DRAFT

Digits-to-Digits (D2D) Electronic Claims Submission Service

Executive Summary

September 26, 2012

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1.   Purpose

An enterprise Digits-to-Digits Electronic Claims Submission Service (henceforth referred to as D2D) that will provide a common access point to standardize, centralize, and integrate the universal collection of Benefits Claim Forms and supporting evidence data to produce a streamlined, paperless Veteran/Service member-centric claims process..

2.   Overview

A large number of Veteran claims and evidence is submitted and managed by accredited partners acting on behalf of Veterans by way of a Power of Attorney (POA) relationship. Currently, all of accredited partner managed claims and evidence is sent as paper submissions to VA. To better manage Veteran claims, many of the large Veteran Service Organizations (VSOs) and U.S. Departments of Veteran Affairs at the State Level (USDVA) organizations have partnered with software vendors to develop/implement claims management systems that enable them to perform the following:

- Capture information for a wide range of claim types

- Track benefits other than those provided by VA (e.g. benefits provided by States)

- Reporting on the following items: progress of work, staff skills & certifications, and trends

- Provide a workflow tool for those who are working directly in support of Veterans to file claims and or apply for benefits

While the claims data is captured electronically in these claims management systems, VA does not offer a mechanism to enable the accredited partners to submit the claims and associated evidence electronically into VA systems. For accredited partners that have claims management systems the lack of such a capability imposes the following costly process on accredited partners, as well as the VA staff receiving these paper submissions:

Process Steps	Costs incurred
• Accredited Partners must print documents and forms	Paper and ink cost
• Accredited Partners sends these paper documents by mail to the VA Regional	Postal cost

Office (RO)	
• RO staff perform the following	
o Make additional copies	Paper and ink cost
o Place them in a paper folder	Time and storage costs
o Scan / upload all the documents supporting the claim into the relevant document storage system	Time cost to manually scan and upload
o Enter the form data into a VA system	Time cost

The goal of the D2D project is to enable accredited partners to perform the following:

- Submit claims and documents digitally to VA system

- Enable the claim to be automatically established

- Automatically upload the associated documents and evidence to the Veterans eFolder or document storage repository

- Notify the correct Station of Jurisdiction (SOJ) that a claim folder or eFolder is available to be worked

- Notify the VSO of successful submissions and provide errors, if applicable, during submittal

3.   Customer and Primary Stakeholders

The primary VA stakeholders for this request are Leo Phelan, Director of the Veteran Relationship Management (VRM) Major Initiative; Robert Reynolds, Director of Benefits Assistance Services (BAS); and Thomas Murphy, Director of the Compensation Service for VBA. Additional VA stakeholders include the sponsors and management for the VLER Major Initiative and the Veterans Benefits Management System (VBMS) Major Initiative.

Stakeholders that are external to VA for the D2D effort include, but are not limited to, the following Veteran support partner organizations that have a claim management system:

- Veterans Service Organizations (VSO) – VSOs are committed to programs within communities, advocating for patriotism, promoting strong national security, and defending the services and benefits due to our nations Veterans, Service Members, their families and beneficiaries. In addition to securing benefits for our Veterans, these not-for-profit

organizations hold tremendous political influence which is perpetuated by their involvement in the legislative process from the local level to Capitol Hill

- <u>U.S. Departments of Veteran Affairs at the State Level (USDVA)</u> - The State Department of Veterans Affairs advocate, counsel and serve Veterans, their dependents and survivors in securing benefits and services provided by federal and state laws;
- <u>County Veterans Service Organizations (CVSO)</u> - The CVSO applies the laws that have been passed at the county, state and federal levels. They are required to know the rules and regulations adopted by the Department of Veterans Affairs to clarify and implement laws on behalf of Veterans (county residents), their dependents and beneficiaries in an effort to secure benefits and services;

For brevity, this document will refer to this collective stakeholder group as 'accredited partner.'

