				
A1357 Establish Polices for Protecting from Online Viruses or Malicious Code						X			

Table 4.13.1-6. Functional Allocation to Defense in Depth Concepts – Establish Security Oversight

Function	7 Strategic Processes of Defense in Depth							Sec Mgmt		
	Protected Network I Infrastructure	Securable Operating Systems	Secure Protocols	Boundary Protection	Intrusion Detection Devices	Online Virus Protection	Active Security Monitoring	Centralized Security Admin	Security Operations	IT Operations
A1358 Establish Policies for Actively Monitoring for Security Events							X			

Table 4.13.1-7. Functional Allocation to Defense in Depth Concepts – Lead IT Security Workforce

Function	7 Strategic Processes of Defense in Depth							Sec Mgmt		
	Protected Network I Infrastructure	Securable Operating Systems	Secure Protocols	Boundary Protection	Intrusion Detection Devices	Online Virus Protection	Active Security Monitoring	Centralized Security Admin	Security Operations	IT Operations
A2 Lead IT Security Workforce										
A21 Control Personnel activities through formal operating procedures, supervision, and review									X	
A22 Provide Security Training for Field Information Security Officers									X	
A23 Provide Security Awareness Training for all IT Personnel									X	
A24 Provide Security Awareness Training for all VA Personnel									X	

Table 4.13.1-8. Functional Allocation to Defense in Depth Concepts – Operate & Maintain Security Services for VA

Function	7 Strategic Processes of Defense in Depth							Sec Mgmt		
	Protected Network I Infrastructure	Securable Operating Systems	Secure Protocols	Boundary Protection	Intrusion Detection Devices	Online Virus Protection	Active Security Monitoring	Centralized Security Admin	Security Operations	IT Operations
A3 Establish Security Infrastructure & Environment										
A31 Establish CIP capabilities within the VA Infrastructure										
A311 Establish a secure service from a protected network infrastructure all the way to each subscriber's facility	X									
A312 Implement secure Operating Systems (OS) on all servers and clients		X								
A313 Establish Secure Protocols for servers and clients			X							
A314 Establish Boundary Protection infrastructure at processing and subscriber facilities				X						
A315 Implement Intrusion Detection devices					X					
A316 Implement an Online Virus Protection capability						X				
A317 Identify key events and their associated alerts							X			
A32 Establish Access Controls										
A321 Establish User Registration procedures								X		
A322 Establish User Identification procedures								X		
A323 Establish User Authentication procedures								X		
A324 Establish User Authorization procedures								X		
A325 Permit/Deny Access		X								
A3251 Establish "least privilege" based access permissions		X								
A3252 Establish Access Controls to Enforce Segregation of Duties								X		
A326 Log Access Events							X			
A33 Establish capability to protect the physical VA infrastructure										
A331 Establish Environmental Protection										
A3311 Review Local/Regional/Federal regulation								X		
A3312 Verify compliance								X		
A3313 Establish periodic review for compliance								X		
A3314 Establish new construction/development procedures to ensure compliance								X		
A3315 Report status to leadership								X		
A332 Establish Physical Access procedures								X		
A34 Establish a PKI capability										
A341 Implement Certification Authority									X	

Table 4.13.1-9. Functional Allocation to Defense in Depth Concepts – Establish Security Infrastructure & Environment

Function	7 Strategic Processes of Defense in Depth							Sec Mgmt		
	Protected Network I Infrastructure	Securable Operating Systems	Secure Protocols	Boundary Protection	Intrusion Detection Devices	Online Virus Protection	Active Security Monitoring	Centralized Security Admin	Security Operations	IT Operations
A4 Operate & Maintain Security Services										
A41 O&M an IT command, control & communication (C3) infrastructure										X
A411 Monitor the performance of the information infrastructure										X
A4111 Maintain problem, status, and resolution records and procedures										X
A4112 Ensure only VA authorized systems are installed on infrastructure										X
A4113 Monitor system/network/application maintenance										X
A4114 Monitor system/network/application installation/upgrade										X
A412 Direct operations of the information infrastructure										X
A413 Communicate with IT stall in the field										X
A42 O&M Security Operations Center (SOC)							X			
A421 Administer Centralized Security of Servers and network devices								X		
A422 Actively Monitor the security of the enterprise infrastructure							X			
A4221 Conduct regular, no/short notice, independent vulnerability assessments and penetration tests.							X			
A4222 Conduct On-site security assessments and audits									X	
A42221 Establish auditing procedures								X		
A42222 Conduct Audits									X	
A42223 Conduct Network Infrastructure Assessments	X									
A42224 Conduct Operating System Assessments		X								
A42225 Conduct Protocol Assessments			X							
A42226 Conduct Boundary Assessments				X						
A42227 Conduct Intrusion Detection Assessments					X					
A42228 Conduct Anti-Virus Assessment						X				
A42229 Report Assessment Findings									X	
A4222.10 Ensure internal security procedures and policies are being properly followed							X			

Table 4.13.1-9. Functional Allocation to Defense in Depth Concepts – Establish Security Infrastructure & Environment

Function	7 Strategic Processes of Defense in Depth							Sec Mgmt		
	Protected Network I Infrastructure	Securable Operating Systems	Secure Protocols	Boundary Protection	Intrusion Detection Devices	Online Virus Protection	Active Security Monitoring	Centralized Security Admin	Security Operations	IT Operations
A4222.11 Identify security configuration shortfalls							X			
A4223 Monitor for security incidents within VA enterprise network							X			
A42231 Monitor Intrusion Detection Systems for Events							X			
A42232 Report Detected Intrusion Events							X			
A42233 Collect & report Virus infection events							X			
A42234 Collect & report attempts of DNS events							X			
A42235 Collect & report evidence of malicious data tampering, destruction, compromise, or loss							X			
A423 Report security events to CIRC									X	
A424 Conduct Forensic Analysis									X	
A425 Manage the disposal of sensitive materials									X	
A43 O&M Centralized and automated intrusion monitoring & reporting to VA CIRC										
A431 Collect field reports							X			
A432 Coordinate with External CIRC's									X	
A433 Disseminate incident reports to the field									X	
A434 Maintain Event / Incident database									X	
A435 Report Security events & trends to VA leadership									X	
A44 Certify and Accredite systems/applications/networks										
A441 Certify Systems										
A4411 Verify System uses approved Operating Systems		X								
A4412 Verify System uses defined Access Control Procedures			X							
A442 Monitor System maintenance and changes							X			
A443 Certify Networks										
A4431 Verify Network Device uses approved configuration	X									
A4432 Verify Boundary Devices use approved Configuration				X						
A4433 Verify Network uses defined Access Control Procedures			X							
A444 Monitor Networks maintenance and changes							X			
A445 Certify Application software development &										

Table 4.13.1-9. Functional Allocation to Defense in Depth Concepts – Establish Security Infrastructure & Environment

Function	7 Strategic Processes of Defense in Depth							Sec Mgmt		
	Protected Network I Infrastructure	Securable Operating Systems	Secure Protocols	Boundary Protection	Intrusion Detection Devices	Online Virus Protection	Active Security Monitoring	Centralized Security Admin	Security Operations	IT Operations
Change Control										
A4451 Processing Features & Program Modifications as Properly Authorized			X							
A4452 Test & Approve all new & revised Software			X							
A4453 Control Software Libraries			X							
A4454 Verify Application uses defined Access Control Procedures			X							
A446 Monitor Application maintenance and changes							X			
A45 O&M Certificate Authority									X	
A451 Issue Certificates									X	
A452 Provide certificate validations									X	
A453 Distribute public keys									X	
A454 Revoke Certificates									X	
A46 O&M an Anti-Virus capability						X				
A461 Distribute Anti-Virus software						X				
A462 Distribute Virus Signature updates						X				

4.13.2 Subfunction 2: Network Communication / Telecommunications

Network Communications / Telecommunications is a subfunction of Information Technology (IT). It is responsible for the creation and administration of policies, standards, and guidelines to support the implementation, operation, and maintenance of networking and communication services and equipment for VA.

Network Communications / Telecommunications encompasses the activities required to build, operate, and maintain voice, data, and video communications facilities through wire line, wireless, and satellite media. It provides and operates the VA's national backbone network linking the hundreds of VA sites with one another.

Network Communications / Telecommunications has eight subfunctions, listed below. This list is adapted for Veterans Affairs from the *Telecommunications Operations Map*³, a telecommunications industry best practice business model produced by the TeleManagement Forum.

³ Telecommunications Operations Map, TMF, GB910, Approved Version 2.1, March 2000.

- **Manage Service Request** — The Manage Service Request function accepts orders for service from customers, tracks their progress, authoritatively determines what, if any, equipment to acquire, designs service and capacity solutions, and reports service request completion. This function also generates service orders to external network equipment and service providers on customers' behalf. It is responsible for making sure that the network and communication services required by user of the VA facilities are procured and delivered in a timely, cost effective manner.
- **Problem Management** — The Problem Management function accepts problem notifications from customers. It will notify customers in the event of disruptions, perform problem isolation, resolve problems and/or refer them to external service providers. It will track problem status and report resolution. Problem Management is also responsible for the analysis of trouble data for future fault prevention.
- **Service Configuration** — The Service Configuration function designs solutions and assigns available network resources in response to service orders. It is responsible for reconfiguring service to maintain performance, balance network load, assure route diversity, and prevent network outages.
- **Service Planning and Development** — Service Planning and Development conceives, develops, and implements technical services, procedures, training, and documentation for network and communication services offered to users of VA network and communication facilities. If new equipment, facilities, or technologies are required for the service, this function serves as the authoritative source for these acquisitions. It is also responsible for facilitating the use of these services by both VA and non-VA personnel.
- **Network Management** — The Network Management function monitors the network for problems and performance. It includes providing notifications when performance degrades, initiating corrective action, and collecting and maintaining network data. It evaluates, accepts, designs, and deploys technologies that improve quality and/or reduce costs.
- **Provisioning** — The Provisioning function is responsible for communicating with network elements to install and test the configuration data necessary to deliver performance-based telecommunications services for VA. It does this in order to fulfill specific service requests, to support network and information technology additions, changes, and deletions and to re-configure the network to address problems. It also initiates and coordinates the installation of customer premise equipment.
- **Enterprise Consulting Services** — The Enterprise Consulting Service function provides customized analysis, design, and implementation of communications and networking solutions for VA organizations. The service also develops policies and

procedures for network maintenance and usage and provides training and documentation for all network and communications services.

- **Network Security** — The Network Security function provides day-to-day security monitoring for major sections of the VA networks including intrusion detection and access control violations. In addition, it is responsible for providing remote access to the VACO VPN.

Data:

Network Communications / Telecommunications has a large population of data classes that it creates, reads, updates, or deletes (CRUD) on a continuous basis. The following table shows a sample of the classes of data managed within VA's Network Communications / Telecommunications realm of responsibility.

Associated Data Classes		
Title	Description	CRUD
Customer Data	A set of data items describing an individual or organization that buys goods and services.	CRU
Location Data	Information used to identify where the asset/resource/subject can be found.	CRU
Service order data	A set of data items describing a network or communication service that was ordered by a customer to be delivered at a particular location by a specified date.	CRU
Asset Data	A set of data items describing the attribute of an asset.	CRUD
Network Topology Data	A set of data items describing how network elements are physically and logically connected to each other.	CRUD
Network Configuration Data	A set of data items describing how network equipment has been configured to deliver its intended service. This includes (but is not limited to) such things as routing tables, element identification and addressing schemes, load balancing parameters, alarm thresholds, and failover configurations.	CRUD
Network Statistics	A collection of data items related to the performance metric measurements of a network. This collection could include bit transfer rates, maximum bandwidth, number of connections, established/unit of time, etc.	CRU

Associated Data Classes		
Title	Description	CRUD
Network Fault Data	A set of data items describing problems encountered during network installation and operation activities. This includes network alert logs, outage records, element fault reports, and capacity and utilization reports.	CRU
SLA Data	A set of data items describing the attributes associated with service level agreements. Generally these are the contents of an agreement for service between the provider and VA but they may be extended to include the agreements between VA and its customers.	CRU
Vendor Data	Collection of data regarding the state of a Vendor. It includes name, POC, contact information, services/products provided, etc.	CRU
Network usage procedures	A series of actions to be done in order to accomplish something with respect to network and/or communication services.	CRU
Standards Profile	A set of recognized merit of authority or widely used form or specification.	CRU
SLA Performance Metrics	Sets of data items describing how well SLA targets have been met. They include such measures as network availability, latency, available bandwidth, and peak bandwidth utilization and then compare them against agreed upon service levels.	CRU

Allocated Functions:

Table 4.13.2-1, below, provides a mapping of how Network Communications / Telecommunications functions map to projects and programs within VA. The programs and projects are:

- Telecommunications Modernization Program (TMP) — The Telecommunications Modernization Project (TMP) supports VA's strategic and enabling goals to create a One VA Information Technology (IT) framework to carry out the Department's mission. The TMP project is focused on more efficient use of network capacity through enhanced optimization and integration planning. The TMP project is envisioned to be self-supporting through continued capitalization on reductions in telecommunications sustaining costs as the project successfully completes each phased milestone. The project is implemented in accord with the optimization

portion of the FTS2001 capital investment plan as approved by the Strategic Management Council (SMC).

Project goals are to improve network performance; meet or exceed Service Level Agreements (SLA), Quality of Service (QOS) goals and security requirements; implement resulting changes to the network seamlessly and without significant interruption of service to veterans and employees; and insure that dynamic and future network performance demands are met. These goals represent positive steps toward an enterprise network conducive to a One-VA solution, system optimization, maintenance and operation. Once in place, VA's performance-based enterprise network will require consistent oversight, project management and contract administration to ensure that the network is kept current, accurate and fulfills its goals and requirements in serving the agency, its employees, stakeholders and most importantly its business base, veterans and their families.

- **Narrow Band Transition** — In an effort to expand the radio frequency spectrum for Federal Agencies, Congress, in 1994, mandated doubling the frequencies available to them in the Ultra High Frequency (UHF) band and the Very High Frequency (VHF) band. This is to be accomplished by replacing 25-kiloHertz (kHz) radio channels with 12½-kHz channels. This action requires VA to replace 44,000 radios before 2005 and 19,000 radios by 2008. This project will identify and prescribe replacement narrowband radio equipment and will establish a schedule to meet Federal timetables for the narrowband transition.
- **Communications Security** — Communications Security (COMSEC) is an essential element in the protection of private personal information of veterans and in prevention of covert monitoring of all VA wireless operations. New national standards have been established providing guidance for operation of safety-of-life wireless networks and command and control wireless facilities. This project will establish and equip a central planning, management, accounting and COMSEC distribution facility, capable of coordinating VA contingency and wireless operations with other Federal and civil governments nationwide and at its off shore facilities.
- **Remote Access** — The Remote Access project provides connectivity and end-user Intranet services to individuals needing to access the VA's Intranet from sites remote to the VA network. In addition it offers a help desk support facility specifically for those users. Both dial-up and broadband accesses are supported. The Remote Access project's boundaries are aligned with the TMP and with the Cyber Security program ECSIP.
- **Voice/Video Operations** — The Voice/Video Operations project represents the regular day-to-day operations of the Office of Telecommunications. It is responsible for delivering conventional voice and video services to users at VA

sites and making sure that the prices paid for these services conform to the FTS2001 contract.

The principal litmus test for including a program or project was whether or not a 300-B exhibit was produced for it. The exception to this is the column labeled “Voice/Video Operations”. This column represents day-to-day activities that cannot be allocated to specific projects but are necessary to the Network Communications / Telecommunications mission.

The subfunctions included in the table are derived from the list above. Two significant modifications were made to that list:

- The Network Security subfunction was removed. Although this function has historically been performed within the Office of Telecommunications, the target vision migrates it to Cyber Security, described in Section 4.13.1.
- In order to allocate a function to a single program or project, each of the subfunctions was decomposed into more granular activities. The singular assignment facilitates project scope definition and avoids confusion over where the responsibility for the delivery of specific services may lie.

Like the vast majority of telecommunications companies, network communications / telecommunications projects have been set up according to particular technologies, services, or media. In short, the programs and projects are telecommunications product-centered. There are some compelling reasons for doing this:

- Different technologies and media require different expertise. For example, the knowledge and skills required to deliver wide area network data services are very different than those required for narrow band radio services.
- Different forms of communication often have different user communities, and communications professionals specialize their skills for those communities.
- Different telecommunications services are often handled as different line items in both consuming and providing organizations' budgets.

This organization gives rise to the dominant pattern in the Functional Allocation table: the same activity is performed multiple times by different groups of people and systems, depending on the particular telecommunications product. For example, requests for WAN services are processed by different people and recorded in different systems than requests for voice or video services, even when the same customer orders them. Likewise, problems are tracked and reported upon in separate systems. While high levels of service can often be maintained under such an organization, many opportunities for integration quickly appear that would better support a customer-centric view:

- Establish a single service request process that will handle all types of telecommunications services.
- Establish a single problem tracking process capable of dealing with all types of networks and problems.
- Establish a single source for customer profile information that will support analysis and trending across current and future telecommunications services.

Table 4.13.2-1. Allocated Functions

ID	Sub Function/Activity	Programs / Projects				
		Telecommunications Modernization (TMP)	Narrow Band Transition	Communications Security	Remote Access	Voice/Video Operations
1	Manage Service Request					
	Coordinate Request for Service					
	Coordinate Request for WAN Service	X				
	Coordinate Request for Narrow Band Service		X			
	Coordinate Request for COMSEC Service			X		
	Coordinate Request for Remote Access				X	
	Coordinate Request for Voice Long Distance Service					X
	Coordinate Request for Video Service					X
	Coordinate Request for Field Service (DSL/VPN)	X				
	Establish New Service Project					
	Establish New WAN Service Project	X				
	Establish New Narrow Band Service Project		X			
	Establish New COMSEC Service Project			X		
	Establish New Remote Access Project				X	
	Establish New Voice Long Distance Service Project					X
	Establish New Video Project					X
	Establish New Field Service Project (DSL/VPN)	X				
	Track Service Project Status					
	Track WAN Service Project	X				

Table 4.13.2-1. Allocated Functions

ID	Sub Function/Activity	Programs / Projects				
		Telecommunications Modernization (TMP)	Narrow Band Transition	Communications Security	Remote Access	Voice/Video Operations
	Track Narrow Band Service Project		X			
	Track COMSEC Service Project			X		
	Track Remote Access Project				X	
	Track Voice Long Distance Service Project					X
	Track Video Service Project					X
	Track Field Service Project (DSL/VPN)	X				
	Report Service Project Status					
	Report WAN Service Project Status	X				
	Report Narrow Band Service Project Status		X			
	Report COMSEC Service Project Status			X		
	Report Remote Access Project Status				X	
	Report Voice Long Distance Service Project Status					X
	Report Video Service Project Status					X
	Report Field Service Project Status (DSL/VPN)	X				
	Initiate Service Configuration Specification					
	Initiate WAN Service Specification	X				
	Initiate Narrow Band Service Specification		X			
	Initiate COMSEC Service Specification			X		
	Initiate Remote Access Specification				X	
	Initiate Voice Long Distance Service Specification					X
	Initiate Video Service Specification					X
	Initiate Field Service Specification (DSL/VPN)	X				
	Close Service Project					
	Close WAN Service Project	X				
	Close Narrow Band Service Project		X			
	Close COMSEC Service Project			X		
	Close Remote Access Project				X	
	Close Voice Long Distance Service Project					X

Table 4.13.2-1. Allocated Functions

ID	Sub Function/Activity	Programs / Projects				
		Telecommunications Modernization (TMP)	Narrow Band Transition	Communications Security	Remote Access	Voice/Video Operations
	Close Video Service Project					X
	Close Field Service Project (DSL/VPN)	X				
2	Problem Management					
	Isolate and Diagnose Problem					
	Isolate and Diagnose WAN Problem	X				
	Isolate and Diagnose Narrow Band Problem		X			
	Isolate and Diagnose COMSEC Problem			X		
	Isolate and Diagnose Remote Access Problem				X	
	Isolate and Diagnose Voice Long Distance Service Problem					X
	Isolate and Diagnose Video Service Problem					X
	Isolate and Diagnose Field Service Problem (DSL/VPN)	X				
	Track Problem Status					
	Track WAN Problem Status	X				
	Track Narrow Band Problem Status		X			
	Track COMSEC Problem Status			X		
	Track Remote Access Problem Status				X	
	Track Voice Long Distance Service Problem Status					X
	Track Video Service Problem Status					X
	Track Field Service Problem Status (DSL/VPN)	X				
	Report Problem Status					
	Report WAN Problem Status	X				
	Report Narrow Band Problem Status		X			
	Report COMSEC Problem Status			X		
	Report Remote Access Problem Status				X	
	Report Voice Long Distance Service Problem Status					X
	Report Video Service Problem Status					X
	Report Field Service Problem Status (DSL/VPN)	X				

Table 4.13.2-1. Allocated Functions

ID	Sub Function/Activity	Programs / Projects				
		Telecommunications Modernization (TMP)	Narrow Band Transition	Communications Security	Remote Access	Voice/Video Operations
	Resolve Problem					
	Resolve WAN Problem	X				
	Resolve Narrow Band Problem		X			
	Resolve COMSEC Problem			X		
	Resolve Remote Access Problem				X	
	Resolve Voice Long Distance Service Problem					X
	Resolve Video Service Problem					X
	Resolve Field Service Problem (DSL/VPN)	X				
	Analyze Problem Data					
	Analyze WAN Problem Data	X				
	Analyze Narrow Band Problem Data		X			
	Analyze COMSEC Problem Data			X		
	Analyze Remote Access Problem Data				X	
	Analyze Voice Long Distance Service Problem Data					X
	Analyze Video Service Problem Data					X
	Analyze Field Service Problem Data (DSL/VPN)	X				
3	Service Configuration					
	Specify Service Solution					
	Specify WAN Service Solution	X				
	Specify Narrow Band Service Solution		X			
	Specify COMSEC Service Solution			X		
	Specify Remote Access Service Solution				X	
	Specify Voice Long Distance Service Solution					X
	Specify Video Service Solution					X
	Specify Field Service Solution (DSL/VPN)	X				
	Recommend Equipment					
	Recommend WAN Equipment	X				
	Recommend Narrow Band Equipment		X			

Table 4.13.2-1. Allocated Functions

ID	Sub Function/Activity	Programs / Projects				
		Telecommunications Modernization (TMP)	Narrow Band Transition	Communications Security	Remote Access	Voice/Video Operations
	Recommend COMSEC Equipment			X		
	Recommend Remote Access Equipment				X	
	Recommend Voice Long Distance Service Equipment					X
	Recommend Video Service Equipment					X
	Recommend Field Service Equipment (DSL/VPN)	X				
	Lease or Purchase Equipment					
	Lease or Purchase WAN Equipment	X				
	Lease or Purchase Narrow Band Equipment for VACO		X			
	Lease or Purchase COMSEC Equipment			X		
	Lease or Purchase Remote Access Equipment				X	
	Lease or Purchase Voice Long Distance Equipment					X
	Lease or Purchase Video Equipment					X
	Initiate Provisioning					
	Initiate WAN Provisioning	X				
	Initiate Narrow Band Provisioning		X			
	Initiate COMSEC Provisioning			X		
	Initiate Remote Access Provisioning				X	
	Initiate Voice Long Distance Service Provisioning					X
	Initiate Video Service Provisioning					X
	Initiate Field Service Provisioning (DSL/VPN)	X				
4	Strategic Planning and Development					
	Migrate WAN to Service-based Network	X				
	Approve WAN Applications for Installation and Operations	X				
	Plan Tiering of Internet Services at National Data Centers	X				
	Plan Campus Area Network Optimization	X				

Table 4.13.2-1. Allocated Functions

ID	Sub Function/Activity	Programs / Projects				
		Telecommunications Modernization (TMP)	Narrow Band Transition	Communications Security	Remote Access	Voice/Video Operations
	Plan Network Capacity & Infrastructure for Enterprise-Wide Email	X				
	Plan, Analyze, & Approve Consolidation of Customer Regional Data Centers	X				
	Develop New Service Concepts					
	Develop New WAN Service Concepts	X				
	Develop New Narrow Band Service Concepts		X			
	Develop New COMSEC Service Concepts			X		
	Develop New Remote Access Service Concepts				X	
	Develop New Voice Long Distance Service Concepts					X
	Develop New Video Service Concepts					X
	Develop New Field Service Concepts (DSL/VPN)	X				
	Coordinate Development of New Service					
	Coordinate Development of New WAN Service	X				
	Coordinate Development of New Narrow Band Service		X			
	Coordinate Development of New COMSEC Service			X		
	Coordinate Development of New Remote Access Service				X	
	Coordinate Development of New Voice Long Distance Service					X
	Coordinate Development of New Video Service					X
	Coordinate Development of New Field Service (DSL/VPN)	X				
	Define Billing Platforms for Services					
	Define Billing Platform for WAN Services	X				
	Define Billing Platform for Voice Long Distance Services					X
	Define Billing Platform for Video Services					X
	Define Billing Platform for Field Services (DSL/VPN)	X				

Table 4.13.2-1. Allocated Functions

ID	Sub Function/Activity	Programs / Projects				
		Telecommunications Modernization (TMP)	Narrow Band Transition	Communications Security	Remote Access	Voice/Video Operations
	Define SLAs For New Services					
	Define SLAs for WAN Services	X				
	Define SLAs for Narrow Band Services		X			
	Define SLAs for Voice Long Distance Services					X
	Define SLAs for Video Services					X
	Define SLAs for Field Services (DSL/VPN)	X				
	Coordinate Roll-out of New Services					
	Coordinate Roll-out of New WAN Service	X				
	Coordinate Roll-out of New Narrow Band Service		X			
	Coordinate Roll-out of New COMSEC Service			X		
	Coordinate Roll-out of New Remote Access Service				X	
	Coordinate Roll-out of New Voice Long Distance Service					X
	Coordinate Roll-out of New Video Service					X
	Coordinate Roll-out of New Field Service (DSL/VPN)	X				
	Develop & Promulgate Policies and Standards					
	Develop & Promulgate WAN Policies and Standards	X				
	Develop & Promulgate Narrow Band Policies and Standards		X			
	Develop & Promulgate COMSEC Policies and Standards			X		
	Develop & Promulgate Remote Access Policies and Standards				X	
	Develop & Promulgate Voice Long Distance Policies and Standards					X
	Develop & Promulgate Video Policies and Standards					X
	Develop & Promulgate Field Service (DSL/VPN) Policies and Standards	X				
5	Network Management					
	Monitor the Network					

Table 4.13.2-1. Allocated Functions

ID	Sub Function/Activity	Programs / Projects				
		Telecommunications Modernization (TMP)	Narrow Band Transition	Communications Security	Remote Access	Voice/Video Operations
	Monitor WAN for SLA Specification Compliance	X				
	Verify NOC System through NOCC Views	X				
	Mediate for Tier I & II NOC Support	X				
	Provide Notifications of Faults and Maintenance Outages	X				
	Collect, Analyze & Maintain Network Statistical Data	X				
6	Provisioning					
	Update Elements with Service Configuration					
	Update WAN Elements with Service Configuration	X				
	Update COMSEC Elements with Service Configuration			X		
	Update Remote Access Elements with Service Configuration				X	
	Update Voice Long Distance Elements with Service Configuration					X
	Update Video Elements with Service Configuration					X
	Update Field Service Elements (DSL/VPN) with Service Configuration	X				
	Test New Service Configuration					
	Test New WAN Configuration	X				
	Test New Narrow Band Configuration		X			
	Test New COMSEC Configuration			X		
	Test New Remote Access Configuration				X	
	Test New Voice Long Distance Configuration					X
	Test New Video Configuration					X
	Test New Field Service (DSL/VPN) Configuration	X				
	Approve CPE Installation					
	Approve WAN CPE Installation	X				

Table 4.13.2-1. Allocated Functions

ID	Sub Function/Activity	Programs / Projects				
		Telecommunications Modernization (TMP)	Narrow Band Transition	Communications Security	Remote Access	Voice/Video Operations
	Approve Narrow Band CPE Installation		X			
	Approve COMSEC CPE Installation			X		
	Approve Remote Access CPE Installation				X	
	Approve Video CPE Installation					X
	Approve Field Service (DSL/VPN) CPE Installation	X				
	Coordinate CPE Installation					
	Coordinate WAN CPE Installation	X				
	Coordinate Narrow Band CPE Installation		X			
	Coordinate COMSEC CPE Installation			X		
	Coordinate Remote Access CPE Installation				X	
	Coordinate Video CPE Installation					X
	Coordinate Field Service (DSL/VPN) CPE Installation	X				
7	Enterprise Consulting					
	Analyze User Needs for VA					
	Analyze Users' WAN Needs	X				
	Analyze Users' Narrow Band Needs		X			
	Analyze Users' COMSEC Needs			X		
	Analyze Users' Remote Access Needs				X	
	Analyze Users' Voice Long Distance Needs					X
	Analyze Users' Video Needs					X
	Analyze Users' Field Service (DSL/VPN) Needs	X				
	Recommend Solutions for Users					
	Recommend WAN Solution to Users	X				
	Recommend Narrow Band Solution to Users		X			
	Recommend COMSEC Solution to Users			X		
	Recommend Remote Access Solution to Users				X	
	Recommend Voice Long Distance Solution to Users					X
	Recommend Video Solution to Users					X

Table 4.13.2-1. Allocated Functions

ID	Sub Function/Activity	Programs / Projects				
		Telecommunications Modernization (TMP)	Narrow Band Transition	Communications Security	Remote Access	Voice/Video Operations
	Recommend Field Service (DSL/VPN) Solution to Users	X				
	Provide Training & Documentation					
	Provide WAN Training & Documentation	X				
	Provide Narrow Band Training & Documentation		X			
	Provide COMSEC Training & Documentation			X		
	Provide Remote Access Training & Documentation				X	
	Provide Video Training & Documentation					X
	Provide Field Service (DSL/VPN) Training & Documentation	X				

Allocated Products:

Table 4.13.2-2, below, provides a mapping of how products of the Network Communications / Telecommunications functions map to the projects and programs within VA. The list of projects is the same as for the Allocated Functions table and most types of products are created separately for each different type of telecommunications technology or service.

Table 4.13.2-2. Allocated Products

Product	Description	Programs / Projects				
		Telecommunications Modernization (TMP)	Narrow Band Transition	Communications Security	Remote Access	Voice/Video Operations
Active Telecommunications Service*	Network Communications / Telecommunications delivers working telecommunications service in response to customer service requests. This includes data, voice, radio, and video services over wireline and radio media.	X	X	X	X	X
Telecommunications Service Restoration*	Network Communications / Telecommunications delivers restored data, voice, radio, video, and network access following incidents of degraded performance and outages.	X	X	X	X	X
Proposals for New Service*	Network Communications / Telecommunications periodically assesses communications technologies alongside of current and anticipated VA needs. It then creates proposals for the new communications services and technologies that it believes best support VA's business direction.	X	X	X	X	X

* Each of these items represents products that will differ by the type of technology or service supported by the program or project. For example, the item "Policies and Standards" represents separate Policy and Standards documents for Wide Area Network data services, Internet services, Narrow Band Radio services, Communications Security services, Remote Access Services, Voice Services, and Video Services.

Table 4.13.2-2. Allocated Products

Product	Description	Programs / Projects				
		Telecommunications Modernization (TMP)	Narrow Band Transition	Communications Security	Remote Access	Voice/Video Operations
Service Level Agreements*	Network Communications / Telecommunications creates and negotiates agreements with network service providers that specify various performance, availability, and restoration metrics that the provider is required to meet.	X	X	X		X
Policies and Standards*	Network Communications / Telecommunications develops, publishes, and maintains policies and standards for the acquisition, deployment, and use of the various communication services within VA. These policies and standards may be adaptations of those created by other organizations or wholly created within VA.	X	X	X		X
Solution Proposals for Customers*	When customers need telecommunication services but standard solutions do not meet particular customer requirements, Network Communications / Telecommunications develops specific proposals to address the customer's needs.	X	X			X

Table 4.13.2-2. Allocated Products

Product	Description	Programs / Projects				
		Telecommunications Modernization (TMP)	Narrow Band Transition	Communications Security	Remote Access	Voice/Video Operations
Training and Documentation *	Network Communications / Telecommunications develops and delivers the training and documentation necessary to support the communications services they offer.	X	X	X		X
Serviced-based Wide Area Network	Network Communications / Telecommunications, through the TMP, will deliver a Wide Area Network to VA that is based on service definitions and service level agreements rather than circuits.	X				
Tiered Internet Service	Tiered Internet Service is a key by-product of the Service-based Wide Area Network. The WAN will route all Internet requests through the regional data centers permitting the consumption of Internet services to be measured on an enterprise scale. This enables a cost-effective Tiered Internet Service pricing plan that will reduce per-unit costs as total consumption increases.	X				

Table 4.13.2-2. Allocated Products

Product	Description	Programs / Projects				
		Telecommunications Modernization (TMP)	Narrow Band Transition	Communications Security	Remote Access	Voice/Video Operations
Campus Area network Optimization Plan	Currently, the typical VA campus Wide Area Network design consists of independently billed local and long distance telecommunications circuits serving a number of campus service delivery points, each serving independent facilities and infrastructures, and each employing independent circuit based networks in support of varying business enterprise requirements. The campus must support a common One-VA IT business enterprise network capable of supporting all tenants' technical and business functions. Planning must include supporting enhanced cyber security and fault tolerance requirements.	X				
Enterprise Email Plan	Network Communications / Telecommunications will develop a plan to rationalize email systems throughout the Department of Veterans Affairs. The plan will standardize the email technologies, consolidate email domains, align email with TMP and ECSIP objectives, and permit email to be managed as a corporate business resource.	X				

Table 4.13.2-2. Allocated Products

Product	Description	Programs / Projects				
		Telecommunications Modernization (TMP)	Narrow Band Transition	Communications Security	Remote Access	Voice/Video Operations
Regional Customer Data Center Consolidation Plan	<p>The key reasons for a Regional data center consolidation plan are to establish enhanced cyber security of data services and to address networking cost. Enterprise customers can expand the distance and application capabilities of existing LAN, WAN, and storage equipment while addressing the need to move large amounts of data, voice, and video quickly, securely, and transparently. Regionalized consolidation allows customers to build and operate server-less offices for mail, internet and major applications through cost-effective data center consolidation. Regional data centers will offer a qualified, cost-effective, and easily managed solution with virtually unlimited connectivity points across the enterprise network or Internet. Major applications can be secured with IDS gateways and back-hauled to clients at a minimum of costs.</p>	X				

Table 4.13.2-2. Allocated Products

Product	Description	Programs / Projects				
		Telecommunications Modernization (TMP)	Narrow Band Transition	Communications Security	Remote Access	Voice/Video Operations
SLA Compliance Reports	Network Communications / Telecommunications monitors' performance and availability of the Wide Area Network and produces regular reports on the degree to which it meets the Service Level Agreements negotiated with the network service providers.	X				

4.13.3 Data Center COOP

Data Center Continuity of Operations Planning is a subfunction of Information Technology (IT). It is responsible for several activities, which begins with a series of steps involving risk assessment, business impact analysis, and emergency preparedness/risk mitigation. Once these day-to-day processes are in place, the focus turns to crisis management and business resumption planning.

For the VA Corporate Data Center maintaining Continuity of Operations really revolves around maintaining four key functions: storage management, platform management, security management and connectivity management. In the target enterprise model, enterprise security and connectivity management are incorporated into activities external to the corporate data center through the network operations center and the security-operating center. However, operating environments supporting all four functions are contained within the data center.

Classes of Recovery

Today's technology architecture allows for data to be mirrored at remote sites and for processor capacity to also be replicated at one or more sites depending on the criticality of the data and the processing. Therefore Classes of Recovery of Enterprise Business Functions can be defined in

advance, and as the systems are designed and platformed, continuity of operations can be designed in. The goal of the data center is to ensure ongoing processing operations and protection of data for its clients. This is accomplished through a number of operational processes and procedures that revolve around the recovery point for data and the recovery time for serviced applications. The Recovery Point Objective (RPO) measures the acceptable loss of data between an event's occurrence and the last piece of backed up or mirrored data. The Recovery Time Objective (RTO) measures the acceptable time between an event's occurrence and the recovery of processing operations.

The charts below describe one approach to such a model.

RTO	Class 5	Class 4	Class 3	Class 2	Class 1
	< 4 hours	4-8 hours	8-24 hours	24-72 hours	>72 hours
Data Type	Mission Critical	Mission Essential	Essential Support	Routine Support	Analytical
	Low tolerance for Interruption cannot be replaced by manual process	Low tolerance for interruption can be replaced by manual process for very limited time	Moderate tolerance for Interruption can be replaced by manual process for limited time	Can be performed manually at tolerable cost for extended period of time	Can be interrupted for extended period of time at little or no cost

RPO	Class 3	Class 2	Class 1
	Near Current	Last backup normally < 8-24 hours from last change	Last backup normally 24-36 hours from last change
Data Type	Mission Critical and Mission Essential and Essential Support	Routine Support	Analytical
	Assumes missing data cannot be easily or quickly reconstructed	Assumes missing data can be reconstructed but at a moderate cost	Assumes missing data can be reconstructed at little or no cost

These are illustrative of one approach; additional classes or different definitions of the classes could be developed depending on the EBF. However, economies of scale can be achieved when a definitive number of classes are identified and each system and its data are placed in a single class. In addition, the RTO and RPO, while related, are different issues with different priorities. The most critical objective for an e-government model is RPO. When all data becomes electronic the loss of data becomes more important because data cannot be recovered from subsidiary files and media. In some cases it may represent the only occurrence of documentation of a critical or crucial event. Therefore the cost and effort required for recreating data outweighs the cost of protecting it from loss.

Locations

VA plans to expand the physical locations of Corporate Data Centers to three sites: the Austin Automation Center in Austin, Texas, the Hines Information Technology Center (ITC) in Hines, Illinois and the Philadelphia Information Technology Center (ITC) in Philadelphia Pennsylvania. In addition, other mission critical and mission essential data is stored on servers at Regional Data Centers located throughout the United States. For example, VistA runs at 134 Medical Center locations; VHA also stores data and processes applications at its CIO field offices. NCA stores its data at the System Integration Center in Quantico, Virginia. VBA has data in Illinois and Pennsylvania, which is used to process benefits claim and pay benefit claimants. Various staff offices collect and maintain mission based information in Washington DC. This does not begin to touch the number of individual servers providing routine support and analytical data to various VA management offices scattered throughout the continental US. Backup strategies for this data vary and will also need to be documented.

As continuity of operations is incorporated into the target architecture, consideration must be given to cost effective recovery of systems and data. Under the Corporate Data Center Integration (CDCI) initiative, the intent is that mission critical/essential business data will be processed within a logical corporate data center operated in three physical locations, with each center providing both primary processing capability and continuity processing capability for the other sites. Most Enterprise Business Functions are expected to require a primary and alternate site; however, the proposed model will allow for up to 2 alternate sites. These sites would be connected to each other with high speed circuits providing for one logical entity to the VA enterprise and would also be connected to the One-VA core network for connectivity to the EBF and KEF service locations.

The following 5 subsections describe the subfunctions for the Data Center COOP function. The descriptions include individual activities within each subfunction. The subsequent subsection specifies the allocation of these subfunctions to programs, projects, and systems on an activity-by-activity basis.

4.13.3.1 Subfunction 1: Assess Risk

This subfunction assesses an organization's current risk posture and vulnerability, defining the probability of an event occurring that could interrupt services.

Activities	Description
Assess Business Impact of non-availability	A management level analysis, which identifies the impacts of losing resources associated with EBFs and KEFs. The Business Impact of non-availability measures the effect of resource loss and escalating losses over time in order to provide senior management with reliable data upon which to base decisions on risk mitigation and continuity planning. The focus here is on the IT systems and applications supporting these EBFs and KEFs.

Activities	Description
Assess Risk that could cause non-availability	A systematic process for identifying and categorizing risk vulnerabilities that may impact the mission of the entity. In this instance it is the risk to the continued availability of data and processing that impacts either the KEF or EBF.

Associated Data Classes		
Title	Description	CRUD
Loss Impact Data	This data defines the impact on the KEF or EBF of the non-availability of the application, supporting infrastructure or supporting telecommunications infrastructure on the KEF or EBF to function. This data is normally quantified in terms of the cost. There are a number of cost factors. They can include: lost productivity from paying staff that are idle, overtime cost needed to recovery the lost productivity, extraordinary costs needed to recover lost data, etc.	CRU
Loss Impact Over Time Data	This data is similar to loss impact, but focuses on the degree to which cost and ultimately ability to perform the mission diminishes over time. For example, a loss of one hour in availability may not have a profound impact on mission accomplishment within a claims processing activity, but could be significant to a health care delivery function. However, regardless of the activity, the longer the outage the higher the probability of material impact.	CRU
Criticality of Risk Data	This data identifies consequences of a risk event in both qualitative and quantitative terms. For example in a data center environment, access to clean stable electrical power is a critical resource. The consequence is without it systems do not run. Therefore, access to clean power is an important element to assess in defining potential risks that could result in non-availability of service.	CRU

Associated Data Classes		
Title	Description	CRUD
Probability of Risk Data	Having defined the criticality of risk, it is also necessary to identify the probability of an event occurring that could interrupt it. Probability data is normally expressed as a number between 0 and 1 where 0 indicates an impossible event and 1 represent that the outcome is certain. Again, using the electrical power example, the probability of that risk occurring is measured at 1, certain. Either, as a complete loss of power or as a power fluctuation, it is significant; therefore, it will be prudent to mitigate the risk. On the other hand, the probability of certain natural events occurring such an earthquake will vary widely based on location, and for some locations the probability of an event occurring is so low as to ignore it when planning.	CRU
Risk Prioritization Data	Once risk criticality and probability are assessed, risks can then be ranked in order of severity. Risks with a higher priority in a given business area are generally mitigated first. Risks of a lower priority or severity level would generally be mitigated last or may simply be accepted and no mitigation attempted.	CRU

4.13.3.2 Subfunction 2: Mitigate Risk

This subfunction encompasses the actions and activities to eliminate or reduce the degree of identified risk to the VA corporate data center.

Activities	Description
Plan for Business Continuity	Process of developing advance arrangements and procedures that enable an organization to respond to an event in such a manner that critical business functions continue without material interruption or essential change
Develop and implement risk mitigation strategies	Actions and activities to eliminate or reduce the degree of risk to life and property from hazards. As applied to data and applications, it is the steps taken to ensure that systems and data remain available to the EBFs and KEFs
Plan for Disaster Recovery	Process of developing advance arrangements and procedures that enable an organization to respond to a disaster and resume the critical EBFs and KEFs within a predetermined period of time, minimize the amount of loss, and repair or replace the damaged facilities as soon as possible.

Associated Data Classes		
Title	Description	CRUD
Contingency Arrangement Data	Data concerning advance arrangements, contracts, or other plan information to be used in the event of an emergency situation.	CRU
Response Procedure Data	Written processes or check lists developed in advance that are used to respond to an event.	CRU
Infrastructure Recovery Data	Information concerning the infrastructure, i.e. facility, assets, that will need to be recovered,	CRU
HR Recovery Data	Information concerning personnel and teams needed for recovery.	CRU
Risk Prioritization Data	Once risk criticality and probability are assessed, risks can then be ranked in order of severity. This data provides the ranking of risks for purposes of planning recovery strategies.	CRU
Risk Reduction/ Elimination Data	Information concerning steps taken to reduce a particular risk. May be information concerning contingency equipment, redundant capability, off site storage of vital records, etc.	CRU
Business Recovery/ Resumption Data	Data providing time sensitivity to recovery of particular business processes that can be used to determine strategy for recovery/resumption of services.	CRU

4.13.3.3 Subfunction 3: Test Plans

This subfunction develops the plan to ensure that data center COOP activities are tested according to a VA policy document.

Activities	Description
Test Business Continuity Plan	Tests are conducted as a schedule of announced and unannounced practice drills designed to identify and resolve weaknesses in the plan. Different scenarios are used to test different aspects of the plan. Drills can range from tabletop exercises to full dress rehearsals. Some elements of the risk mitigation strategies can be tested routinely without impacting operations, (e.g. generator tests)

Activities	Description
Test Disaster recovery Plan	Generally involves the actual recovery and operation of the covered systems at their recovery site for a defined period of time. While unannounced tests are ideal, normal logistics of reserving the test center, budgeting for travel, overtime, etc. means these tests are never completely unannounced.

Associated Data Classes		
Title	Description	CRUD
Testing Procedure Data	Special data that provides for unique differences between actual business continuity and disaster recovery plans and the test situations that are used to provide readiness testing	CRU
Response Procedure Data	Written processes or check lists developed in advance that are used to respond to an event.	RU
Infrastructure Recovery Data	Information concerning the infrastructure, i.e. facility, assets, that will need to be recovered,	RU
HR Recovery Data	Information concerning personnel and teams needed for recovery.	RU
Risk Prioritization Data	Once risk criticality and probability are assessed, risks can then be ranked in order of severity. This data provides the ranking of risks for purposes of planning recovery strategies.	RU
Risk Reduction/Elimination Data	Information concerning steps taken to reduce a particular risk. May be information concerning contingency equipment, redundant capability, off site storage of vital records, etc.	RU
Business Recovery/Resumption Data	Data providing time sensitivity to recovery of particular business processes that can be used to determine strategy for recovery/resumption of services.	RU
Post Exercise Evaluation Data	Data concerning the results of the execution of plans either from actual events or from tests and suggested modifications to plans.	CRU

4.13.3.4 Subfunction 4: Respond to Event

This subfunction encompasses the actions related to the data center during the event of an emergency.

Activities	Description
Responding to initial events	Throughout the year, emergency events covered in the plan may occur, these events will be responded to following the plan. The responses will be designed to contain the event and to avoid wherever possible the escalation of the event. A part of the process also includes assessing the damage and advising the crisis control managers of the status of the operation
Crisis Control during events	The crisis control function provides overall coordination of the plan and communications to internal and external entities during an event. It is the crisis control team that generally makes the decision to declare a disaster and begin activating the recovery plan.
Declaration of disaster and response	Generally involves the actual recovery and operation of the covered systems at their recovery site for a defined period of time. This is a worse case scenario where the initial emergency response was unable to avoid or protect the facility from damage or destruction.

Associated Data Classes		
Title	Description	CRUD
Contingency Arrangement Data	Data concerning advance arrangements, contracts, or other plan information to be used in the event of an emergency situation.	R
Response Procedure Data	Written processes or check lists developed in advance that are used to respond to an event.	R
Recovery Status Data	Periodic reports on the status of the response to be used for internal and external crisis control and communications.	R
Post Exercise Evaluation Data	Data concerning the results of the execution of plans either from actual events or from tests and suggested modifications to plans.	CRU

4.13.3.5 Subfunction 5: Maintaining Plans

This subfunction is an on-going activity to update, improve and modify the plans. It includes all

the actions required to keep the plans up-to-date to be a useable product for the VA data center.