4.   Scope

D2D will be a data delivery service that enables accredited partners to electronically submit data and related attachments from their claim management systems to VA systems using a standardized and centralized method. Highlights of the D2D Electronic Claims Submission Service include but are not limited to:

1. Provide a secure, integrated gateway via the VLER framework where:

   a. Partners can submit claims and evidence for those Veterans claims that they have the authority to represent via a POA and with a Memorandum of Understanding (MOU) in place with the VA.

   b. Access standards and data specifications for transmitting forms and associated documents will be published and available for use by all partners that have a signed MOU with the VA.

   c. New and updated forms support across all the VBA Lines of Business (LOB) using a standards National Information Exchange Model (NIEM) based technical specification to ensure adherence to VA regulations and policies in a timely and efficient manner

2. Integrate with Stakeholder Enterprise Portal (SEP) to provide detailed reporting on the status of claims that will provide the Veteran with a self-service channel for claim status information.

Specifically, D2D will enable the partner system to send VA forms data to VA system where data will be ingested based on the form and the applicable business rules for the form.

Benefits

The D2D Service will improve the disability benefit claims process by reducing the time required to submit, establish, and upload claim documentation for a claim. By standardizing the way data is submitted and providing a centralized means of accepting electronic forms submissions will result in more reliable and consistent information for VBA to use in the disability benefits claims adjudication process. One of the primary goals for D2D is to remove

the requirement for submitting paper or scanned version of claims individually. D2D will yield the following benefits:

- Establish an efficient mechanism for accredited partners to submit claims data;

- Improve the quality and timeliness of accredited partner claim submission by eliminating duplicate entries;

- Enhance awareness of claims processing status among all involved parties; and

- Eliminate gaps in information or data records with a common access point for collection and documentation of claims (*Note that the initial release is focused on compensation disability claims.*)

Development of D2D supports VA's priority goals of eliminating the disability claims backlog, increasing Veteran access to services and benefits, and helping to end Veteran homelessness by more rapidly and accurately providing the benefits to those who need them the most. The D2D capability will provide a centralized infrastructure that will establish controls for a more cost-effective workload management process. It will also provide the flexibility to support transformation changes for VA's electronic ingestion of benefits claims. D2D, in conjunction with the SEP project, supports the long-term vision of the 21st Century VA to enable convenient seamless interactions among the VA, Veterans, and those that assist the Veterans in applying for well-deserved disability and other benefits.

5. Goals, Objectives and Outcome Measures

Goal/Objective	Desired Outcome	Measurement	Impact
Enable claims and evidence to be accepted electronically to VA in accordance with standards and specifications	Claim and evidence data are received as computable data and stored in a database consumable by the benefits claim processing system(s).	Reduce the number of documents which have to be scanned manually and uploaded by RO	Reduce RO manual processes.
Integrate claims submitted through D2D with downstream benefits claims processing	D2D integrates with VA automated workflow improvements.	Reduce claims processing time	Pay Veterans' claims more promptly.
Maintain claim and evidence in electronic form throughout internal VA systems	Electronic format of claim will facilitate universal access to claims that will facilitate claims load balancing across ROs.	Reduce the number of paper claims	Reduce paper storage costs of claim forms. Reduce the claims backlog.

6. Enterprise Need/Justification

VBA needs to increase access to benefits by moving to an automated processing system that allows claims and evidence to be submitted and processed electronically. D2D leverages software and databases that accredited partners have developed in their claims management systems to assist Veterans in filing benefits claims with VBA. With D2D, accredited partners will utilize their existing investments in forms software and Veteran data to transmit benefits claims and supporting documentation directly to VA in accordance with VA provided technical standards and specifications. D2D will enable all data fields collected from a submitted claim form to be shared with VA databases and VBA applications to promote paperless claims processing, which reduces the need for VBA adjudicators to re-enter claims form data into these systems. D2D aligns with the following VRM strategic business objectives:

- Streamline and improve internal business processes in order to provide high quality experiences for Veterans and their beneficiaries
- Improve transparency and provide seamless support across all touch points
- Become more Veteran-focused and information-centric by providing a single 360 view of the Veteran to all stakeholders
- Improve ability to measure service quality
- Improve VA's ability to successfully resolve Veterans and beneficiaries' issues on the first contact

This request leverages DBQs, the VA's VAi2 Innovation Initiative winner in 2009. This flagship program was designed to tap the talent and expertise of individuals from both inside and outside of government to contribute ideas that ultimately produce new, innovative solutions that advance VA's ability to meet the challenges of becoming a 21st-century organization.