Activities	Description
Post Event lessons learned reviews	Throughout the year, emergency events covered in the plan may occur, these events will be responded to following the plan. Following completion of the emergency, a post analysis of the plan components exercised is accomplished to identify where modifications are needed
Post test lessons learned reviews	Following planned tests, whether tabletop or full dress rehearsals, the teams will meet to identify where improvements can be made in the process.
Routine plan maintenance	Throughout the year as systems, supporting organizations, contracts and vendors change, these changes will need to be made to the plans. These changes generally involve updating lists that are used to support the action items on the plans.

Associated Data Classes		
Title	Description	CRUD
Contingency Arrangement Data (Changes)	Data concerning advance arrangements, contracts, or other plan information to be used in the event of an emergency situation.	U
Response Procedure Data (Changes)	Written processes or check lists developed in advance that are used to respond to an event.	U
Post Exercise Evaluation Data	Data concerning the results of the execution of plans either from actual events or from tests and suggested modifications to plans.	R
Infrastructure Recovery Data (Changes)	Information concerning the infrastructure, i.e. facility, assets, that will need to be recovered,	U
HR Recovery Data (Changes)	Information concerning personnel and teams needed for recovery.	U

4.13.3.6 Functional allocation Matrix

This Functional Allocation matrix is focused on the Key Enabling Function of supporting Corporate IT systems and applications that support Enterprise Business Functions and Other Key Enabling Functions such as payroll and finance.

Functions	Program /Project /System			Comments
	Program/Applications Requirements	Corporate Data Center Integrations (Data Center COOP)	Telecommunications Modernization Project	
Assess Risk				
Assess Business Impact of Non-availability of Enterprise Business Function and Key Enabling Functions	X			Individual Enterprise Business Programs owning Enterprise Business Functions and Key Enabling Functions will provide RTO and RPO requirements. Note that as a Key Enabling Function the Data Centers SOC and NOC will also perform this task
Assess Risk that could cause Non-availability of enterprise business function or Key Enabling Function.	X			Note that as a Key Enabling Function the Data Centers SOC and NOC will also perform this task
Mitigate Risk				Note that as a Key Enabling Function the Data Centers SOC and NOC will also perform this task
Plan for Business Continuity associated with program functions. These plans will incorporate the results of CDCI/BCP and Telecom BCP for the Key Enabling Function.	X			Note that as a Key Enabling Function the Data Centers SOC and NOC will also perform this task

Functions	Program /Project /System			Comments
	Program/Applications Requirements	Corporate Data Center Integrations (Data Center COOP)	Telecommunications Modernization Project	
Develop and implement risk mitigation strategies for Data Center Delivery of Service		X		The CDCI project will implement a risk mitigation strategy involving creating N+2 physical locations for corporate processing. It does not however cover all risks to operations.
Develop and implement a risk mitigation strategy for Network Connectivity			X	This will be critical to meeting the needs of the EBF and KEFs for communications between the locations that services are provided and the location of key enabling services
Plan for Disaster Recovery		X		These are the operations plans put in place for recovery against the loss of one of the data center locations. Includes the steps needed to resume operations following a disaster as well as procedures for rolling processing to back-up data centers
Data Replication		X		Generally Data replication is an application specific response to meeting a recovery objective. Alternatives range from online replication to remote vaults to tape backups stored in off-site locations.
Test Plans				
Test Business Continuity Plan for EBF and KEF components	X			Tests can involve all levels of the enterprise. The NOC, SOC and Data Centers should be participants in these tests as necessary to provide and end-to-end test of the business functions

Functions	Program /Project /System			Comments
	Program/Applications Requirements	Corporate Data Center Integrations (Data Center COOP)	Telecommunications Modernization Project	
Test Disaster Recovery Plan for Data Centers		X		While these tests should be coordinated, they can be accomplished transparently to the customers served by the data centers.
Test Disaster Recovery Plan for Network			X	These tests should be conducted with the BCP tests as well as the Data Center DR tests.
Respond to Event				
Responding to initial events within the EBF or KEF enterprise	X			Responding to an event will occur at any level of the enterprise where an event impacts on the business operation. Events may also spread beyond the first location. For example, a delay in recovery at a data center could impact the operation of multiple field locations unable to get to their data and processes.
Crisis Control during events	X			
Declaration of disaster and response	X			
Data Recovery		X		Data recovery will generally involve the data center and the effected program/system
Maintaining Plans				
Post test lessons learned reviews	X			Note that as a Key Enabling Function the Data Centers SOC and NOC will also perform this task

Functions	Program /Project /System			Comments
	Program/Applications Requirements	Corporate Data Center Integrations (Data Center COOP)	Telecommunications Modernization Project	
Routine plan maintenance	X			Note that as a Key Enabling Function the Data Centers SOC and NOC will also perform this task

4.14 Human Resources

As described in Section 3.14, the Human Resources function is responsible for providing direction and oversight to a diverse group of programs. These programs, all with VA-wide responsibilities, include human resources management, diversity management and equal employment opportunity, discrimination complaint resolution, labor-management relations, and general administrative support (primarily services to VACO).

4.14.1 Subfunction 1: Human Resources Management

Human Resources Management (OHRM) provides exceptional leadership and support through human resources best practices and programs that enable VA to attract, develop, and retain the people who provide quality services to veterans and their families.

4.14.1.1 Subfunction 1.1: General Administration

The general administration subfunction sets forth procedures for establishing, revising, managing and distributing departmental Human Resources Management directives and handbooks under the VA Directives Management System. It plans and formulates department-wide human resources management policies, programs, and requirements for human resources management throughout VA; advises key executives in their application; and appraises the human resources management program of the Department.

Associated Data Classes		
Title	Description	CRUD
Guidance	HRM guidance: handbooks, directives, policies, etc.	CRU
Organization	Organizational structure, including permissions for creation, review, and approval of guidance.	R

Associated Data Classes		
Title	Description	CRUD
Workflow	Data related to the flow of guidance documents through HRM from creation to approval and dissemination.	CRU

4.14.1.2 Subfunction 1.2: Classification

The classification subfunction includes position classification, job grading, and position management. It facilitates sound and consistent classification and job grading practices and helps assure that work is organized and assigned among positions in a manner which will serve the organization's needs effectively and economically, providing the greatest total value to VA.

Associated Data Classes		
Title	Description	CRUD
Classification	Data related to classification of jobs, e.g., lists of jobs, requirements, regulations and guidance, salary range, etc.	CRU
Position	Position description library, individual position descriptions.	CRUD
Organization	Organizational structure, including permissions for creation, review, and approval of guidance.	R
Workflow	Data related to the flow of guidance documents through HRM from creation to approval and dissemination.	CRUD
Position Management	Data that enables organization and assignment of work among positions to provide the greatest total value to VA.	CRUD

4.14.1.3 Subfunction 1.3: Staffing

This subfunction is responsible for staffing of positions within the Department of Veterans Affairs (VA) for personnel appointed or designated under certain title 38 authorities and personnel appointed under title 5, United States Code. Staffing consists of recruitment/general employment, appointments, internal placement and promotion.

Associated Data Classes		
Title	Description	CRUD
Applicant	Data related to an applicant, e.g., QUALS, resume, personal data, etc.	CRUD
Offer	Offers made, results (accept or decline), reason for decline.	CRUD
Registration	Veteran data for special recruitment programs.	R

Associated Data Classes		
Title	Description	CRUD
EEO/DM	Data for EEO and diversity recruitment programs.	R
Position	Data about vacancies.	CRUD
Recruitment	Recruitment data, e.g., where, how, POCs, etc.	CRU

4.14.1.4 Subfunction 1.4: Pay Administration

The pay administration subfunction within the Department of Veterans Affairs (VA) for personnel appointed or designated under certain title 38 authorities, personnel occupying positions subject to 5 U.S.C., chapter 51, and personnel subject to the Federal Wage System.

Associated Data Classes		
Title	Description	CRUD
Pay reference	Pay scales, etc.	R
Position	Position information.	R
Employee	Adds pay information to employee data.	RU
Organization	Organizational structure, including permissions for creation, review, and approval of pay.	R

4.14.1.5 Subfunction 1.5: Benefits

The benefits subfunction provides employee benefits and program information.

Associated Data Classes		
Title	Description	CRUD
Retirement	Retirement programs, e.g., Civil Service, Federal Employees.	R
Workflow	Workflow related to processing benefits.	CRUD
Organization	Organizational structure, including permissions for creation, review, and approval of benefits.	R
Disability	Disability programs.	R
Employee	Information on employees and benefits update.	RU
Health Care	Health care benefit information.	R

Associated Data Classes		
Title	Description	CRUD
Death	Death benefit information.	R
Life Insurance	Life insurance information.	R
Long term care Insurance	Long term care insurance information.	R
Professional Liability	Professional liability insurance for managers.	R
Investment	Thrift Savings Plan.	R
Position	Information related to position for Title 38, other entitlements.	R
Benefits guidance.	VA policies and procedures related to benefits.	CRUD

4.14.1.6 Subfunction 1.6: Work-life

The Work-life subfunction balances work and family responsibilities through alternative work schedules, childcare tuition assistance, dependent care, teleworking, establishment of hours of duty and leave, health and wellness support.

Associated Data Classes		
Title	Description	CRUD
Duty	Duty hours information related to a position, alternative work schedule information.	R
Leave	Leave schedules.	R
Employee	Add leave, duty hours, and other work life information to employee data.	RU
Workflow	Workflow data related to approval of leave requests.	CRUD
Organization	Organizational structure, including permissions for creation, review, and approval of work life actions.	R
Telework	Information related to telework.	CRUD
Child Care	Child care tuition assistance information.	CRUD

Associated Data Classes		
Title	Description	CRUD
Dependent care	Dependent care information.	CRUD
Health and Wellness	Health and wellness program information.	CRUD

4.14.1.7 Subfunction 1.7: Performance Management

Performance Management is based on Title 5 performance appraisal and Title 38 proficiency rating; performance-based actions.

Associated Data Classes		
Title	Description	CRUD
Guidance	Appraisal and rating guidance, schedules, policies, forms.	R
Workflow	Workflow data related to appraisal or rating.	CRUD
Employee	Update employee data with rating or appraisal, cycle information for an employee, performance plan, etc.	RU
Organization	Organizational structure, including permissions for creation, review, and approval of appraisals and ratings.	R
Administrative Grievance	Grievance data submitted by a non-union employee, e.g., handling is covered under workflow above.	CRUD

4.14.1.8 Subfunction 1.8: Employee Recognition And Awards

The Employee Recognition and Awards subfunction recognizes of individuals and groups of employees who make contributions in support of organizational goals and objectives. This subfunction administers special advancements and cash awards for title 38 employees.

Associated Data Classes		
Title	Description	CRUD
Employee	Employee data, including performance.	R
Financial awards	Financial awards, including one time salary increase.	RU
Leave	Time off awards.	RU
Non-monetary awards	Awards such as plaques, etc.	RU

Associated Data Classes		
Title	Description	CRUD
Workflow	Workflow related to processing awards.	CRUD
Organization	Organizational structure, including permissions for creation, review, and approval of awards.	R

4.14.1.9 Subfunction 1.9: Employee Management Relations

The Employee Management Relations subfunction includes the following activities:

- Disciplinary and adverse actions under title 5.
- Disciplinary procedures under title 38.
- Probationary period actions.
- Employee grievances and administrative appeals.
- Title 38 appeals to the disciplinary appeals board.
- Title 38 separations not covered under Parts ii and iii.

Associated Data Classes		
Title	Description	CRUD
Guidance	Guidance related to disciplinary procedures.	RU
Employee	Employee information.	R
Disciplinary	Disciplinary incident and resolution.	RU
Workflow	Workflow data related to processing of incidents.	CRUD

4.14.1.10 Subfunction 1.10: Labor Relations

Labor Relations entails policies, principles, and procedures governing relationships with labor organizations.

Associated Data Classes		
Title	Description	CRUD
Guidance	Guidance related to labor relations.	CRUD
Labor organizations	Data regarding labor organizations and their representatives.	CRUD
Organization	Data related to VA employees who have a part in labor relations.	R
Workflow	Workflow data related to processing labor relations items.	CRUD

Associated Data Classes		
Title	Description	CRUD
Historical	Labor relation incidents and their resolution.	CRU

4.14.1.11 Subfunction 1.11: Workforce Planning

The Workforce Planning subfunction entails the recruitment of new employees and preparation of current employees for promotions as vacancies occur. It includes the anticipation of needs caused by projected retirement and separation.

Associated Data Classes		
Title	Description	CRUD
Personnel	Personnel data used to for statistical analysis and prediction.	R

4.14.1.12 Subfunction 1.12: Records Management

The Records Management subfunction entails the maintenance of official personnel records.

Associated Data Classes		
Title	Description	CRUD
Personnel	Official personnel data.	CRU

4.14.2 Subfunction 2: Diversity Management and Equal Employment Opportunity

Diversity Management and Equal Employment Opportunity provides leadership in creating and sustaining a diverse workforce free of discrimination at the Department of Veterans Affairs.

4.14.2.1 Subfunction 2.1: Diversity Management And Equal Employment Opportunity/Affirmative Employment

This subfunction entails workforce analysis and recruitment efforts to ensure that qualified applicants from diverse groups are included in the recruitment pool for VA vacancies, and progress at comparable rates once employed.

Associated Data Classes		
Title	Description	CRUD
Position	Open positions.	R
Personnel	Personnel statistics.	R
Applicant	Applicant information.	R

4.14.2.2 Subfunction 2.2: Complaints Prevention

The Complaints Prevention subfunction entails education targeted at preventing EEO and DM complaints.

Associated Data Classes		
Title	Description	CRUD
Educational Materials	Information disseminated to prevent complaints.	CRUD
Organization	Organizational POCs for dissemination of information.	R

4.14.2.3 Subfunction 2.3: Internships

This subfunction is the Department's central coordinating point for student internship programs, including agreements with Historically Black Colleges and Universities (HBCU) through the National Association for Equal Opportunity in Higher Education (NAFEO); Washington Internships for Native Students (WINS); the Workforce Recruitment Program (WRP) for College Students with Disabilities; and the Hispanic Association of Colleges and Universities (HACU), where VA ranks consistently among the top federal partners.

Associated Data Classes		
Title	Description	CRUD
Agreements	Agreements with organizations that might provide interns.	CRUD
Positions	Position information used for placing interns.	R
Organization	Organizational information including where interns can be placed.	R

4.14.2.4 Subfunction 2.4: Secretary's EEO Awards

Secretary's EEO Awards recognizes people and events that contribute to EEO and diversity initiatives.

Associated Data Classes		
Title	Description	CRUD
Award nominations	Nominations for EEO awards.	CRUD
Personnel	Add nomination and award information to personnel records.	RU

4.14.2.5 Subfunction 2.5: Special Emphasis

The Special Emphasis subfunction entails work to implement Presidential Executive Orders and Federal personnel programs established by the Office of Personnel Management, to eliminate

demographic group imbalances in targeted occupations, and to achieve workforce diversity in VA. National programs include: Asian American and Pacific Islanders Program; Black Special Emphasis Program; Federal Women's Program; Hispanic Employment Program; Native American Program; and the People With Disabilities Program.

Associated Data Classes		
Title	Description	CRUD
Program information	Information on special emphasis programs.	CRUD
Personnel	Personnel statistics.	R

4.14.2.6 Subfunction 2.6: Workforce Analysis

The Workforce Analysis subfunction attempts to predict the need for new employees and to prepare current employees for promotions as vacancies occur. The subfunction uses on-line data reports that pull together the information necessary for this prediction and preparation, formatted to facilitate the inclusion of the inherent diversity issues.

Associated Data Classes		
Title	Description	CRUD
Personnel	Personnel statistics.	R

4.14.3 Subfunction 3: Resolution Management

Resolution Management (ORM) is responsible for the timely processing of complaints of employment discrimination filed by VA employees, former employees, and applicants for employment. Resolution Management also proactively reduces complaints through education and training.

4.14.3.1 Subfunction 3.1: Resolution Management/Dispute Resolution

The Dispute Resolution subfunction concerns the processing of EEO complaints for VA.

Associated Data Classes		
Title	Description	CRUD
Dispute	EEO and DM disputes.	CRUD
Personnel	Personnel data for parties involved.	R
Organization	Organizational structure, including permissions for creation, review, and approval of disputes.	R
Workflow	Workflow data related to processing disputes.	CRUD

Guidelines	Guidelines and regulations for processing of disputes.	R
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4.14.3.2 Subfunction 3.2: Education and Training

The Education and Training subfunction provides for education and training on handling disputes.

Associated Data Classes		
Title	Description	CRUD
Course materials	Materials for each course.	CRUD
Catalog	Catalog of courses, calendar of events, etc.	CRUD

4.14.3.3 Subfunction 3.3: Financial Management

The Office of Resource Management is financed by the administrations in VA based on the number of cases processed. ORM also contracts out its services to other government agencies.

Associated Data Classes		
Title	Description	CRUD
Dispute	Dispute statistics.	R
Financial	Contracts/agreements, billing, payment tracking, etc.	CRUD

4.14.4 Subfunction 4: Administration

Administration provides quality services in facilities management, cable plant management, telephone systems, audiovisuals, nationwide occupational safety and health programs and other administrative areas to VA Headquarters and to other customers nationwide.

4.14.4.1 Subfunction 4.1: Property Management

The Administration Property Management subfunction entails materials management, transportation, executive correspondence tracking, warehousing, and the VA Central Office mail center.

Associated Data Classes		
Title	Description	CRUD
Inventory	Receipt and tracking of all materials.	CRUD
Transportation	Transportation assets, scheduling, and tracking.	CRUD

Executive Correspondence	Screens, tracks, and maintains executive correspondence.	CRUD
Mail	Data related to mail, e.g., express mail, postage meters, and statistics for analysis.	CRUD

4.14.4.2 Subfunction 4.2: Transit Benefit Program

The Transit Benefit Program entails a VA subsidy of employee's transportation cost using mass transit.

Associated Data Classes		
Title	Description	CRUD
Transit	Forms, information related to use of the transit program.	CRUD
Financial	Subsidy and pre-tax deduction data.	RU

4.14.4.3 Subfunction 4.3: VACO Health Unit

The VACO Health Unit provides health services to VA Central Office (VACO) employees, including health care, EAP services, and a fitness center.

Associated Data Classes		
Title	Description	CRUD
Medical	Medical information for an employee.	CRUD
EAP	EAP service information.	CRUD
Fitness	Schedule of services, registration data.	CRUD
Financial	Fees for fitness center.	CRUD

4.15 Training and Education

The Department of Veterans Affairs offers programs for expanding employee skills and abilities, enhancing individual and team performance, and creating a climate of continuous learning in support of the Department's strategic initiatives.

4.15.1 Subfunction 1: Learning And Content Management

Learning and Content Management focuses the learning and content management training functions and encompasses the following processes:

- Develop educational material.

- Determine training content/subject.
- Develop material presentation.
- Conference planning.

Associated Data Classes		
Title	Description	CRUD
Training Course Information	The title, content, date, duration, provider, location of the training, cost, vendor, approving official, and delivery mechanism.	CRUD
Training Vendor Information	External or internal entity providing the training.	R
Training Guidelines	Within VHA and VBA business lines and mandatory federal training, there are minimum competency requirements and guidelines for certain occupations and employees.	RUD
Training Course Information	The title, content, date, duration, provider, location of the conference, cost, vendor, approving official, and delivery mechanism.	CRUD

4.15.2 Subfunction 2: Managing Employee Development

Managing Employee Development includes activities associated with managing learning opportunities and training development for employees.

Associated Data Classes		
Title	Description	CRUD
Employee Information	Employee's name, title, series, and grade.	CRUD
Employee Training history	This includes employee and course information, including, completion date, certification, hours, and subject.	CRUD
Training Course Information	The title, date, duration, provider, location of the training, cost, vendor, approving official, and delivery mechanism.	RUD

Associated Data Classes		
Title	Description	CRUD
Training Guidelines	Within business lines, VA mandatory federal training and Office of Personnel Management (OPM) Mandatory Training Guidelines, there are minimum competency requirements and guidelines for certain occupations and employees in VBA, VHA, and NCA.	R

4.15.3 Subfunction 3: Learning Delivery

Learning Delivery entails the following:

- Online eTraining.
- Satellite Networks.
- VA Conferences.
- Vendor Training.
- External Conferences.
- VA Sponsored Classroom Training.
- On the job training.

Associated Data Classes		
Title	Description	CRUD
Training Delivery	Computer Based Training, Web-based training, satellite (video and audio), conferences and classroom setting are all used to deliver training to VA employees nationwide.	CUD
Training Vendor Information	External or internal entity providing the training.	R

4.15.4 Subfunction 4: Personal Information And Tracking (Training Management)

Personal Information and Tracking (Training) Management involves managing personal training information.

Associated Data Classes		
Title	Description	CRUD
Employee Information	Employee's name, title, series, and grade.	CRUD
Employee Training history	This includes employee and course information, including, completion date, certification, hours, and subject.	CRUD

Associated Data Classes		
Title	Description	CRUD
Training Course Information	The title, date, duration, provider, location of the training, cost, vendor, approving official, and delivery mechanism.	RUD
Training Guidelines	Within business lines, VA mandatory federal training and OPM Mandatory Training Guidelines, there are minimum competency requirements and guidelines for certain occupations and employees in VBA, VHA, and NCA.	R

4.15.5 Subfunction 5: Training Cost Management

Training Cost Management focuses on the cost management functions associating with training. It includes the following processes:

- Track cost associated with training.
- Track individual employee training.

Associated Data Classes		
Title	Description	CRUD
Financial	Budget; Direct, e.g., paying out vendors, employee tuition, travel and reimbursement, and indirect cost, e.g., people's salaries, materials, resources, conferences, etc., associated with carrying out the Training and Education function. This may also include inter agency transfer of funds to cover training expenses.	CRUD
Training Course Information	The title, date, duration, provider, location of the training, cost, vendor, approving official, and delivery mechanism.	R

4.16 Functional Consolidation and Integration Opportunity: Registration and Eligibility

This section describes the approach to arrive at a consolidated Registration and Eligibility Process. It describes the current process for each major line of business, and provides a description of the target consolidated Registration and Eligibility Process.

4.16.1 Approach

The approach taken to consolidate Registration and Eligibility was to develop process flow diagrams that describe the "as is", or baseline, operation across VA business operations. The

diagrams are stated in terms of the function, subfunction, and data class decompositions described in earlier sections for each line of business. The collection of process flow diagrams represents a set of ‘vertical’ views of how VA currently performs Registration and Eligibility.

The next step was to review each of the process flow diagrams to determine what subfunctions and data classes were (or should be) common across the enterprise, and to identify any subfunctions or data classes that are unique to a particular line of business. The resulting “to be”, or target, process flow diagram is thus a ‘horizontal’ view of a consolidated Registration and Eligibility function for the enterprise, which still preserves aspects that are unique to a line of business.

4.16.2 Process Flow Template

The baseline process flow diagrams are modified flowcharts that document actions, data classes, resources required, and controls for each step in the Registration and Eligibility process. Boxes are labeled as shown in Figure 4-7 - Process Flow Diagram Template. The function to be performed is stated in verb-noun format within the box. Data required to perform the function is labeled with an arrow to the left of the function box while data produced by the function is labeled with an arrow to the right of the function box. Resources required to perform the function (personnel, equipment, facilities, etc.) are shown as labeled arrows at the bottom of the function box. Controls placed upon the function, e.g., legislation, VA policy, standards, etc., are shown as labeled arrows at the top of the function box. To save space on the process flow diagrams in section 4.16.3 and to provide amplifying descriptions, a table that further describes each element of the process flow boxes accompanies each process flow diagram.

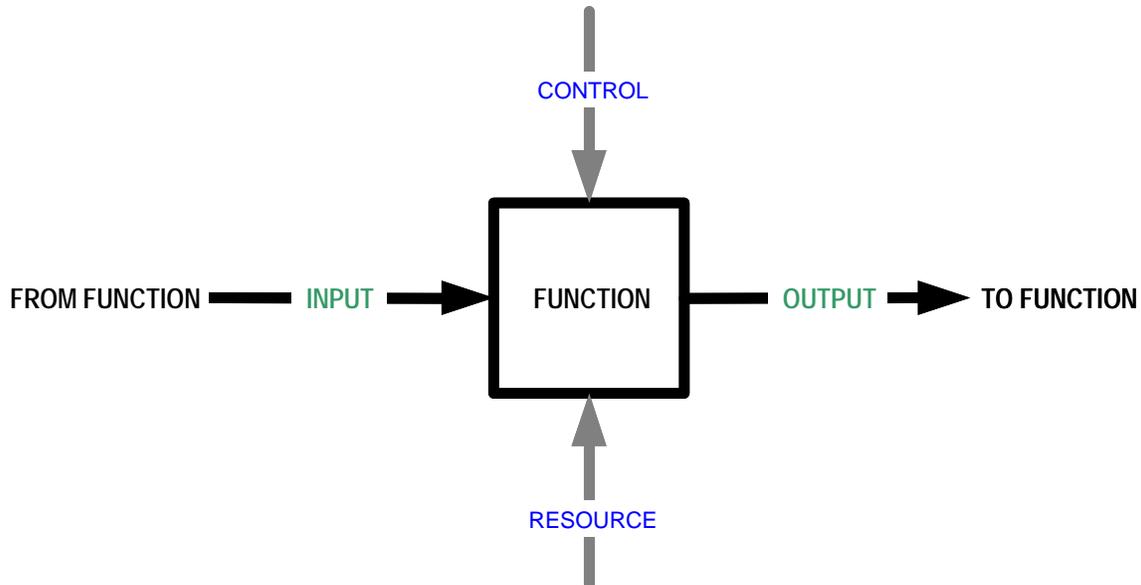


Figure 4-7: Registration and Eligibility Process Flow Diagram Template

4.16.3 As Is Process Flow Diagrams

This section presents each of the “as is” process flow diagrams organized by line of business. The business process flow for Medical Care, Medical Education, and Medical Research are nearly identical so a single process flow diagram was created to reflect all three.

4.16.3.1 Compensation

Veteran/Service Organization/POA/Fiduciary

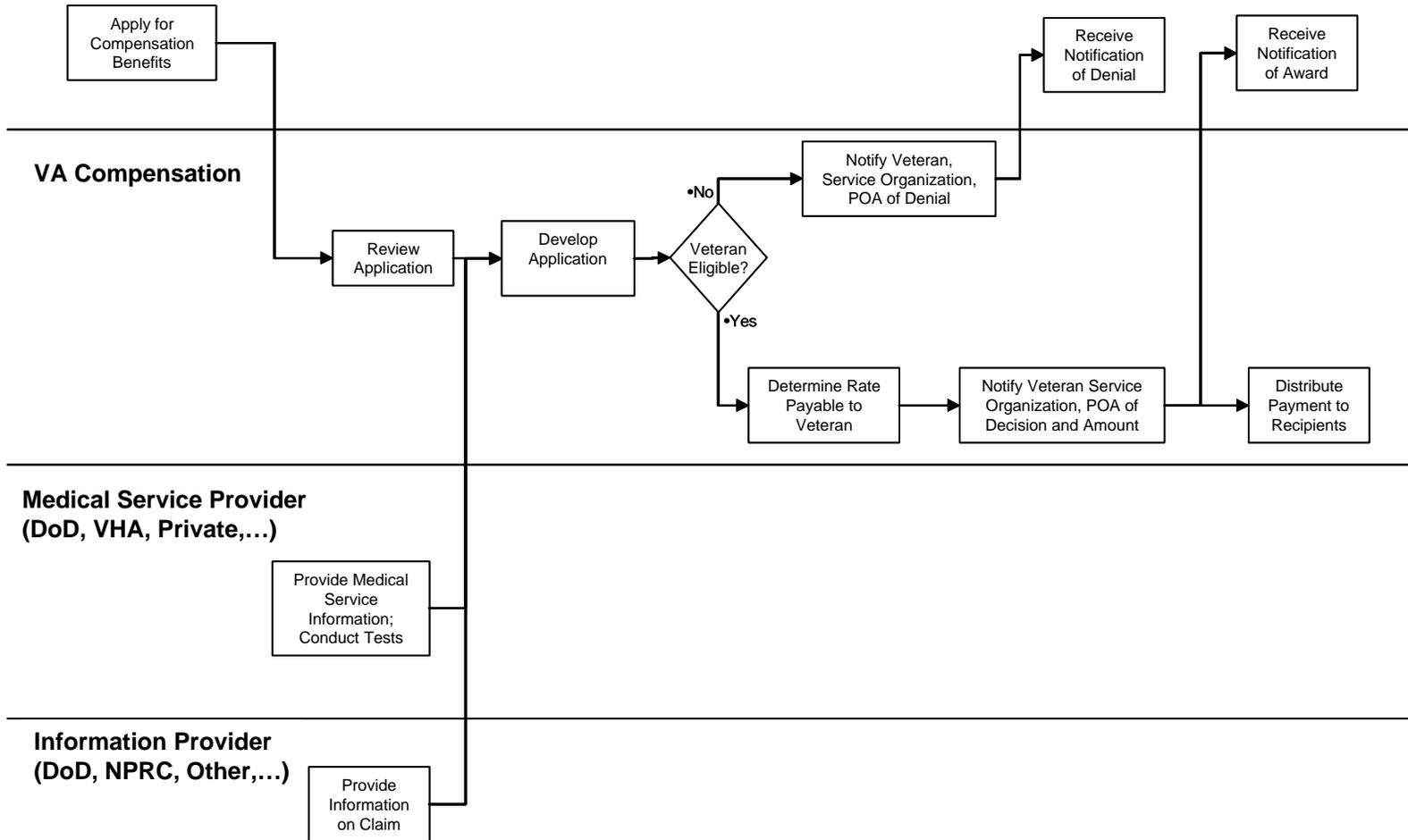


Figure 4-8: Compensation As Is Registration and Eligibility Process Flow

Table 4.16.3.1-1 - Compensation Registration and Eligibility

Activity Name	Input	Output	Control	Resource
Apply for Compensation Benefits	<ul style="list-style-type: none"> • Personal Data • Service Data 	<ul style="list-style-type: none"> • Submitted Application 		
Review Application	<ul style="list-style-type: none"> • Submitted Application • Personal Data • Service Data • Benefits Data 	<ul style="list-style-type: none"> • Reviewed Application 		Correspondence Clerk
Develop Application	<ul style="list-style-type: none"> • Reviewed Application • Personal Data • Service Data • Benefits Data • Medical Data 	<ul style="list-style-type: none"> • Developed Application 		Veterans Service Representative (VSR)
Provide Medical Service Information; Conduct Tests		<ul style="list-style-type: none"> • Medical Data 		
Provide Information on Claim		<ul style="list-style-type: none"> • Service Data • Medical Data 		
Veteran Eligible?		<ul style="list-style-type: none"> • Eligibility Decision 		
Notify Veteran, Service Organization, POA of Denial	<ul style="list-style-type: none"> • Eligibility Decision 	<ul style="list-style-type: none"> • Letter of Notification 		
Receive Notification of Denial	<ul style="list-style-type: none"> • Letter of Notification 			

Table 4.16.3.1-1 - Compensation Registration and Eligibility

Activity Name	Input	Output	Control	Resource
Determine Rate Payable to Veteran	<ul style="list-style-type: none"> • Developed Application • Eligibility Decision 	<ul style="list-style-type: none"> • Compensation Rate 		
Notify Veteran Service Organization, POA of Decision and Amount	<ul style="list-style-type: none"> • Compensation Rate 	<ul style="list-style-type: none"> • Letter of Notification 		
Receive Notification of Award	<ul style="list-style-type: none"> • Letter of Notification 			
Distribute Payment to Recipients	<ul style="list-style-type: none"> • Eligibility Decision • Compensation Rate 	<ul style="list-style-type: none"> • Payment Authorization to Treasury 		

4.16.3.2 Pension

Veteran/Service Organization/POA/Fiduciary

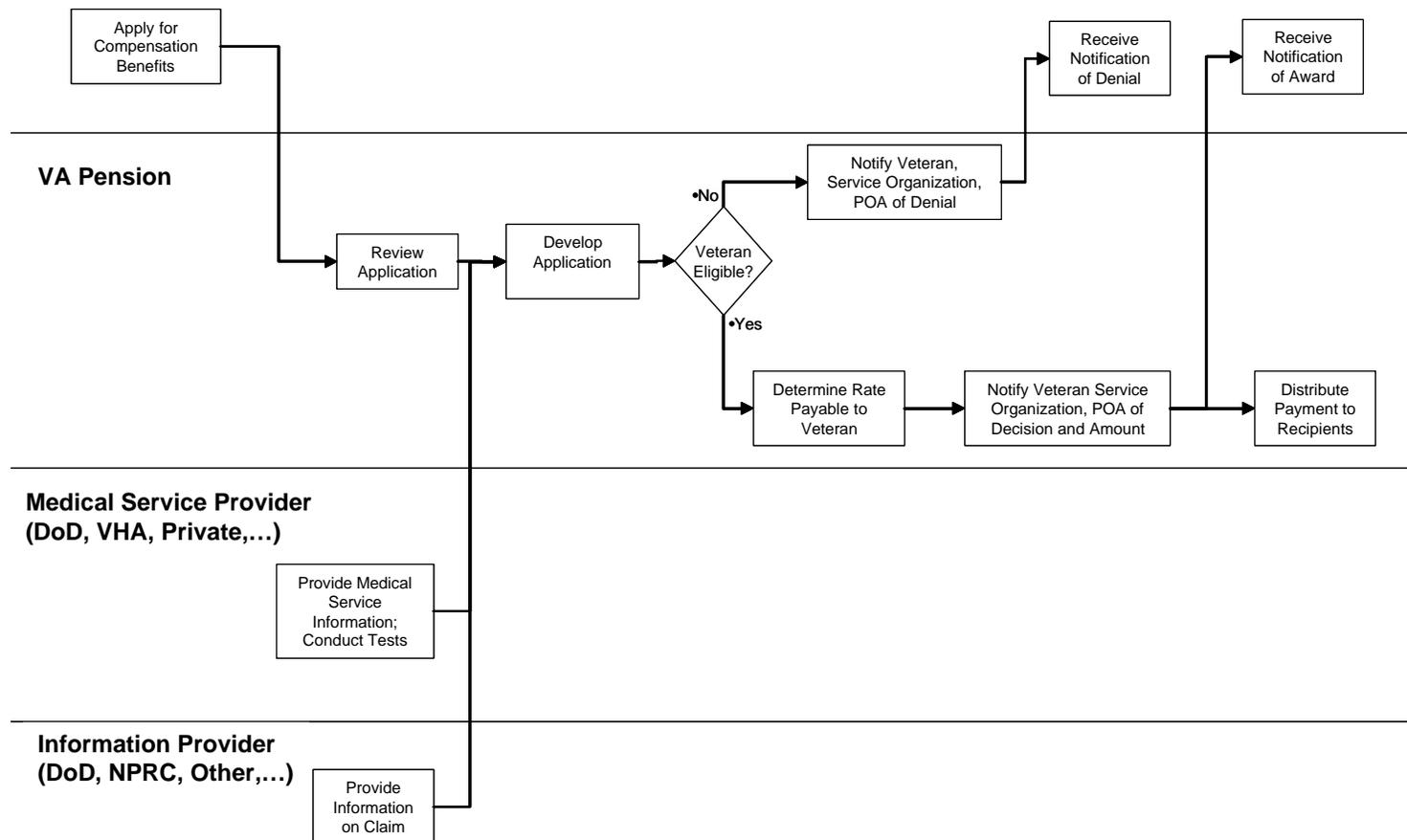


Figure 4-9: Pension As Is Registration and Eligibility Process Flow

Table 4.16.3.2-1 - Pension Registration and Eligibility

Activity Name	Input	Output	Control	Resource
Apply for Compensation Benefits	<ul style="list-style-type: none"> • Personal Data • Service Data 	<ul style="list-style-type: none"> • Submitted Application 		
Review Application	<ul style="list-style-type: none"> • Submitted Application • Personal Data • Service Data • Benefits Data 	<ul style="list-style-type: none"> • Reviewed Application 		Correspondence Clerk
Develop Application	<ul style="list-style-type: none"> • Reviewed Application • Personal Data • Service Data • Benefits Data • Medical Data 	<ul style="list-style-type: none"> • Developed Application 		Veterans Service Representative (VSR)
Provide Medical Service Information; Conduct Tests		<ul style="list-style-type: none"> • Medical Data 		
Provide Information on Claim		<ul style="list-style-type: none"> • Service Data • Medical Data 		
Veteran Eligible?		<ul style="list-style-type: none"> • Eligibility Decision 		
Notify Veteran, Service Organization, POA of Denial	<ul style="list-style-type: none"> • Eligibility Decision 	<ul style="list-style-type: none"> • Letter of Notification 		
Receive Notification of Denial	<ul style="list-style-type: none"> • Letter of Notification 			

Table 4.16.3.2-1 - Pension Registration and Eligibility

Activity Name	Input	Output	Control	Resource
Determine Rate Payable to Veteran	<ul style="list-style-type: none"> • Developed Application • Eligibility Decision 	<ul style="list-style-type: none"> • Compensation Rate 		
Notify Veteran Service Organization, POA of Decision and Amount	<ul style="list-style-type: none"> • Compensation Rate 	<ul style="list-style-type: none"> • Letter of Notification 		
Receive Notification of Award	<ul style="list-style-type: none"> • Letter of Notification 			
Distribute Payment to Recipients	<ul style="list-style-type: none"> • Eligibility Decision • Compensation Rate 	<ul style="list-style-type: none"> • Payment Authorization to Treasury 		

4.16.3.3 Vocational Rehabilitation and Employment

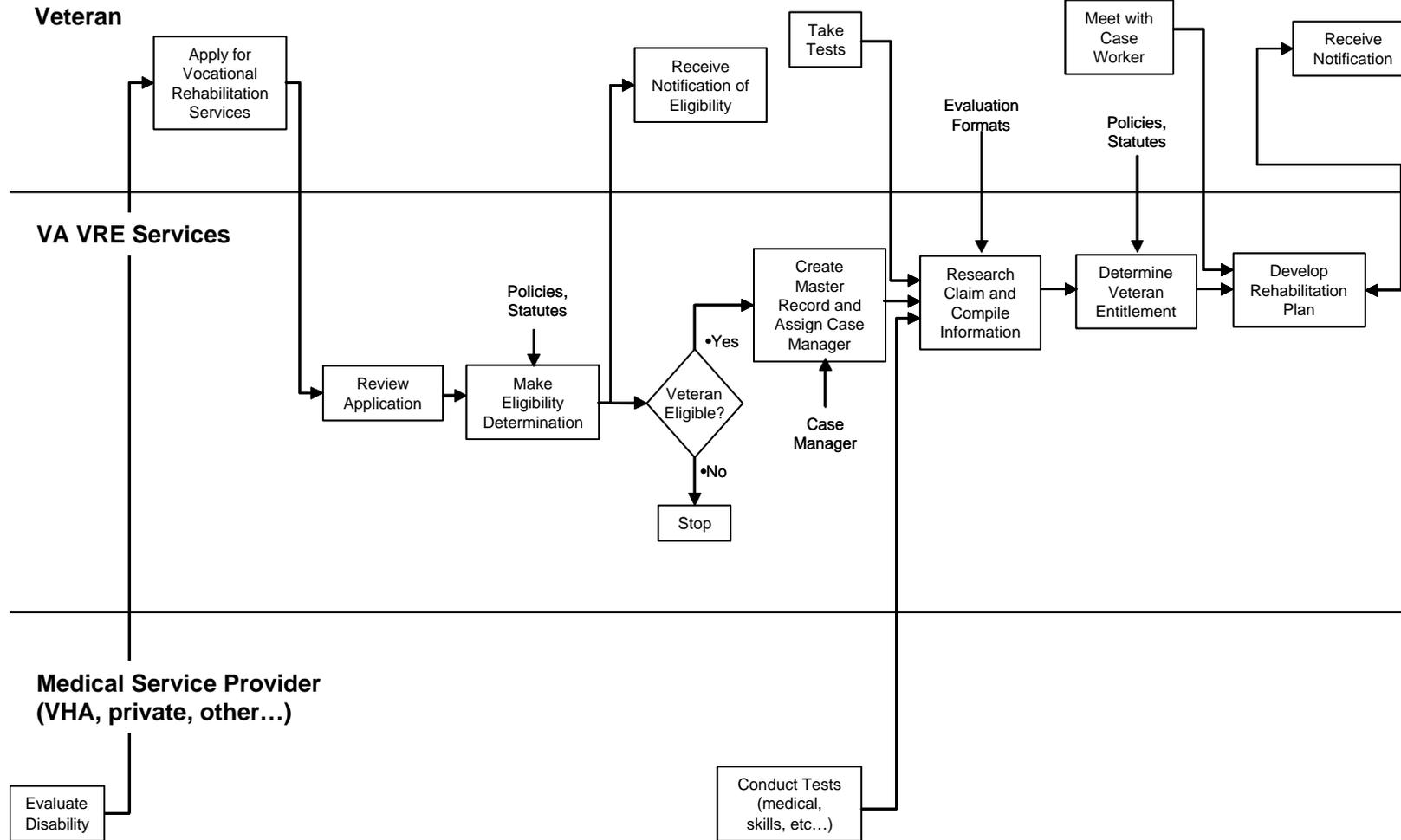


Figure 4-10: Vocational Rehabilitation and Employment As Is Registration and Eligibility Process Flow

Table 4.16.3.3-1 - Vocational Rehabilitation and Employment Registration and Eligibility

Activity Name	Input	Output	Control	Resource
Apply for Vocational Rehabilitation Services	<ul style="list-style-type: none"> • VAF 28-1900 Data Classes: <ul style="list-style-type: none"> • Veteran Personal Data 	<ul style="list-style-type: none"> • Submitted Application (formal/informal) 	<ul style="list-style-type: none"> • Legislation (TAP/DTAP) • Motivation Project 	<ul style="list-style-type: none"> • Veteran; Service-member • VBA Outreach • VBA Toll Free Tel. # • Benefits Specialists • DOD/DOL • Internet
Evaluate Disability	<ul style="list-style-type: none"> • VAF 28-1900 and service medical records for Memo Rating (Service-member) Data Classes: <ul style="list-style-type: none"> • Veteran Personal Data • Service Medical Records and/or Veteran Medical Records • Service Data • Veterans Identification Data • BDN Master Records 	<ul style="list-style-type: none"> • Memorandum Rating (Service-member) • Letter to service-member 	Legislation: <ul style="list-style-type: none"> • 38 USC 3102; • CFR 21.40 	<ul style="list-style-type: none"> • VBA Claims Processor

Table 4.16.3.3-1 - Vocational Rehabilitation and Employment Registration and Eligibility

Activity Name	Input	Output	Control	Resource
Review Application	<ul style="list-style-type: none"> • Completed Application • Formal/Informal Application Data Classes: <ul style="list-style-type: none"> • Veteran Personal Data • Service Medical Records and/or Veteran Medical Records • Service Data; Veterans Identification Data • BDN Master Records 	<ul style="list-style-type: none"> • Veteran Identification Data (VID) • All BDN Master Records 	Legislation: <ul style="list-style-type: none"> • 38 USC 3102 • CFR 21.40 • M28-1 	<ul style="list-style-type: none"> • VBA employee (C&P or VRE)
Make eligibility Determination	(Same as above)	<ul style="list-style-type: none"> • Generated Eligibility Determination (GED) • BDN Chapter 31 Master Record (electronic) 	Legislation: <ul style="list-style-type: none"> • 38 USC 3102 • CFR 21.40 • M28-1 • VBA Circular 28-97-1 (PL 104-275) 	<ul style="list-style-type: none"> • VBA Employee (C&P or VRE); BDN; Corporate WINRS
Receive Notification of Eligibility	<ul style="list-style-type: none"> • Letter to veteran Data Classes <ul style="list-style-type: none"> • Eligibility Determination Data 	<ul style="list-style-type: none"> • VBA letter 	<ul style="list-style-type: none"> • CFR 21.420 	<ul style="list-style-type: none"> • VBA Employee (C&P or VRE)

Table 4.16.3.3-1 - Vocational Rehabilitation and Employment Registration and Eligibility

Activity Name	Input	Output	Control	Resource
Veteran Eligible?	<ul style="list-style-type: none"> • GED Data Classes <ul style="list-style-type: none"> • Eligibility Determination Data 	<ul style="list-style-type: none"> • BDN system-generated GED document 	(Same as above)	(Same as above)
Stop				
Create Master Record and Assign Case Manager	<ul style="list-style-type: none"> • BDN/Corporate WINRS input Data Classes: <ul style="list-style-type: none"> • Veteran Personal Data • Service Data • Account information 	<ul style="list-style-type: none"> • Chapter 31 Master Record • Corporate data base Record (CWINRS) • BIRLS record location 	<ul style="list-style-type: none"> • M28-1 	<ul style="list-style-type: none"> • VBA Employee (VR&E)
Conduct Tests (medical, skills, etc.)	<ul style="list-style-type: none"> • Initial evaluation with veteran participation Data Classes: <ul style="list-style-type: none"> • Veteran Personal Data • Veteran Medical Records • Input from Veteran 	<ul style="list-style-type: none"> • Hard copy data filed in Counseling/ Evaluation/ Rehabilitation Record • Data filed in Corporate data base (CWINRS) 	<ul style="list-style-type: none"> • M28-1 • CFR 21.50 	<ul style="list-style-type: none"> • VBA Employee (VR&E)
Take Tests	(Same as above)	(Same as above)	(Same as above)	(Same as above)

Table 4.16.3.3-1 - Vocational Rehabilitation and Employment Registration and Eligibility

Activity Name	Input	Output	Control	Resource
Research Claim and Compile Information	<ul style="list-style-type: none"> • Initial evaluation with veteran participation Data Classes: <ul style="list-style-type: none"> • Veteran Personal Data • Veteran Medical Records • Social Security Records • Department of Labor Records 	(Same as above)	(Same as above)	(Same as above)
Determine Veteran Entitlement	<ul style="list-style-type: none"> • Initial evaluation with veteran participation Data Classes: (Same as above)	<ul style="list-style-type: none"> • Entitlement determination based on employment handicap or serious employment handicap • VBA Letter notifying veteran of entitlement determination 	<ul style="list-style-type: none"> • 38 USC 3106 • CFR 21.50 • 21.51, 21.53 • M28-1 • VBA Circular 28-97-1 (PL 104-275) 	<ul style="list-style-type: none"> • VBA Employee (VR&E)

Table 4.16.3.3-1 - Vocational Rehabilitation and Employment Registration and Eligibility