This request supports VA's strategic plan, including Strategic Goal 1: "Restore the capability of Veterans with disabilities to the greatest extent possible, and improve the quality of their lives and that of their families." To achieve this goal, VA has set out specific program objectives in its strategic plan. The objective most relevant to the disability compensation program is Objective 1.2: "Provide timely and accurate decisions on disability compensation claims to improve the economic status and quality of life of service-disabled Veterans."

This request also aligns to VLER and <u>VA's Agency Priority Goals</u> to: 1. Eliminate Disability Claims in Backlog, 2. Increase Access to Services and Benefits, and 3. Help End Veteran Homelessness by providing timely resources to those who need them most.

Finally, D2D is an integral component of VBA's Transformation Initiative because the direct receipt of Veteran claims electronically from accredited partners will provide the capability for eliminating the backlog of Veterans claims by contributing to VBA's transformation effort to move to paperless adjudication of compensation and pension claims.

7. Requirements

7.1. Business Needs/Owner Requirements

D2D is responsible to create and maintain the interface control specifications in the form of extensible markup language (XML) schemas that will enable VA to ingest quality data from

accredited partners' claims management systems. Below are some guidelines to provide context for the functional and non-functional D2D business need requirements:

- The term 'transmission' is the same as 'submission'
- 'bulk submission' indicates that the "submit" function at the accredited partner's claim management system transmits more than one submission
- 'single submission' indicates that the "submit" function at the accredited partner's claim management system transmits one submission
- One form represents one submission
- One attachment represents one submission
- One form and its associated one or more attachments will create multiple submissions for the form and attachments
- A "container" is a logical term used to represent one claim form and its associated attachment(s). An attachment submission must have the 'Form ID' value in order for D2D to create and maintain this "container" relationship
- 'VSO' represents the accredited partner

The specifications below outline the D2D business logic:

- D2D will enable an accredited partner to submit the 526EZ form with the minimum required data used to establish the claim date
- D2D will enable an accredited partner to submit one and only one fully developed, populated 526 EZ form and associated attachments to initiate claim work; therefore, an accredited partner's claim management systems will manage the "progressively developed" claims where a Veteran and an accredited partner representative complete the Form 526 EZ over multiple days
- An accredited partner or Veteran will use SEP to make any updates to their information in Form 526 EZ or submit a paper Form 41-38

Business Need (BN)	OWNR Number	Owner Requirement (OWNR)	Priority*	Increment
		Form Submission		
BN2		**Provide a data delivery service that enables a VSO to submit claims data and evidence from their claims management systems to VA systems electronically, in conformance with an interface specification provided by VA.**		
	2.1	The solution shall identify the VSO that is submitting the claim electronically to facilitate tracking and reporting.		
	2.1.1	The system shall require the VSO Code, the VSO Name, and the VSO Location on each submission.		

Business Need (BN)	OWNR Number	Owner Requirement (OWNR)	Priority*	Increment
	2.2	The solution shall identify the type of form submitted electronically in order to process the form appropriately.		
	2.2.1	The system shall require the Form Type on each submission.		
	2.3	The solution shall enable a VSO to electronically submit claims forms on behalf of the Veteran.		
	2.3.1	The solution shall enable a VSO to electronically submit Form 21-526EZ (Fully Developed Claim (Compensation)).		
	2.3.2	The solution shall enable a VSO to electronically submit Form 21-526 (Veteran's Application for Compensation and/or Pension).		
	2.3.3	The solution shall enable a VSO to electronically submit Form 21-526B (Veteran's Supplemental Claim for Compensation)		
	2.3.4	The solution shall enable a VSO to electronically submit Form 21-526C (Pre-discharge Compensation Claim)		
	2.3.5	The solution shall enable a VSO to electronically submit Form 21-4138 (Statement in Support of Claim).		
	2.3.6	The solution shall enable a VSO to electronically submit a Power of Attorney Form 21-22 (Appointment of Individual as Claimant's Representative).		
	2.3.7	The solution shall enable a VSO to electronically submit a Power of Attorney Form 21-22A (Appointment of Veteran's Service Organization as Claimant's Representative).		
	2.3.8	The solution shall enable a VSO to electronically submit Form 21-4142 (Authorization and Consent to Release Information to the Department of Veterans Affairs).		

Business Need (BN)	OWNR Number	Owner Requirement (OWNR)	Priority*	Increment
	2.3.9	Ensure that the solution provides sufficient flexibility to support electronic submission of additional forms in future release(s) of the D2D system.		
	2.4	The solution shall enable a VSO to electronically submit forms for all veterans and current service members, including those that do not currently have records in VA systems.		
	2.4.1	The system shall enable VSO to submit new claim for Veteran(s) that exist in VA Corporate Database, BIRLS and VADIR.		
	2.4.2	The system shall enable VSO to submit new claim for Veteran(s) that do not exist in VA Corporate Database.		
	2.4.2.1	If the Veteran does not exist in BIRLS, VADIR or the Corp database, the system shall add the Veteran and establish the claim in the VA/ VBMS system.		
	2.5	The solution shall enable the VSO to submit Supplemental Claims electronically to VA.		
	2.6	The solution shall enable the VSO to submit Formal claims electronically to VA.		
	2.7	The solution shall enable VSO to submit Pre-discharge claims electronically to VA.		
	2.8	The solution shall enable a VSO to submit an initial claim to establish the claims date prior to submission of a fully developed claim.		
	2.9	The solution shall include an option that enables the VSO to add data to their submitted forms, provided they have a current Power of Attorney (POA) for the Veteran.		
	2.9.1	The SEP system shall allow a VSO to add data to a submitted form.		

Business Need (BN)	OWNR Number	Owner Requirement (OWNR)	Priority*	Increment
	2.9.2	The system shall not allow a VSO to progressively complete a form through D2D once it has been submitted to VA.		
	2.10	The solution shall ensure that data submitted thru D2D shall be converted to the appropriate VA form to be stored in Veteran's efolder.		
	2.11	The solution shall allow a VSO to provide a unique identifier for each electronic submission which VA will use to report submission errors back to the VSO.		
	2.11.1	The system shall require a transmission ID (auto-generated by the VSO) for each transmission sent. The transmission ID will be used as part of any error message sent back to the VSO.		
	2.12	The solution shall use the date in which the claims data was received electronically by VA as the date of submission for the claims form.		
	2.12.1	The system shall utilize the date received at the gateway as the "Date Submitted" for the claims form. (The gateway shall be considered the "Post Office".)		
	2.13	The solution shall accommodate both single and BULK claim submissions by the VSO.		
	2.13.1	The system shall enable the VSO user to A) Submit one claim at a time B) Save the entered claim's data and be able to return at a later point to select one or more claims to be included in a BULK submission to VA		