Activity Name	Input	Output	Control	Resource
Meet with Case Worker	<ul style="list-style-type: none"> Entitlement determination and all BDN and Corporate records <p>Data Classes:</p> <ul style="list-style-type: none"> Account Information VR&E Services Eligibility Determination Data 	<ul style="list-style-type: none"> Determine Employment Objective or Independent Living Objective 	<ul style="list-style-type: none"> 38 USC 3107 CFR 21.84 M28-1 	<ul style="list-style-type: none"> VBA Employee (VR&E)
Develop Rehabilitation Plan	<ul style="list-style-type: none"> Employment Objective or Independent Living Objective <p>Data Classes:</p> <ul style="list-style-type: none"> Eligibility Determination Data Account Information VR&E Service 	<ul style="list-style-type: none"> Individualized Written Rehabilitation Plan (Employment Objective or Independent Living Objective) BDN and Corporate record (CWINRS) 	(Same as above)	<ul style="list-style-type: none"> VBA Employee (VR&E)
Receive Notification	<ul style="list-style-type: none"> Entitlement Determination <p>Data Classes</p> <ul style="list-style-type: none"> Eligibility Determination Data Veteran Personal Data 	<ul style="list-style-type: none"> VBA Letter to Veteran BDN and Corporate record (CWINRS) 	(Same as above)	<ul style="list-style-type: none"> VBA Employee (VR&E)

4.16.3.4 Education

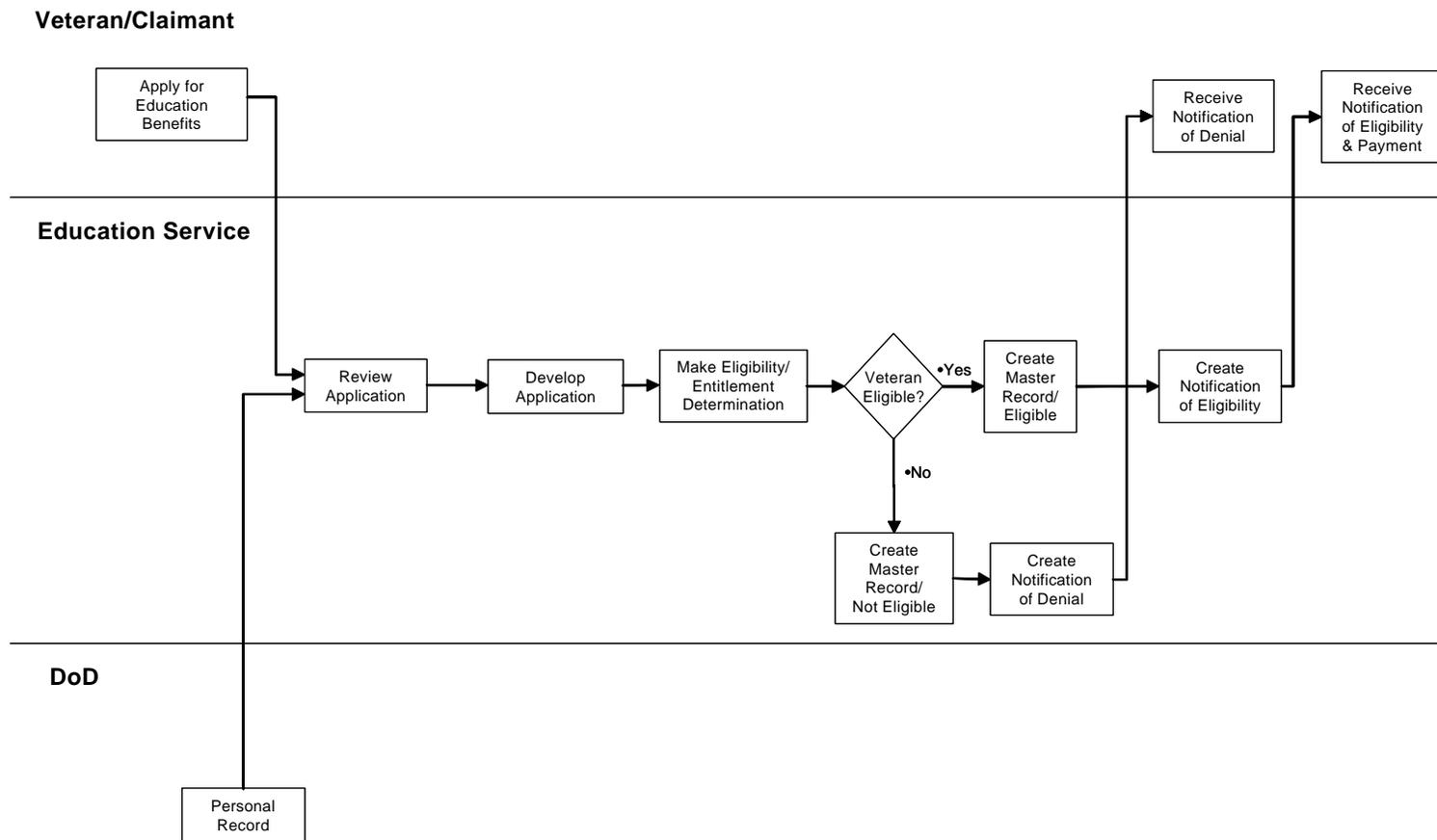


Figure 4-11: Education As Is Registration and Eligibility Process Flow

Table 4.16.3.4-1 - Education Registration and Eligibility

Activity Name	Input	Output	Control	Resource
Apply for Education	<ul style="list-style-type: none"> • Veteran (other claimant) Information <ul style="list-style-type: none"> • Name • SSN • Address • Date of birth • Date of death • Electronic funds transfer data & other data • Service Information <ul style="list-style-type: none"> • Branch of service • Active duty dates • Active duty for training dates • Type of discharge • Retired/separated • Separation reason • Selected reserve periods • Separation reason from the selective reserve • Veteran's Dependent Information <ul style="list-style-type: none"> • Name • SSN • Address • Date of birth and other data 	<ul style="list-style-type: none"> • Completed Application 	<ul style="list-style-type: none"> • 38 U.S.C., Chapter 304 • 10 U.S.C., Chapter 16065 • 38 U.S.C., Chapter 326 • 38 U.S.C., Chapter 357 • Public Law 96-342, Section 9018 • Public Law 96-342, Section 9039 • Public Law 99-39910 	<ul style="list-style-type: none"> • Veteran or Other Claimant

⁴ Montgomery GI Bill – Active Duty Educational Assistance Program (MGIB)

⁵ Montgomery GI Bill – Selected Reserve Educational Assistance Program (MGIB)

⁶ Post-Vietnam Era Veterans' Educational Assistance Program (VEAP),

⁷ Survivors' and Dependents' Educational Assistance (DEA),

⁸ Educational Assistance Test Program

Table 4.16.3.4-1 - Education Registration and Eligibility

Activity Name	Input	Output	Control	Resource
Review Application	<ul style="list-style-type: none"> • Completed Application and Attachments • DOD Data • Program Approval Data • Training Information from School 	<ul style="list-style-type: none"> • Reviewed Application 	<ul style="list-style-type: none"> • Title 38 –same controls as above. 	<ul style="list-style-type: none"> • VBA Employee
Develop Application	<ul style="list-style-type: none"> • Reviewed Application and Attachments • DOD Data • Program Approval • Training Information from School 	Additional information as Requested: <ul style="list-style-type: none"> • Veteran information • Service information • Dependent information • Program Approval • Training Information from School 	<ul style="list-style-type: none"> • Title 38 –same controls as above. 	<ul style="list-style-type: none"> • VBA Employee • Training Institute
Make Eligibility Determination	<ul style="list-style-type: none"> • Reviewed Application and Attachments • DOD Data • Program Approval • Training Information from School plus any information obtained in Develop Application 	Determinations as to: <ul style="list-style-type: none"> • Eligibility • Months of Entitlement • Period of Eligibility • Payment Information if Appropriate 	<ul style="list-style-type: none"> • Title 38 –same controls as above. 	<ul style="list-style-type: none"> • VBA Employee • Claims Examiner

⁹ Educational Assistance Pilot Program

¹⁰ Omnibus Diplomatic Security and Anti-Terrorism Act of 1986

Table 4.16.3.4-1 - Education Registration and Eligibility

Activity Name	Input	Output	Control	Resource
Create Master Record	<ul style="list-style-type: none"> Selected Data from Reviewed Application and Attachments DOD Data Program Approval Training Information from School plus any Developed Information 	<ul style="list-style-type: none"> Master Record 	<ul style="list-style-type: none"> Title 38 –same controls as above. 	<ul style="list-style-type: none"> VBA Employee
Create Notification	<ul style="list-style-type: none"> Master Record 	One of 3 types of letter: <ul style="list-style-type: none"> Letter of eligibility Letter of eligibility including award (payment) Letter of denial 	<ul style="list-style-type: none"> Title 38 –same controls as above. 	<ul style="list-style-type: none"> VBA Employee
Receive Notification	<ul style="list-style-type: none"> Letters of Notification: <ul style="list-style-type: none"> Eligibility Eligibility and Payment Denial 		<ul style="list-style-type: none"> Title 38 –same controls as above. 	<ul style="list-style-type: none"> Veteran Other Claimant

4.16.3.5 Insurance

Veteran

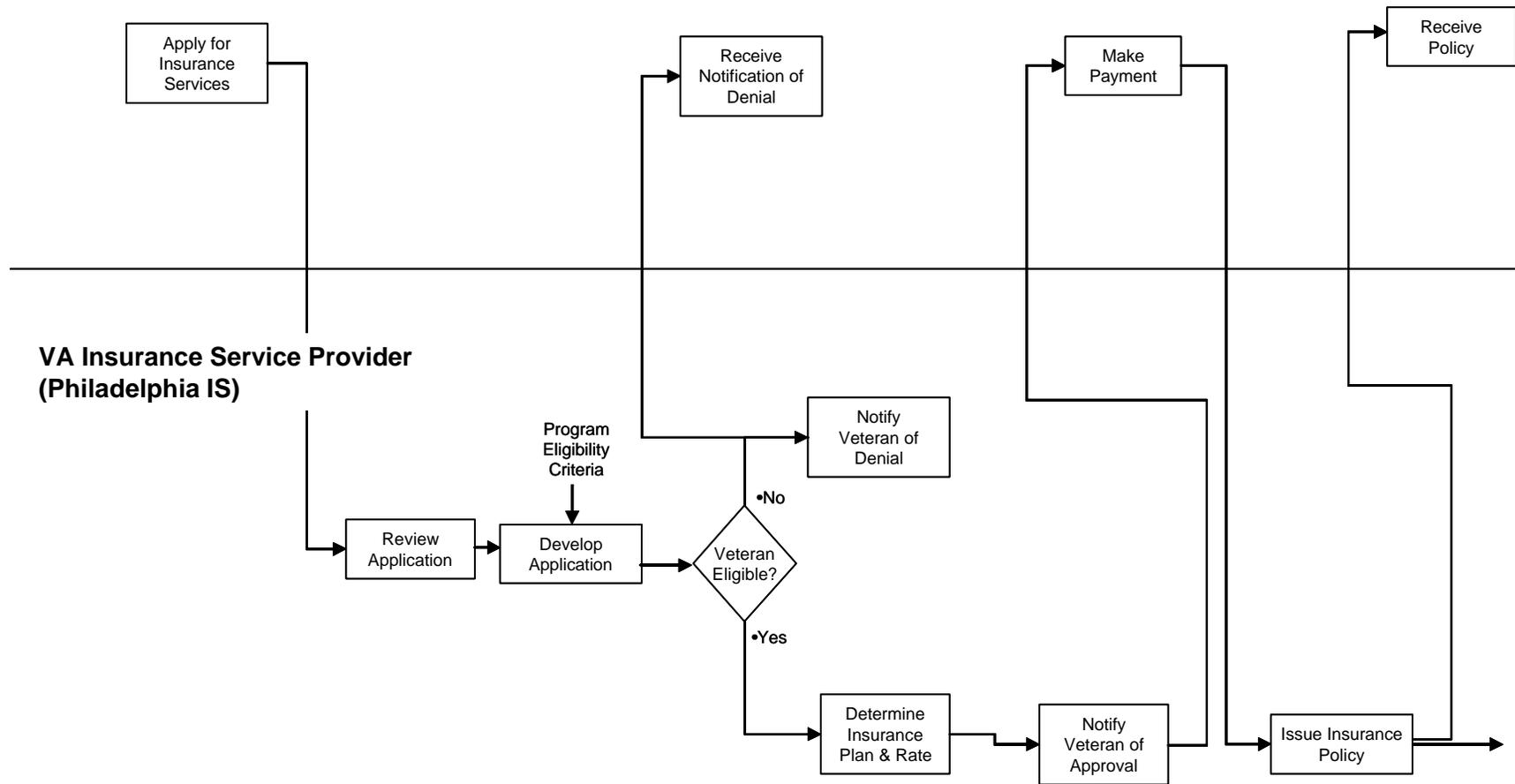


Figure 4-12: Insurance As Is Registration and Eligibility Process Flow

Table 4.16.3.5-1 - Insurance Registration and Eligibility

Activity Name	Input	Output	Control	Resource
Apply for Insurance Services	<ul style="list-style-type: none"> • 29-0151, or • 29-4364 	<ul style="list-style-type: none"> • Completed application 	<ul style="list-style-type: none"> • Legislation • Regulations 	<ul style="list-style-type: none"> • Printed forms • Website • National Automated Response System (NARS - 800 #) • Benefit specialist
Review Application	<ul style="list-style-type: none"> • Submitted application 	<ul style="list-style-type: none"> • Reviewed application 	<ul style="list-style-type: none"> • Legislation • Regulations 	<ul style="list-style-type: none"> • Live claims examiner
Veteran Eligible?	<ul style="list-style-type: none"> • Reviewed application 	<ul style="list-style-type: none"> • Veteran eligible or notice of ineligibility released 	<ul style="list-style-type: none"> • Legislation • Regulations 	<ul style="list-style-type: none"> • Live claims examiner
Develop Application	<ul style="list-style-type: none"> • Reviewed application 	<ul style="list-style-type: none"> • Completed application or incomplete application requiring supplemental information 	<ul style="list-style-type: none"> • Legislation • Regulations • SOP • Policy & procedures 	<ul style="list-style-type: none"> • Live claims examiner
Application Approved?	<ul style="list-style-type: none"> • Completed application 	<ul style="list-style-type: none"> • Approved application 	<ul style="list-style-type: none"> • Legislation • Regulations • SOP • Policy & procedures 	<ul style="list-style-type: none"> • Live claims examiner

Table 4.16.3.5-1 - Insurance Registration and Eligibility

Activity Name	Input	Output	Control	Resource
Verify Plan and Rate	<ul style="list-style-type: none"> Completed application 	<ul style="list-style-type: none"> Plan/rate (policy) 	<ul style="list-style-type: none"> Plan & rate tables 	<ul style="list-style-type: none"> Live claims examiner
Notify Veteran of Approval	<ul style="list-style-type: none"> Plan/rate (policy) 	<ul style="list-style-type: none"> Letter released 	<ul style="list-style-type: none"> Policy & procedures 	<ul style="list-style-type: none"> Live claims examiner
Make Direct Payment or Establish other than Direct Payment Account	<ul style="list-style-type: none"> Check/money order or other than direct pay methods (VAMATIC/DFB/ALT) 	<ul style="list-style-type: none"> Release future premium notices Release status of payment Release status of other than direct pay method 	<ul style="list-style-type: none"> Policy & procedures SOP 	<ul style="list-style-type: none"> Veteran, or Live claims examiner
Issue Policy	<ul style="list-style-type: none"> Plan/rate/ Direct payment/ Other than direct payment method 	<ul style="list-style-type: none"> Issue policy 	<ul style="list-style-type: none"> Legislation Regulations SOP Policy & procedures 	<ul style="list-style-type: none"> Live claims examiner
Receive Policy	<ul style="list-style-type: none"> Issue policy 	<ul style="list-style-type: none"> Receive policy 	<ul style="list-style-type: none"> Legislation Regulations SOP Policy & procedures 	<ul style="list-style-type: none"> Veteran
Notify Veteran of Denial	<ul style="list-style-type: none"> Veteran ineligible, or Application disapproved 	<ul style="list-style-type: none"> Denial or disapproval letter 	<ul style="list-style-type: none"> Legislation Regulations SOP Policy & procedures 	<ul style="list-style-type: none"> Live claims examiner

Table 4.16.3.5-1 - Insurance Registration and Eligibility

Activity Name	Input	Output	Control	Resource
Receive Notification of Denial	<ul style="list-style-type: none">• Denial or disapproval letter	<ul style="list-style-type: none">• Denial or disapproval letter	<ul style="list-style-type: none">• Legislation• Regulations• SOP• Policy & procedures	<ul style="list-style-type: none">• Veteran

4.16.3.6 Loan Guaranty

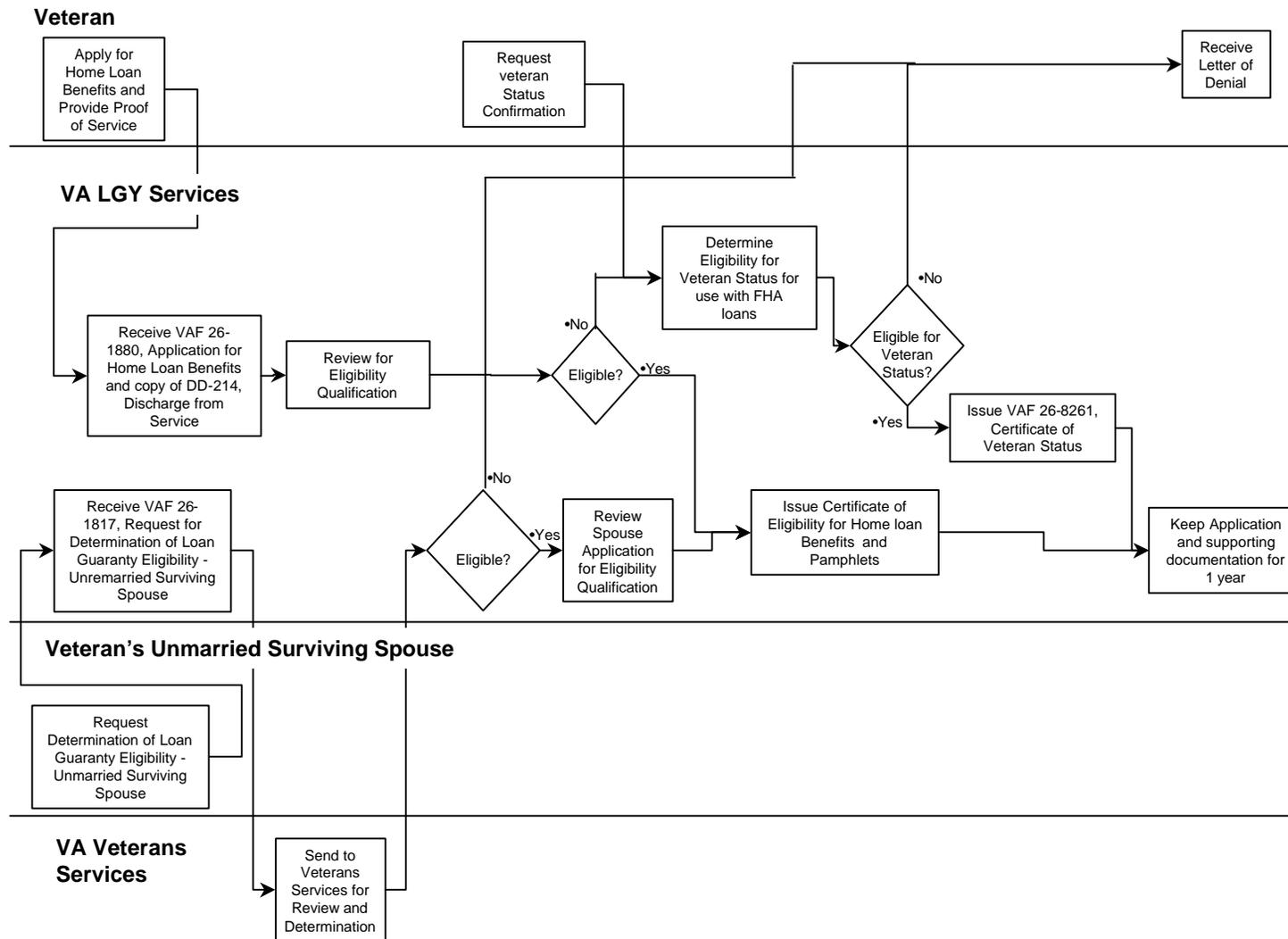


Figure 4-13: Loan Guaranty As Is Registration and Eligibility Process Flow (Part 1)

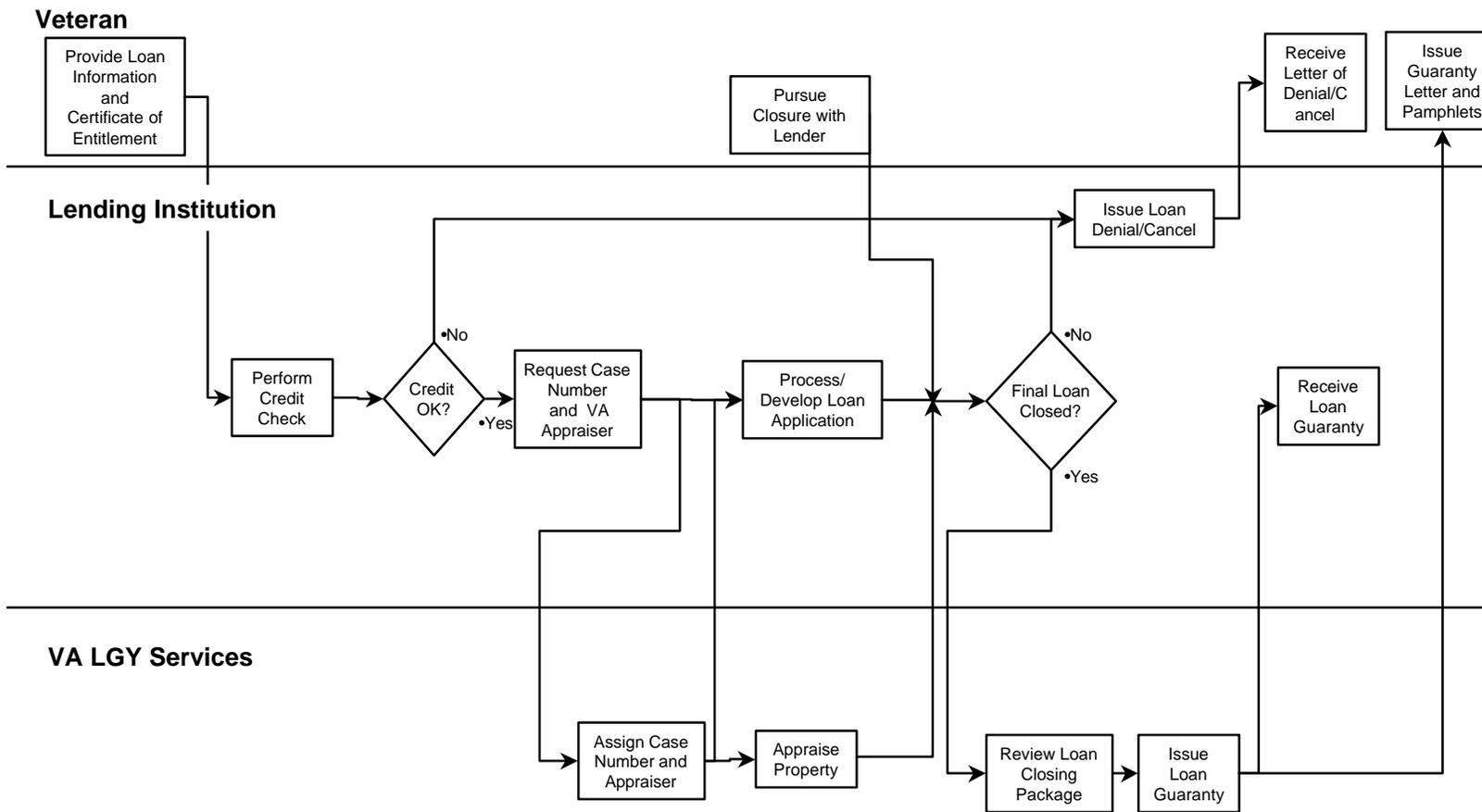


Figure 4-14: Loan Guaranty As Is Registration and Eligibility Process Flow (Part 2)

Table 4.16.3.6-1 - Loan Guaranty Registration and Eligibility

Activity Name	Input	Output	Control	Resource
Apply for Home Loan Benefits and Provide Proof of Service	<ul style="list-style-type: none"> • Veteran Personal Information • Service Information 	<ul style="list-style-type: none"> • Initial Application 		
Receive VAF 26-1880, Application for Home Loan Benefits and copy of DD-214, Discharge from Service	<ul style="list-style-type: none"> • Veteran Personal Information • Service Information • Initial Application 	<ul style="list-style-type: none"> • Received and Completed Application 		
Review for Eligibility Qualification	<ul style="list-style-type: none"> • Received and Completed Application 		LGY Manual 26-1	
Veteran Eligible?		<ul style="list-style-type: none"> • Eligibility Determination 		
Issue VAF 26-8320, Certificate of Eligibility for Home Loan Benefits and Pamphlets	<ul style="list-style-type: none"> • Eligibility Determination 	<ul style="list-style-type: none"> • Certificate of Eligibility 		

Table 4.16.3.6-1 - Loan Guaranty Registration and Eligibility

Activity Name	Input	Output	Control	Resource
Keep Application and supporting documentation for 1 year	<ul style="list-style-type: none"> • Veteran Personal Information • Service Information • Initial Application • Received and Completed Application • Certificate of Eligibility • Letter of Denial 	<ul style="list-style-type: none"> • Records of Veteran Application 		
Send Letter of Denial, and Certificate of Veteran Status (if applicable)	<ul style="list-style-type: none"> • Eligibility Determination 	<ul style="list-style-type: none"> • Letter of Denial (FL 26-611) 	LGY Manual 26-1	
Request for Certificate of Veteran Status Confirmation (VAF 26-8261a or VAF 26-1880)	<ul style="list-style-type: none"> • Veteran Personal Information • Service Information 	<ul style="list-style-type: none"> • Veteran Personal Information • Service Information • Request to VA 		
Determine Eligibility for Veteran Status for use with FHA loans	<ul style="list-style-type: none"> • Veteran Personal Information • Service Information • Request to VA 		LGY Manual 26-1	
Eligible for Veteran Status?		<ul style="list-style-type: none"> • Veteran Status Determination 		

Table 4.16.3.6-1 - Loan Guaranty Registration and Eligibility

Activity Name	Input	Output	Control	Resource
Issue VAF 26-8261, Certificate of Veteran Status	<ul style="list-style-type: none"> • Veteran Status Determination 	<ul style="list-style-type: none"> • Certificate of Veteran Status 	LGY Manual 26-1	
Request Determination of Loan Guaranty Eligibility - Unmarried Surviving Spouse	<ul style="list-style-type: none"> • Veteran Personal Information • Service Information • Beneficiary Information 	<ul style="list-style-type: none"> • Initial Application 		
Receive VAF 26-1817, Request for Determination of Loan Guaranty Eligibility - Unmarried Surviving Spouse	<ul style="list-style-type: none"> • Veteran Personal Information • Service Information • Beneficiary Information • Initial Application 	<ul style="list-style-type: none"> • Initial Application 		
Send to Veteran Service Center for Review and Determination	<ul style="list-style-type: none"> • Veteran Personal Information • Service Information • Beneficiary Information • Initial Application 	<ul style="list-style-type: none"> • Eligibility Determination 		
Eligible for Veteran Status?		<ul style="list-style-type: none"> • Eligibility Determination 		

Table 4.16.3.6-1 - Loan Guaranty Registration and Eligibility

Activity Name	Input	Output	Control	Resource
Review Spouse Application for Eligibility Qualification	<ul style="list-style-type: none"> • Veteran Personal Information • Service Information • Beneficiary Information • Initial Application 	<ul style="list-style-type: none"> • Reviewed and Completed Application 	LGY Manual 26-1	
Receive Letter of Denial	<ul style="list-style-type: none"> • Letter of Denial • (FL 26-611) 			
Provide Loan Information	<ul style="list-style-type: none"> • Veteran Personal Information • Loan Information 	<ul style="list-style-type: none"> • Loan Application 		
Perform Credit Check	<ul style="list-style-type: none"> • Loan Application 	<ul style="list-style-type: none"> • Credit Check Results 		
Credit OK?	<ul style="list-style-type: none"> • Credit Check Results 	<ul style="list-style-type: none"> • Initial/Preliminary Loan Approval 		
Request Case Number and VA Appraiser		<ul style="list-style-type: none"> • Veteran Personal Information • Loan Information 		
Assign Case Number and Appraiser	<ul style="list-style-type: none"> • Veteran Personal Information • Loan Information 	<ul style="list-style-type: none"> • Case Number 	LGY Manual 26-1	Appraiser
Process/ Develop Loan Application	<ul style="list-style-type: none"> • Loan Information 	<ul style="list-style-type: none"> • Final Loan Application 		

Table 4.16.3.6-1 - Loan Guaranty Registration and Eligibility

Activity Name	Input	Output	Control	Resource
Appraise Property	<ul style="list-style-type: none"> • Loan Information 	<ul style="list-style-type: none"> • Property Appraisal 		Appraiser
Pursue Closure with Lender		<ul style="list-style-type: none"> • Loan Information 		
Close Loan	<ul style="list-style-type: none"> • Loan Information • Property Appraisal 			
Final Loan Closed?		<ul style="list-style-type: none"> • Final Approved Loan Package • Denial 		
Review Loan Closing Package	<ul style="list-style-type: none"> • Final Approved Loan Package 	<ul style="list-style-type: none"> • Loan Guaranty Approval 		
Issue Loan Guaranty	<ul style="list-style-type: none"> • Loan Guaranty Approval 	<ul style="list-style-type: none"> • Loan Guaranty 	LGY Manual 26-1	
Receive Loan Guaranty	<ul style="list-style-type: none"> • Loan Guaranty 			
Issue Letter of Guaranty and Pamphlets	<ul style="list-style-type: none"> • Loan Guaranty 	<ul style="list-style-type: none"> • Letter and Pamphlets 	LGY Manual 26-1	
Issue Loan Denial	<ul style="list-style-type: none"> • Denial 	<ul style="list-style-type: none"> • Letter of Loan Denial 		
Receive Letter of Denial	<ul style="list-style-type: none"> • Letter of Loan Denial 			

4.16.3.7 Memorials and Burial

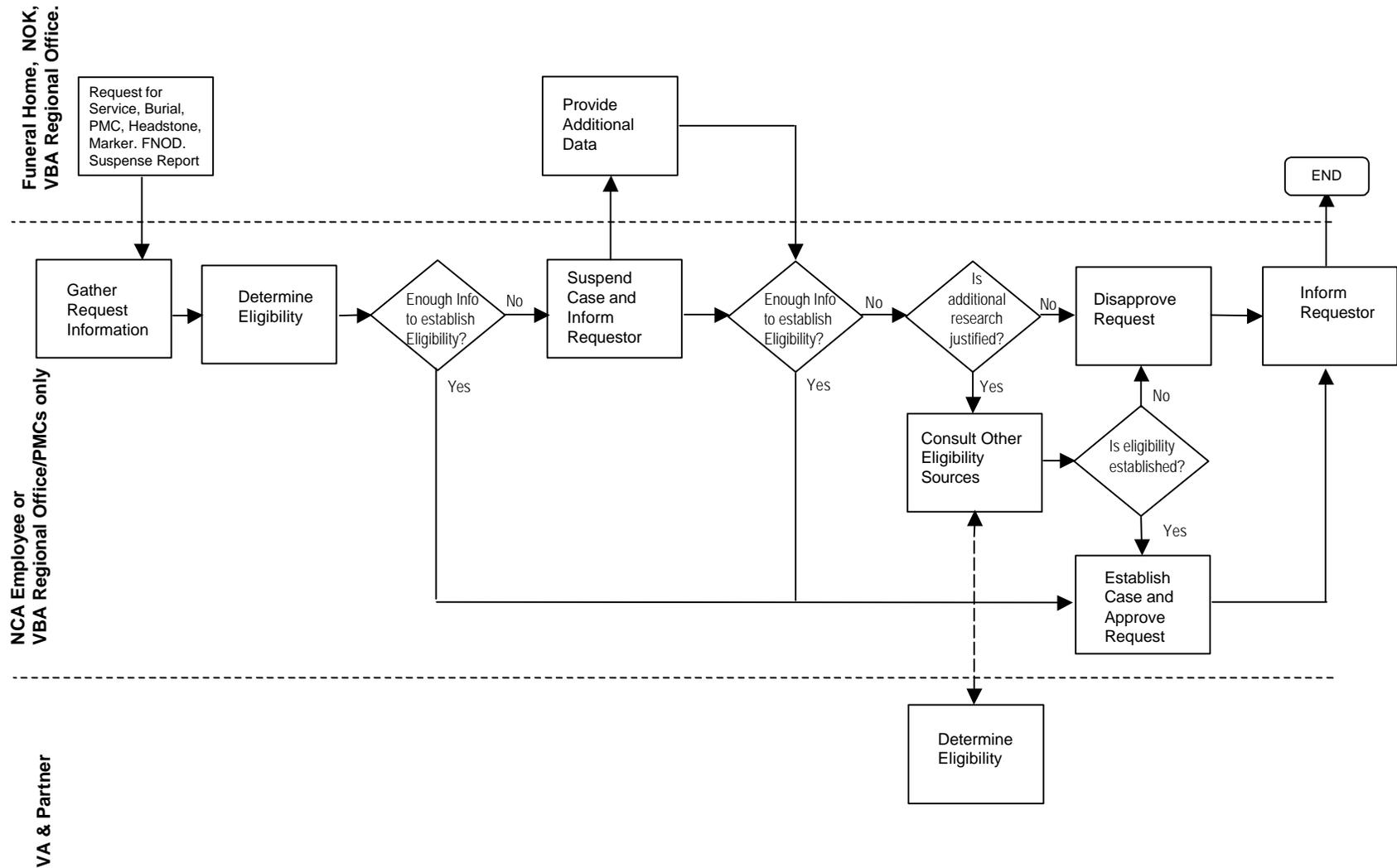


Figure 4-15: NCA As Is Registration and Eligibility Process Thread

The following table defines the Inputs, Outputs, Controls, and Resources for each Activity on the preceding process flow diagram. Each of these may be different for three different functions being performed: Burial in a National Cemetery, placement of a Government Marker or Headstone, or issuance of a Presidential Memorial Certificate, denoted BNC, GHM, or PMC, respectively in the table. In some cases the entry applies to all three functions, this is denoted by "All" or is not specified.

Table 4.16.3.7-1 – Memorials and Burials

Activity Name	Input	Output	Control	Resource
Request for Service, Burial, PMC, Headstone & Marker	<ul style="list-style-type: none"> • VA 40-1330 (application for Headstone & Marker;1-800 Calls • Direct Calls or Faxes • PMC Access Numbers • NCA Homepage, • Letters • Face to Face 	<ul style="list-style-type: none"> • Request 	<ul style="list-style-type: none"> • VA Strategic Goal 3: Honor & Serve Veterans in life and memorialize them in death for their sacrifices on behalf of the nation; • Public Law 90-43, (Establishment of National Cemetery System) (1973); Title 38 CFR, (Pensions and Veterans Benefits) 	<ul style="list-style-type: none"> • Family member, NOK. • Funeral home employee.
Gather Request Information	<p>All:</p> <ul style="list-style-type: none"> • Pre need qualification. • Veteran, family member, Next of Kin (NOK) information. 	<p>All:</p> <ul style="list-style-type: none"> • Application Information (Submitter's identifying information, point of contact (POC), initial POC if different from 	<p>All:</p> <ul style="list-style-type: none"> • VA Strategic Goal 3: Honor & Serve Veterans in life and memorialize them in death for their sacrifices on behalf of the 	<p>All:</p> <ul style="list-style-type: none"> • Family member, NOK. • NCA or VBA employee. • Funeral home employee.

Table 4.16.3.7-1 – Memorials and Burials

Activity Name	Input	Output	Control	Resource
		POC, NOK, decedent information, and requested cemetery).	nation; <ul style="list-style-type: none"> • Public Law 90-43, (Establishment of National Cemetery System) (1973); • Title 38 CFR, (Pensions and Veterans Benefits) • Security and Privacy. <u>BNC:</u> <ul style="list-style-type: none"> • NCA Strategic Goal: Ensure that the burial needs of veterans and eligible family members are met. • NCA Performance Measures: • - Percent of veterans served by a burial option within a reasonable distance (75 miles) of their residence; • - Percent of veterans served by a burial option only in a national 	

Table 4.16.3.7-1 – Memorials and Burials

Activity Name	Input	Output	Control	Resource
	<p>PMC:</p> <ul style="list-style-type: none"> • PMC Request. • First Notice of Death (FNOD) (VBA only). • Record of Internment (ROI) in BOSS. <p>GHM:</p> <ul style="list-style-type: none"> • VA 40-1330 • Record of Internment (ROI) in BOSS 	<p>PMC:</p> <ul style="list-style-type: none"> • Preliminary FNOD information in Target system. • PMC Information in Automated Memorial Application System (AMAS) case — PMC Schedule. <p>GHM:</p> <ul style="list-style-type: none"> • Scanned 40-1330 in Monument Application Scanning System (MASS) 	<p>cemetery;</p> <ul style="list-style-type: none"> • - Percent of respondents who rate the quality of service provided by the national cemeteries as excellent. <p>PMC:</p> <ul style="list-style-type: none"> • NCA Strategic Goal 2: Provide Veterans and their families with symbolic families of remembrance • Public Law 89-88; (1965) • NCA Customer Service Standard – will deliver PMC with 45 days of notification of death. <p>GHM:</p> <ul style="list-style-type: none"> • Public Law 80-87 (1948); • Public Law 107-103 (2001); • NCA Performance Measures: Percent of 	<p>PMC:</p> <ul style="list-style-type: none"> • VBA Adjudicator • VBA Hines Data Processing Center • NCA Memorial Programs Service at VACO <p>GHM:</p> <ul style="list-style-type: none"> • MPS Case Manager. • Monument Application Scanning System (MASS). • Automated

Table 4.16.3.7-1 – Memorials and Burials

Activity Name	Input	Output	Control	Resource
			graves in national cemeteries marked within 60 days of internment; Provide headstones and markers that are delivered undamaged and correctly inscribed 98% of the time. <ul style="list-style-type: none"> • NCA Strategic Goal 2: Provide Veterans and their families with symbolic families of remembrance 	Monument Application System (AMAS). <ul style="list-style-type: none"> • National Cemetery Employee
Determine Eligibility	All: <ul style="list-style-type: none"> • Application Information (Submitter’s identifying information, point of contact (POC), DD Form 214; initial POC if different from POC, NOK, decedent information, and requested cemetery). • Eligibility 	All: <ul style="list-style-type: none"> • Eligibility Determination 	All: <ul style="list-style-type: none"> • Security & Privacy. • Eligibility Criteria. • Title 38 CFR, (Pensions and Veterans Benefits) 	All: <ul style="list-style-type: none"> • NCA or VBA employee • BIRLS/IBBA

Table 4.16.3.7-1 – Memorials and Burials

Activity Name	Input	Output	Control	Resource
	<p>Information.</p> <p><u>PMC:</u></p> <ul style="list-style-type: none"> • BOSS FNOD Extracts. • Preliminary FNOD Information. • Veteran’s Information Folder and Supportive Paperwork. <p><u>GHM:</u></p> <ul style="list-style-type: none"> • 40-1330 or ROI in BOSS 	<p>BNC:</p> <ul style="list-style-type: none"> • Application in NCA Burial Operations Support System (BOSS). <p><u>GHM:</u></p> <ul style="list-style-type: none"> • New Case in AMAS 		<p>BNC:</p> <ul style="list-style-type: none"> • NCA Employee. <p><u>PMC:</u></p> <ul style="list-style-type: none"> • MPS (Memorial Program Service) employees • VBA Hines Data Processing Center. • VBA Adjudicator <p><u>GHM:</u></p> <ul style="list-style-type: none"> • BIRLS/IBBA • Automated Monument Application System (AMAS) History Screen.
<p>Establish Case and Approve Request.</p>	<p><u>All:</u></p> <ul style="list-style-type: none"> • Eligibility Verification. 		<p><u>All:</u></p> <ul style="list-style-type: none"> • Security & Privacy. 	<p><u>All:</u></p> <ul style="list-style-type: none"> • NCA employee. • BOSS.

Table 4.16.3.7-1 – Memorials and Burials

Activity Name	Input	Output	Control	Resource
		<p>BNC:</p> <ul style="list-style-type: none"> • Eligibility Determination Code in BOSS. • Committal Service scheduled in BOSS. <p>PMC:</p> <ul style="list-style-type: none"> • Finalized FNOD Record with PMC portion completed. • PMC in AMAS – PMC Schedule. <p>GHM:</p> <ul style="list-style-type: none"> • Approved Case. 		<ul style="list-style-type: none"> • MPS Case Manager. • VBA Adjudicator <p>BNC:</p> <ul style="list-style-type: none"> • NCA or VBA employee. • BOSS. <p>PMC:</p> <ul style="list-style-type: none"> • NCA employee. • VBA Adjudicator
Suspend Case and Inform Requestor.	<p>All:</p> <ul style="list-style-type: none"> • Incomplete application. 	<p>All:</p> <ul style="list-style-type: none"> • Notice to Requestor. • Suspended Case. 	<p>All:</p> <ul style="list-style-type: none"> • Eligibility criteria. 	<p>All:</p> <ul style="list-style-type: none"> • NCA Employee.

Table 4.16.3.7-1 – Memorials and Burials

Activity Name	Input	Output	Control	Resource
		BNC: <ul style="list-style-type: none"> • Committal Service Tentatively Scheduled. PMC: <ul style="list-style-type: none"> • Suspended Case. GHM: <ul style="list-style-type: none"> • Suspended Case. 		PMC: <ul style="list-style-type: none"> • VBA Adjudicator GHM: <ul style="list-style-type: none"> • MPS Case Manager.
Consult other Eligibility Sources.	All: <ul style="list-style-type: none"> • Application Information. • Additional Eligibility Information. 	All: <ul style="list-style-type: none"> • Eligibility Determination • Phone call or Letter requesting missing information. 	All: <ul style="list-style-type: none"> • Security & Privacy. 	All: <ul style="list-style-type: none"> • Requestor. BNC: <ul style="list-style-type: none"> • VA Regional Office or VA Records Processing Center. • NCA Hub Cemetery (DOD

Table 4.16.3.7-1 – Memorials and Burials

Activity Name	Input	Output	Control	Resource
	<p><u>PMC:</u></p>	<p><u>PMC:</u></p> <p>GHM:</p> <ul style="list-style-type: none"> • Pending Report. 	<p><u>PMC:</u></p>	<p>National Records Processing Center).</p> <ul style="list-style-type: none"> • NPRC (St. Louis) <p><u>PMC:</u></p> <ul style="list-style-type: none"> • VBA Adjudicator • • Veteran’s Information Folder. <p>GHM:</p> <ul style="list-style-type: none"> • MPS Case Manager. • BIRLS/ • IBBA.
<p>Disapprove Request</p>	<p>All:</p> <ul style="list-style-type: none"> • Eligibility Information. 	<p>All:</p> <ul style="list-style-type: none"> • Canceled Case/Request. <p>BNC:</p> <ul style="list-style-type: none"> • Completed Veterans Screen with “N” eligibility. 	<p>All:</p> <ul style="list-style-type: none"> • Security & Privacy. 	<p>All:</p> <ul style="list-style-type: none"> • NCA Employee. • All Pending Report.

Table 4.16.3.7-1 – Memorials and Burials

Activity Name	Input	Output	Control	Resource
		PMC: <ul style="list-style-type: none"> • Denied Request 		PMC: <ul style="list-style-type: none"> • VBA Adjudicator
		GHM: <ul style="list-style-type: none"> • Updated AMAS History Screen 		
Inform Requestor	All: <ul style="list-style-type: none"> • Eligibility Determination 	All: <ul style="list-style-type: none"> • Notice to Requestor. 	All: <ul style="list-style-type: none"> • Public Laws. 	All: <ul style="list-style-type: none"> • NCA Employee. PMC: <ul style="list-style-type: none"> • VBA Adjudicator

4.16.3.8 Medical Care, Education and Research

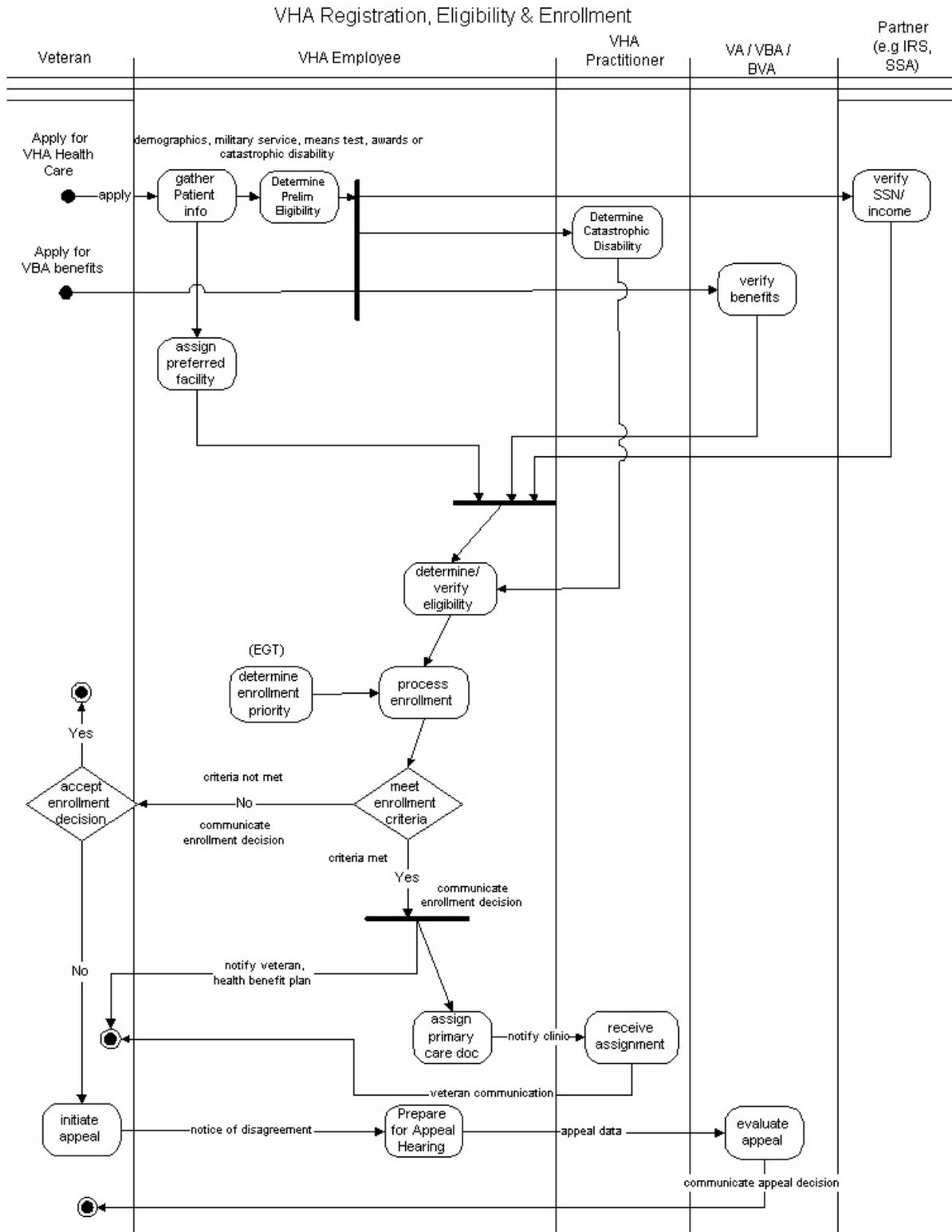


Figure 4-16: Medical Care, Education and Research As Is Registration and Eligibility Process Threads

Table 4.16.3.8-1 - Medical Care Registration and Eligibility

Activity Name	Input	Output	Control	Resource
Gather Patient Information	<ul style="list-style-type: none"> • Demographics • Military Service • VA Awards • Payer (Insurance Co.) • Means Test, • Diagnosis profile, • Preferred facility 	<ul style="list-style-type: none"> • Patient Demographics • Payer 	<ul style="list-style-type: none"> • USC Title 38 	<ul style="list-style-type: none"> • Employee (medical facility)
Determine Preliminary Eligibility	<ul style="list-style-type: none"> • Demographics • Military Service • VA Awards • Payer (Insurance Co.) • Means Test, • Diagnosis profile, • Preferred facility 	<ul style="list-style-type: none"> • Preliminary Eligibility decision 	<ul style="list-style-type: none"> • USC Title 38 	<ul style="list-style-type: none"> • Employee (medical facility)

Table 4.16.3.8-1 - Medical Care Registration and Eligibility

Activity Name	Input	Output	Control	Resource
Verify SSN & Income	<ul style="list-style-type: none"> • Demographics • SSN • Income (finance) 	<ul style="list-style-type: none"> • Verified SSN/Income 	<ul style="list-style-type: none"> • USC Title 38 • CFR • Privacy Act • Internal Revenue Code • FOIA • Public Law 99-272 • Circular 10– 90-10/53 • VHA Regulations/Directives 	<ul style="list-style-type: none"> • Employee (HEC, Medical Facility) • IRS/SSA
Assign Preferred Facility	<ul style="list-style-type: none"> • Demographics, Diagnoses Profile 	<ul style="list-style-type: none"> • Facility, Provider, Employee, Veteran 	<ul style="list-style-type: none"> • VHA Policies 	<ul style="list-style-type: none"> • Employee
Verify Benefits	<ul style="list-style-type: none"> • Demographics, Military Service Data, VA benefits 	<ul style="list-style-type: none"> • Military Service • Service Connection Disability • Awards • Release/ Discharge Information • C&P 	<ul style="list-style-type: none"> • VBA Directives 	<ul style="list-style-type: none"> • VBA Employee
Determine Catastrophic Disability (CD)	<ul style="list-style-type: none"> • Catastrophic disability request • Demographics 	<ul style="list-style-type: none"> • Clinical Observations 	<ul style="list-style-type: none"> • Public Law 104-262 • Title 38 • CFR • Millennium Bill • Public Law 102-585 title I 	<ul style="list-style-type: none"> • Employee • Care Practitioner (medical care facility)

Table 4.16.3.8-1 - Medical Care Registration and Eligibility

Activity Name	Input	Output	Control	Resource
Determine/ Verify Eligibility	<ul style="list-style-type: none"> • Demographics • Military Service • Means Test • CD results 	<ul style="list-style-type: none"> • Eligibility Information • Finance 	<ul style="list-style-type: none"> • Public Law 104-262 • VHA Directive 2001-074, • Millennium Bill 	<ul style="list-style-type: none"> • Employee (HEC)
Determine Enrollment Priority	<ul style="list-style-type: none"> • VA Policies • Regulations 	<ul style="list-style-type: none"> • Priority Group (EGT setting) 	<ul style="list-style-type: none"> • Public Law 104-262 • VHA Policies 	<ul style="list-style-type: none"> • Employee (HEC)
Process Enrollment	<ul style="list-style-type: none"> • Demographics • Eligibility Information • Priority Group 	<ul style="list-style-type: none"> • Enrollment Information, e.g., enrollment status, • Eligibility decisions • Health Benefit Plan 	<ul style="list-style-type: none"> • Public Law 104-262 	<ul style="list-style-type: none"> • Employee (HEC)
Assign Primary Care Doc	<ul style="list-style-type: none"> • Demographics • Diagnoses Profile 	<ul style="list-style-type: none"> • Care Practitioner • Veteran • Employee 	<ul style="list-style-type: none"> • VHA Policies 	<ul style="list-style-type: none"> • Employee (Medical Center)
Receive Assignment	<ul style="list-style-type: none"> • Care Practitioner Request • Facility 	<ul style="list-style-type: none"> • Care Practitioner • Veteran 	<ul style="list-style-type: none"> • VHA Policies 	<ul style="list-style-type: none"> • Employee (Medical Center)
Initiate Appeal	<ul style="list-style-type: none"> • Enrollment, Eligibility • Veteran 	<ul style="list-style-type: none"> • Appeal 	<ul style="list-style-type: none"> • USC Title 38 • CFR 	<ul style="list-style-type: none"> • Veteran

Table 4.16.3.8-1 - Medical Care Registration and Eligibility

Activity Name	Input	Output	Control	Resource
Prepare for Appeal Hearing	<ul style="list-style-type: none"> • Enrollment, and Eligibility decisions, Veteran demographics 	<ul style="list-style-type: none"> • Enrollment, and Eligibility decisions • Veteran demographics • Appeal package • Hearing schedule 	<ul style="list-style-type: none"> • USC Title 38 • CFR 	<ul style="list-style-type: none"> • Employee (medical facility)
Evaluate Appeal	<ul style="list-style-type: none"> • Appeal 	<ul style="list-style-type: none"> • Appeal/ Decision 	<ul style="list-style-type: none"> • USC Title 38 • CFR 	<ul style="list-style-type: none"> • Employee (BVA)

4.16.4 To Be Decomposition

The One-VA Enterprise Architecture team has developed an enhanced Registration and Eligibility Process that attempts to provide the maximum flexibility to the VA business and technology communities to better realize aspects of its critical vision. Among these are:

- It identifies a Register Potential Beneficiaries subfunction to enable outreach to potential beneficiaries and their earliest possible identification.
- It creates a Determine Earned Benefits subfunction to enable outreach with the capability of notifying veterans when they become eligible for VA benefits rather than waiting until they apply.
- It recognizes the complexity of the laws and regulations that the VA lines of business must comply with and develops the concept of a multi-threaded workflow subfunction to Determine Line of Business Eligibility to deal with the complexity in a single expert system and provides the capability to achieve economies of scale by sharing eligibility and registration services and data across VA.
- It develops an Initiate Benefits Per Program subfunction to enable the connection of eligibility that may be determined within VA lines of business unit personnel, to a case worker or veteran advocate who may work directly with the veteran across programs.

The benefits of this consolidated Registration and Eligibility Function are:

- It is flexible enough to give the VA business and technology communities maximum freedom to expand on the strategic concepts or to constrain them, as they deem appropriate.
- It is consistent with best practices in the private sector.
- It recognizes and attempts to implement all relevant VA Strategic Goals and Information Technology Strategies.
- It recognizes and attempts to satisfy all laws, regulations and VA policies.
- It reduces operating costs through the elimination or reduction of multiple, independent mechanisms for sharing data across the One-VA enterprise.
- It reduces or streamlines additional operating costs associated with sustainment of independent processes and systems where possible.
- It streamlines and consolidates interaction between VA and DoD/DEERS for maintenance and bi-directional exchange of Veteran information.
- It reduces required operational support costs at individual facilities (e.g. through economies of scale).
- It improves the quality of service to the veteran by eliminating the need to register at multiple facilities, and providing those facilities with a record of previous eligibility decisions improving consistency across the enterprise.

The following area describes the defined subfunctions for this redesigned process and the data classes associated with these subfunctions.

4.16.4.1 Subfunction 1: Register Potential Beneficiaries

This subfunction contains the process of listing potential VA beneficiaries.

Associated Data Classes		
Title	Description	CRUD
Potential Beneficiary	A potential beneficiary is anyone who has a reasonable claim to VA benefits by virtue of military service or other qualifying circumstances such as surviving spouse or surviving. This includes registration information provided by DoD/DEERS.	CRU
Registration Criteria	Laws, regulations and VA policies that specify the basic eligibility criteria for VA benefits.	R

Associated Data Classes		
Title	Description	CRUD
Veteran Advocate	A VA employee or other interested party who facilitates potential VA beneficiaries becoming eligible for and participating in VA benefits.	R
Registration Status	The determination that a potential beneficiary is or is not listed as a potential VA beneficiary.	CRU

4.16.4.2 Subfunction 2: Determine Benefits Earned

The Determine Benefits Earned subfunction is the process of determining potential VA benefits based on military service or qualifying events.

Associated Data Classes		
Title	Description	CRUD
Registration Status	The determination that a potential beneficiary is or is not listed as a potential VA beneficiary.	R
Time or Event Information	Information supplied to VA or requested by VA that specifies benefit-earning milestones, events or other circumstances that meet the threshold for qualifying a potential beneficiary for VA benefits. This is predominantly information sourced by DoD/DEERS.	CRU
Time or Event Criteria	Laws, regulations and VA policies that specify benefit-earning criteria for VA benefits.	R
Veteran Advocate	A VA employee or other interested party who facilitates potential VA beneficiaries becoming eligible for and participating in VA benefits.	R
Earned Benefit Information	The determination that a potential beneficiary has or has not met the threshold for qualifying for VA benefits.	CRU

4.16.4.3 Subfunction 3: Determine Line of Business Eligibility

The Determine Line of Business Eligibility subfunction is the process of determining an individual's qualification for VA benefits.

Associated Data Classes		
Title	Description	CRUD
Earned Benefit Information	The determination that a potential beneficiary has or has not met the threshold for qualifying for VA benefits.	CRU
Eligibility Information	Information supplied to VA or requested by VA that specifies eligibility criteria for a specific VA benefit within a VA line of business for a potential beneficiary.	CRU
Line of Business Criteria	Laws, regulations and VA policies that specify criteria for eligibility for a specific VA benefit within a VA line of business.	R
Veteran Advocate	A VA employee or other interested party who facilitates potential VA beneficiaries becoming eligible for and participating in VA benefits.	R
Eligibility Status	The determination that a potential beneficiary is or is not eligible for a specific VA benefit within a VA line of business.	CRU

4.16.4.4 Subfunction 1.4: Initiate Benefits Per Program

The Initiate Benefits Per Program sets of subfunctions are the processes of initiating eligible beneficiaries' participation in specific VA programs. Each program has its own version of this subfunction, using business rules particular to the individual program.

Associated Data Classes		
Title	Description	CRUD
Eligibility Status	The determination that a potential beneficiary is or is not eligible for a specific VA benefit within a VA line of business.	R
Initiation Information	Information supplied to VA or requested by VA that initiates a benefit within a VA program for an eligible beneficiary.	CRU
Initiation Criteria	Laws, regulations and VA policies that specify criteria for initiating a specific VA benefit.	R
Veteran Advocate	A VA employee or other interested party who facilitates potential VA beneficiaries becoming eligible for and participating in VA benefits.	R

Associated Data Classes		
Title	Description	CRUD
Benefit Status	The determination that a specific VA benefit is or is not initiated.	CRU

4.16.5 To Be Process Flow Diagram

The following diagram depicts in a process flow diagram how the subfunctions defined in the previous subsection are related in the overall target Registration and Eligibility function.

The left-hand column, titled 'External,' consists of actions that are performed external to VA, e.g., by a beneficiary or their representative, or by information sourced from and/or provided to the Department of Defense through integration with the DEERS system. The next column, 'General Eligibility,' contains those subfunctions that contain activities applicable across all VA programs. The third column, 'Specific Eligibility,' contains activities where detailed knowledge of a specific line of business is required. The fourth column, 'Initiation,' contains activities that initiate delivery of benefits.

The rows in the figure classify activities into the general categories of 'Registration,' 'Eligibility,' and 'Initiation.'

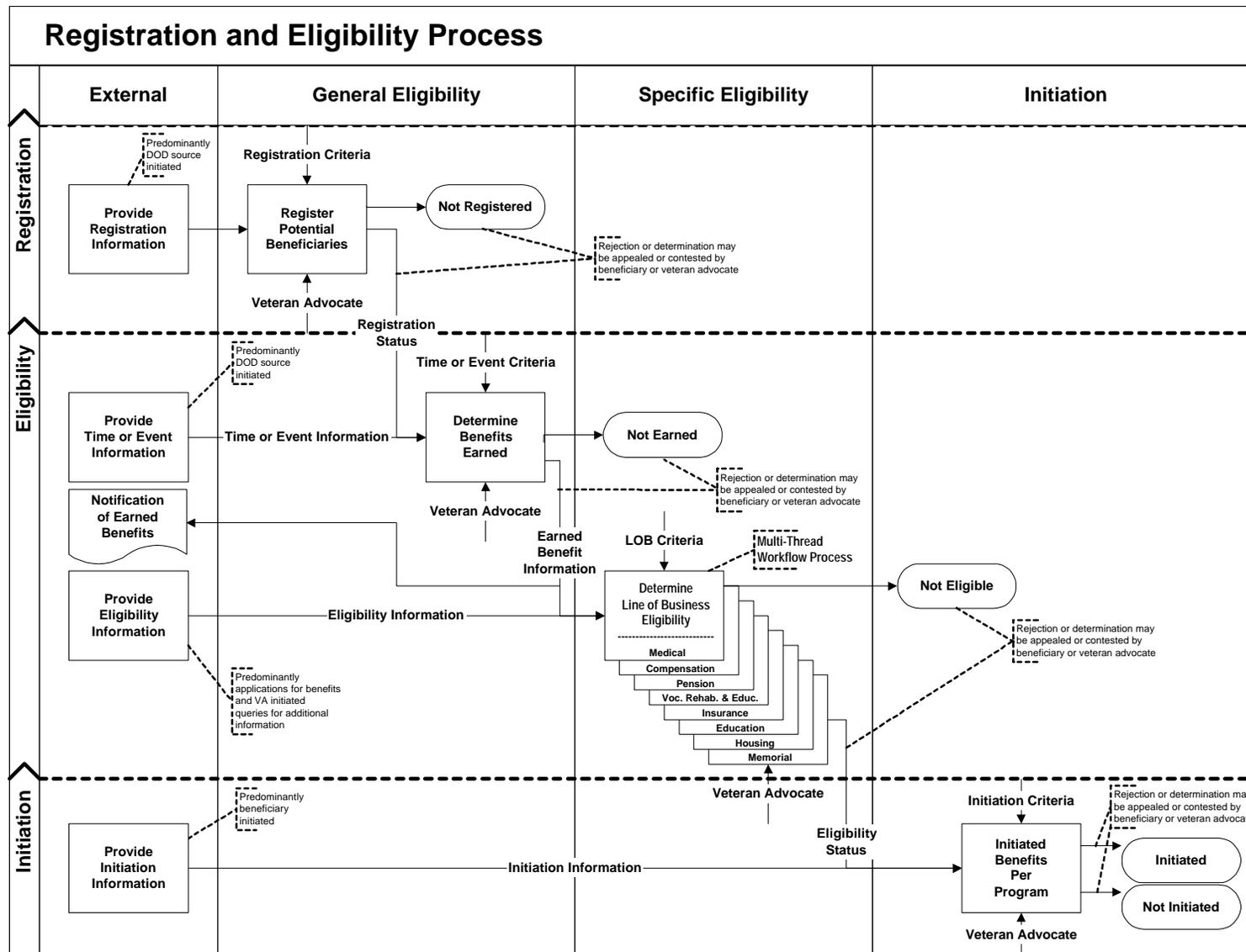


Figure 4-17: To Be Registration and Eligibility Process

4.16.6 Functional Allocation

Implementation of the target Registration and Eligibility Process is not currently underway in any specific VA program. However, as noted above, the Registration and Eligibility Process is duplicated in numerous existing programs because it is a fundamental activity of virtually all VA services in each line of business. Therefore, the Registration and Eligibility Process is not allocated to any existing baseline, but is identified as a required new effort within the VA enterprise.

4.17 Functional Consolidation and Integration Opportunity: Contact Management

An Enterprise Architecture review of Contact Management consolidates the various practices within the department into a single approach. Developing a “One-VA” Contact Management function is strategic in order to provide a “One-VA” face to the veterans it services. Contact Management will govern the significant touch points through which the veteran relates to VA. With improved process, better cross administration collaboration, common information and flows, advanced scripting and increased self service offerings, VA can support more veterans faster, more consistently, more efficiently, and with a higher degree of veteran satisfaction.

Contact Management highlights an important opportunity for building greater flexibility and quality into VA services and applications, and at a reduced operating cost. Contact Management reduces long term costs through elimination of duplication of systems and services and centralization of operational support (e.g., through economies of scale). The Contact Management function will also support the enabling goal related to One VA as recorded in the VA Strategic Plan, FY 2001-2006.

4.17.1 Approach

The approach taken to define a Contact Management function was to develop sample process flow diagrams that represent typical “as is”, or baseline, operation across VA business operations. The collection of process flow diagrams represents a set of ‘vertical’ views of how VA currently performs Contact Management. The process flows are presented in Figures Figure 4-18 through Figure 4-21.

The next step was to review each of the process flow diagrams to determine what subfunctions were (or should be) common across the enterprise, and to identify any subfunctions that are unique to a particular line of business. The resulting “to be”, or target, process flow diagram is thus a ‘horizontal’ view of a Contact Management function for the enterprise, which still preserves aspects that are unique to a line of business.

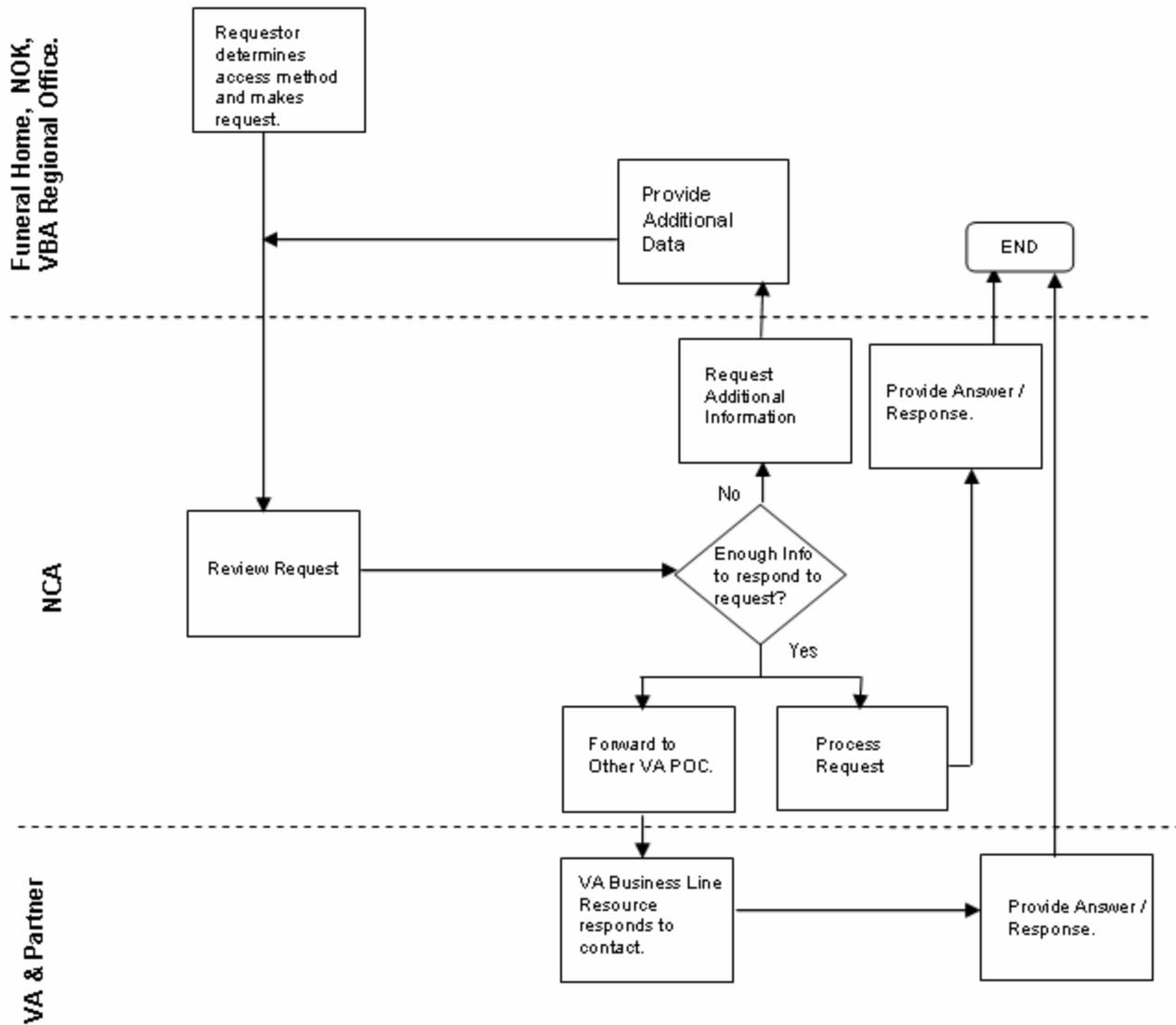


Figure 4-18: NCA (As Is) Contact Process Thread

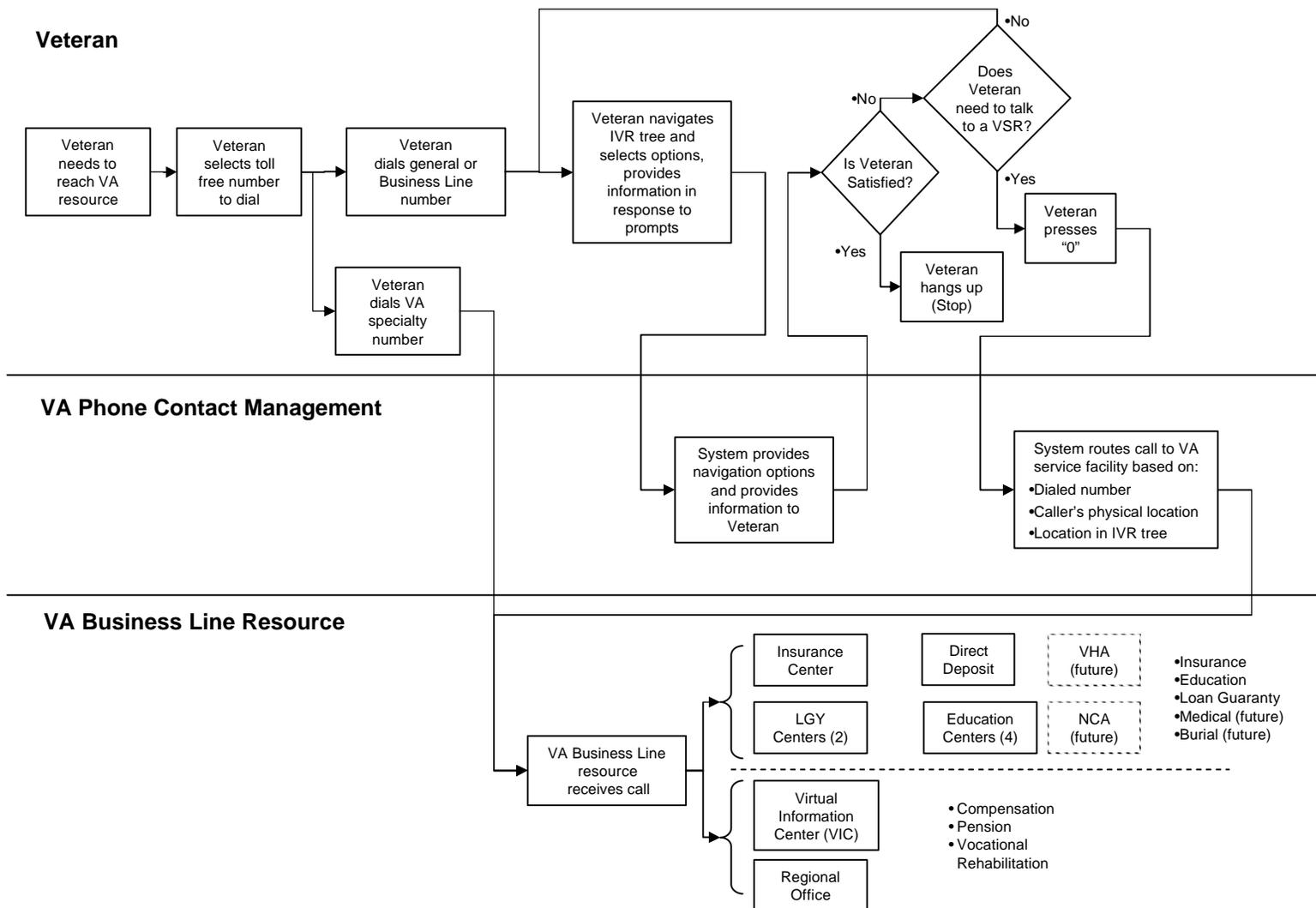


Figure 4-19: VAVBA Call Center Flow

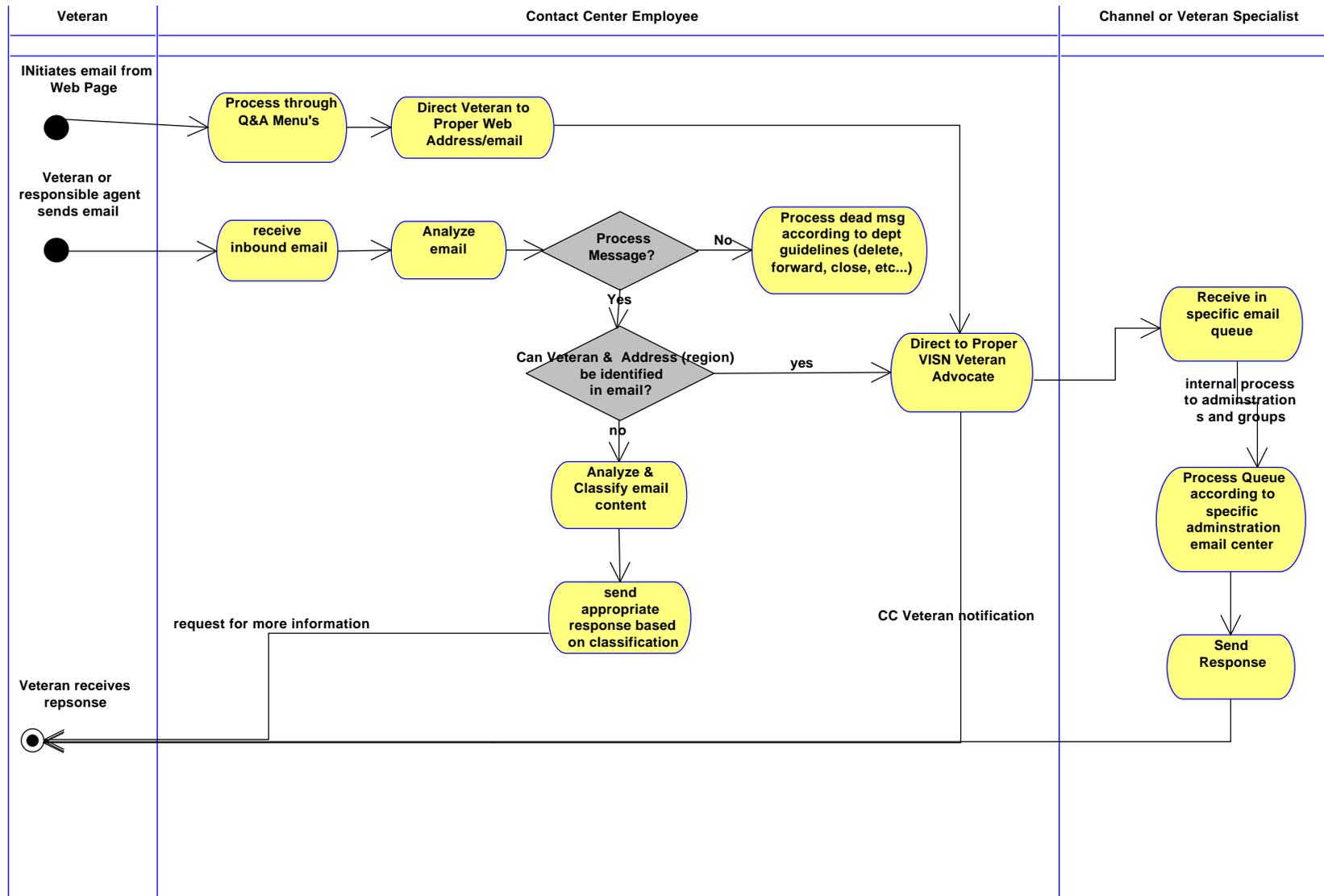


Figure 4-20: VHA Email Contact “As-Is” Example

4.17.2 Enterprise To Be Contact Management Functionality

The Contact Management Functions involves several functions and sub functions. These functions can be grouped in three evolving states of interaction with the customer:

1. **Initiate Contact:** The process and associated activities for initiating contacts
2. **Service Contact:** Direct activities to resolve remaining contacts
3. **Assure Quality:** Monitoring and reporting of customer services activities

4.17.3 Contact Management Functions:

The functions in the following table are the functions that appear to the To Be Functional Dependency Diagram of the next subsection. Most functions have subfunctions described to provide more detail about the function. Subsection 4.17.5 shows a process flow for the case of an inquiry about the status of a claim; that process flow is defined in terms of the subfunctions described in this table.

Function	Subfunction	Description
Contact VA		The process and associated activities for initiating contacts.
Receive Contact		The process of identifying, classifying, routing, retrieving and logging contacts from VA customers.
	ID customer	The process of identifying and verifying the customer making the contact.
	Classify contact	Analyze or gather additional information to start the routing process.
	Retrieve history	Retrieve Customer identifying information and relevant history

Function	Subfunction	Description
	Log contact	Entry of information about this contact into a central log that is part of the history related to a customer. The log includes the list of contacts received from customers or initiated by VA with customer. Records inbound and outbound contacts.
Respond to customer		The activities associated with servicing the customer contact.
	Resolve issues	The process of answering the majority of contacts; this subfunction includes generalists and experts to service the contacts.
	Route contact	Send contact and possible collaboration across business lines and levels of expertise.
	Follow up with customer	Respond to additional or deficient customer information
Manage Contact Workflow		Oversight of workload functions, including resource distribution and analysis.
	Monitor contact workflow	Analyze information related to the contact management process flow.
	Analyze contacts	Review and summarize information collected by customer contacts.

Function	Subfunction	Description
	Provide reports/patterns	Generate and distribute reports that detail contact patterns, frequency, response time, error rates, and support any service performance management initiatives. These periodic reports should provide detailed analysis of customer behavior and effectiveness of VA response.
	Collect metrics	Collect information to monitor contact management performance efforts.
	Manage resources	Manage and apply resources strategically relative to contact workloads, preplanned business events, or handle any emergency situations.
Provide Expert Response		The process of validating or providing expert input by providing business line expertise. The process may not be required for some responses.
	ID customer	The process of identifying and verifying the customer making the contact.
	Reclassify contact	Analyze or gather additional information to start the routing process
	Collaborate across Lines of Business	Working with generalist and specialty to provide the best responses to customer contacts.

Function	Subfunction	Description
	Reroute contact	Send contact and possible collaboration across business lines.
Assure Quality		Monitoring and reporting of customer services activities.
	Conduct veteran satisfaction surveys	Formulate and administer surveys to veterans and other customers to ensure our efforts meet their expectations.
	Recommend improvements	Process that takes metrics, internal feedback, surveys and other factors into account and makes recommendations to change scripts, internal process, knowledge engines, etc to improve contact management processes.

4.17.4 To Be Functional Dependency Diagram

The following diagram depicts the dependencies and relationships between the major Contact Management functions defined in the previous subsection.

The left-hand column, titled 'Customer,' consists of actions that are performed external to VA, e.g., by a veteran, dependent, beneficiary or their representative. The next column, 'Contact Management,' contains those subfunctions that contain activities applicable across all VA programs. The third column, 'Subject Matter Expert' contains activities where detailed knowledge of a specific line of business is required.

The rows in the figure classify activities into the various states of a contact: 'Initiate Contact', 'Service Contact', and 'Assure Quality'.

'Initiate Contact' encompasses all contacts that start with the veteran, beneficiary or veteran representative. The contact includes all forms of current communication (phone, letter, email, fax, and face-to-face) and possible future communication (internet, electronic self service, chat, Instant Messaging (IM), etc...). Once a contact is established, it will be tracked in a common customer driven function where all such contacts are classified and uniformly available to all appropriate VA employees servicing veteran issues and benefits. At that point Contact Management begins to service the contact and through tiered levels of support, advanced scripting, knowledge engines, on-line self-service expert engines, and/or electronic phone dialogues attempts to fully respond to the majority of inquiries. This emphasizes the need for a

certain level of Subject Matter Experts (SMEs) performing contact management services and support. These SMEs should not be involved in the initial contact phase but should be brought in as appropriate as a scarce resource. However, this does not preclude veterans or others from contacting SMEs directly once they have established a communication line with the SMEs. SMEs would be responsible to update the contact log. Contact Management SMEs resolve issues only when it is determined by tier-one generalists that the issue involves such expertise. Some of this routing (depending on the contact medium) might be transparent to the customer, or at least to what is referred to as a hot transfer, where the SME also has online access to the current contact context. The overall framework of the VA Contact Management function to ensure use of common business processes and tools, contact tracking, and service quality will govern interactions between SMEs and veterans.

The Contact Management SME may need to involve greater expertise or even collaborative support across administrations; in such cases the SME can involve “line of business” SMEs to facilitate resolution. The entire process can be managed by intelligent workflows to assure consistency and thoroughness. The Workflow function also collects metrics, reporting and other relevant statistics to feed the ‘Assure Quality’ function

The ‘Assure Quality’ function manages satisfaction surveys. Best practices in the industry substantiate that an optional survey collected immediately after a resolved contact offers the most accurate customer satisfaction response. Often, responses collected weeks or months after contact are less helpful to the organization in terms of process improvement. Analysis of the surveys, Contact Management metrics (both infrastructural (technical and hardware) and interaction statistics) and Call Management employee feedback are used to improve the knowledge base, scripts, current business processes, and other factors. This is seen as a repeatable process that will involve constant improvement of VA’s ability to service their customer.

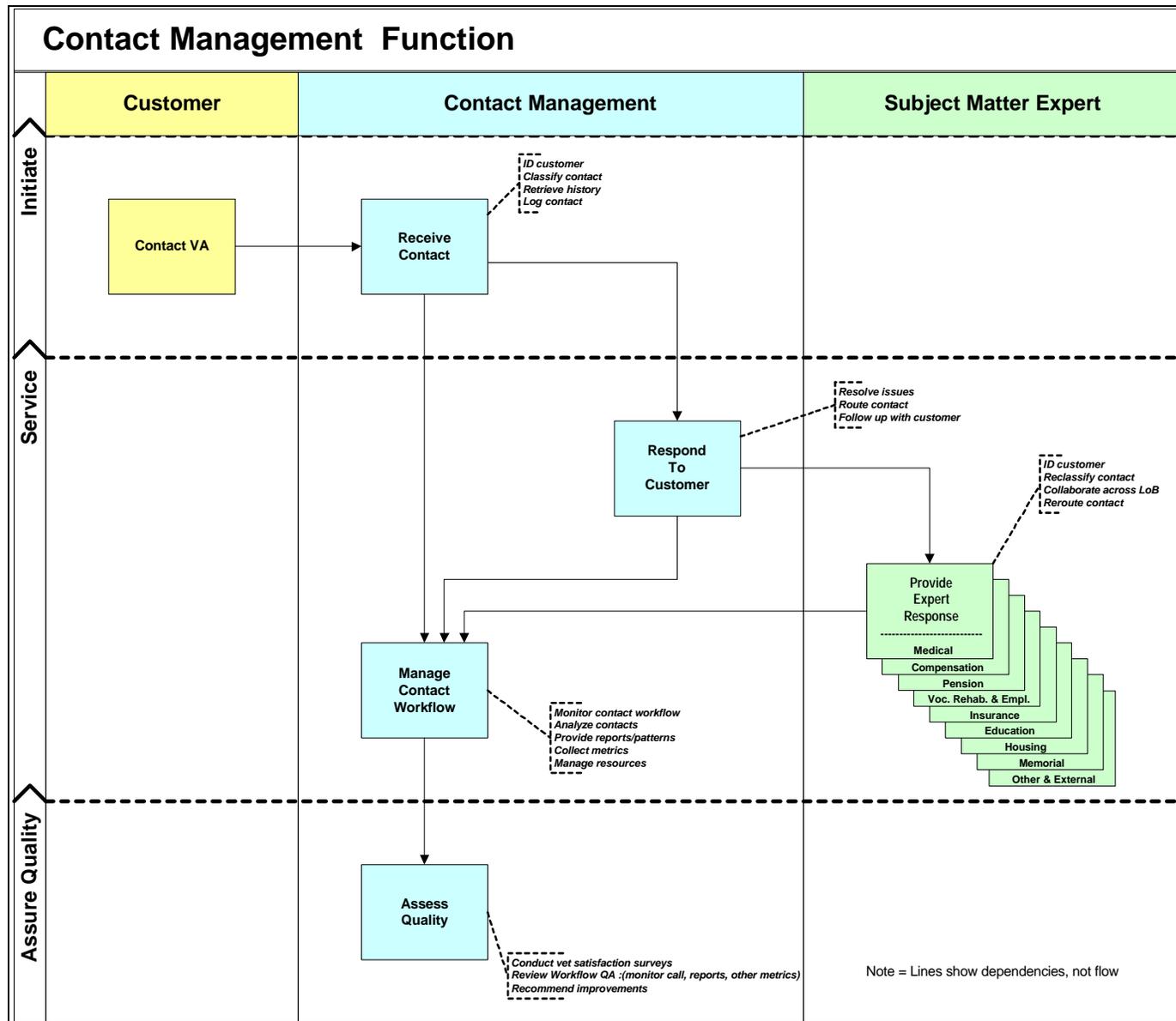


Figure 4-22: Contact Management To Be Functional Dependency Diagram

4.17.5 Contact Management Process Flow: What is the status of my claim? (Inbound)

The defined functions and subfunctions can be invoked in multiple combinations to support different process flows for different purposes. The following diagram depicts the To Be process flow, defined in subfunctions, for the case where a customer contacts VA to determine the status of an existing claim.

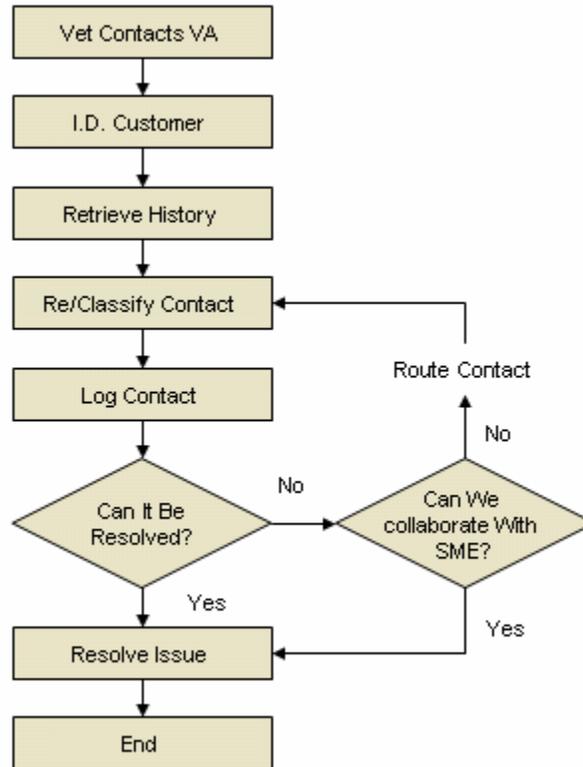


Figure 4-23: Generic VA To Be Process Flow

4.17.6 Key High Level Data

The information required to support One-VA Contact Management consists of personal information about the applicant, relevant Registration, Eligibility and Enrollment information, and information from various support systems that contain data relevant to quality contact management from the customer's (e.g., Veteran's) perspective. These data items are described at a high level in previous sections. Data Classes relevant to Contact Management are described in the following table:

Associated Data Classes		
Title	Description	CRUD
Appeals	Customer contacts as a result of activities in the VA Appeals Process.	RU

Associated Data Classes		
Title	Description	CRUD
Business Line Feedback	Feedback to VA management and business lines as appropriate to manage the Contact Management Function and overall responsiveness to veterans.	CRU
Business Line Subject Matter Expert	A VA employee who provides VA Contact Management with expert input to validated and complete courteous, prompt, pertinent and accurate information as a result of a contact.	RU
Contact Log	The list of contacts received from customers or initiated by VA with customers.	RU
Contact Management Policies and Procedures	VA policies and procedures that direct and inform VA Service Representatives in the receiving, logging, verifying, classifying and routing contacts from VA customers.	R
Contact Management Subject Matter Expert	A VA employee who provides VA customers with courteous, prompt, pertinent and accurate information as a result of a contact.	RU
Customer	A potential beneficiary is anyone who has a reasonable claim to VA benefits by virtue of military service or other qualifying circumstances such as surviving spouse or surviving dependent.	CRU
Expert Input	The validation or input requested by a routed contact.	CRU
Follow-Up	Action taken to determine the status of an unresolved contact after a specified period of time.	CRU
Laws, Regulations, VA Policies and Procedures	Laws, regulations, VA policies and procedures that direct and inform VA Contact Management Subject Matter Experts in responding to customer initiated contacts or VA initiated out-reach contacts.	R
Registration and Eligibility	Customer contacts as a result of activities in the VA Registration and Eligibility Process.	RU

Associated Data Classes		
Title	Description	CRUD
Routed Contact	The determination of the appropriate routing of a contact.	CRU
Service Representative	A VA employee who facilitates VA customers getting courteous, prompt, pertinent and accurate information as a result of a contact.	RU
Scripts	A series of informational responses and flows that aid in automating and providing consistent customer service to the enterprise.	R
Complaints and Issues	Tagged and classified description of customer interaction involving dissatisfaction with VA service or benefit and other descriptions that aid in establish the customer perspective.	CRU
Veteran Personal Data	All personal information for a veteran used in supporting benefits distribution including, but not limited to: <ul style="list-style-type: none"> • Name and address • SSN • Current occupation • Salary and financial information • Family/dependents • Marital status • Medical status • Disability Status • Death information 	R
Service Data	Information on a veteran's service record provided by DOD (e.g., DD214 or equivalent), and provided to VA by other sources (frequently during development or claims)	R
Guardian information	<ul style="list-style-type: none"> • Court proceedings of guardianship • Field examinations • Appointment and bonding of fiduciaries • Annual accountings • Records of supervisory visits and how the visit was conducted • Estate information 	R

Associated Data Classes		
Title	Description	CRUD
Veteran Dependent Data	All personal information for a veteran's dependents and family members used in supporting benefits distribution including, but not limited to: <ul style="list-style-type: none"> • Name and addresses • SSN • Relationship to veteran • Medical status 	R
Veteran Medical Records	Information on the state of a veteran's health, prior medical history, prior care and procedures, available from DOD, VA/VHA, and other sources [refer to the Medical Care function].	R
Account Information	Specific information related to a veteran's account with a VA program, which is used to support the delivery of services to the veteran and management of the overall program. Information will include (where appropriate): <ul style="list-style-type: none"> • Name (identity) of the veteran (to link to personal data) • Case/account number • Name (identity) of beneficiary • Veteran contact history • Eligibility determination information • Benefit entitlement information • Payment information and history 	R
Case Information	Detailed information on VA employee and office involvement in the treatment and resolution of a veteran's case in a benefits decision (used for STAR sheets)	R

4.17.7 VA Enterprise Opportunities

For maximum impact for the customer, Contact Management must take maximum advantage of available Department-level shared resources, and to support other EBFs and KEFs. Even considering that this document reflects among the earliest identification of such sharing opportunities, the benefits in leveraging these capabilities and future capabilities are already evident. A Contact Management effort can utilize several of these initiatives as part of its development and maturation. A capsule synopsis of reuse opportunities is presented in the following table.

Key Enabling Function (Allocated Functional Baseline)	Relationship of Contact Management (CCM) to EBF/KEF	Descriptive Comments
Health Data Repository	Strong dependency	Many interactions through the CCM can revolve around health information about the customer.
Telecommunications and Infrastructure Improvement	Strong dependency, function supports CCM	There is a strong dependency involved with the telecommunications and infrastructure capabilities. CCM deployment depends on the various telecom deployments.
Security	Strong dependency, function supports CCM	Department level security measures and the infrastructure supporting them will provide the foundation necessary to address many infrastructure-oriented security needs of the CCM program. Access to sensitive data for the purposes of Contact Management by VA staff, and ensuring that the person being contacted is also authorized to receive the information is an example of a critical interaction between these capabilities.
Data Center / Continuity of Operations	Strong dependency, CCM presupposes availability of data	Many of the foreseeable capabilities require 24x7 availability and presume a solid infrastructure architecture for feasibility.
Registration, Eligibility, Enrollment	Strong dependency, the functions support each other; multiple benefits programs (EBFs) involved	Given that the CCM has a co-dependency upon this information, this initiative provides an authoritative source for this information and ensures that VA is supporting veterans consistently with Department records.

The opportunity for Contact Management offers many benefits to the veteran. As the veteran community becomes increasingly Internet savvy, web self-service capabilities can be exploited to alleviate manual Contact Management activity and respond to many veteran questions efficiently. Re-directing some of the customer population should improve other processing areas that are often brought in to respond to veterans common issues; such resources will have more

time to devote to those areas or in handling the more complex issues requiring such expertise and care. Integration of contact information will help assure better responses to the veteran by giving VA employees accurate interaction history, more tools to respond to the veteran, easier collaboration across lines of business, and a plan to constantly improve internal processes.