Business Need (BN)	OWNR Number	Owner Requirement (OWNR)	Priority*	Increment
	2.13.2	The system shall treat VSO submissions, whether single or BULK, as individual submissions. For instance, if the VSO chooses to submit a BULK submission that contains 25 forms, the VSO System shall package these as 25 independent submissions. The 25 items won't be sent as one container with 25 forms.		
	2.14	The solution shall enable a VSO to electronically submit an image of the Veteran's original signature and the VSO Representative's original signature to VA.		
	2.14.1	The system shall accept an attachment which contains a signature image captured by the VSO via a physical device attached to the VSO's computer.		
	2.14.2	The system shall accept an attachment which contains a signature image captured by the VSO on paper and scanned to create an electronic document.		
		Attachments		
BN 3		**Enable a VSO to submit evidence (attachments) from their claims management systems to VA systems electronically.**		
	3.1	The solution shall enable a VSO to send attachments with a claims form.		
	3.2	The solution shall enable a VSO to submit attachments for a previously submitted claim.		
	3.2.1	The system shall enable VSO to send attachments for a previously submitted claim.		
	3.2.2	The SEP system shall provide an option to the VSO for sending additional attachments for a previously submitted claim to the VA.		

Business Need (BN)	OWNR Number	Owner Requirement (OWNR)	Priority*	Increment
	3.3	The solution shall store Attachments submitted electronically in the Veteran's eFolder.		
	3.3.1	The system shall use Middleware to submit attachments to VBMS.		
	3.4	Ensure that attachments conform to VA technical limits.		
	3.4.1	For each attachment, the system shall validate that the size does not exceed 5MB. If the size of an attachment exceeds 5MB, the system shall reject the attachment and issue an error.		
	3.4.2	For each claim, validate that the size of all attachments does not exceed 25MB. If the size of all attachments for a claim exceeds 25MB, the system shall reject the claim and issue an error.		
Source of Submission				
BN 4		**Provide the ability to track the source through which a claim is submitted to support reporting and customer service. Submissions may be through:** • **VDC / eBenefits/SEP** • **D2D** • **US Mail** • **Fax**		
	4.1	The solution shall enable a PCR to view the source of submission to support handling of Veteran calls.		
	4.1.1	The system shall enhance Contact History information displayed in CRM UD to show source of submissions.		
	4.1.2	The system (VBMS / Corporate System) shall track the source of submission to assist the PCRs in handling the Veteran calls.		
	4.2	The solution shall capture the source of submission to facilitate tracking and reporting.		

Business Need (BN)	OWNR Number	Owner Requirement (OWNR)	Priority*	Increment
	4.2.1	The VBMS Corporate System shall add a new field "submission source" for tracking and reporting purposes.		
	4.2.2	The system (D2D) shall have a data element in the schema called "Source" with fixed value "D2D".		
		Validations		
BN 5		**Validate each electronic submission to ensure that the meets data quality standards and complies with form requirements prior to establishment of the claim. When a submission fails validation, the submission will be rejected and the VSO will be notified and provided information to assist in the correction of errors.**		
	5.1	The system shall process VSO submissions in three phases. At each phase system shall perform validations relevant to that phase: • Transmission Phase (VA Gateway) • Content Phase (VA Form & Attachment Specifications) • Context Phase (Form-specific business rule validations) If a transmission fails validation in any one of the three phases, it is rejected.		
		Transmission Phase (VA Gateway)		
	5.2	The solution shall validate that all data in the transmission was received and identify the items received.		
	5.2.1	The system (VA Gateway) shall perform "Transmission Phase" validations to identify what items have been received from the VSO's submission.		
	5.3	The solution shall notify the VSO of transmissions that are successfully received.		

Business Need (BN)	OWNR Number	Owner Requirement (OWNR)	Priority*	Increment
	5.3.1	The system shall send VSO notification on the items that were successfully received. VSO shall determine from this notification the items that were not received from the gateway system that provides error messages relating to any transmission errors.		
	5.3.2	The system shall create a notification that contains at a minimum the following information: • VSO transmission ID • Error Type • Error Description		
	5.4	The solution shall reject transmissions that are determined to be incomplete.		
		Content Phase		
	5.5	The solution shall validate the content of the submission to ensure that it conforms to the specifications provided. This includes validations that ensure that the data is appropriately formatted and within specified value sets.		
	5.5.1	The system shall perform "Content Phase" validations to ensure that the VSO submissions conform to predefined VA specifications. These validations are performed and completed via the VA Gateway.		
	5.6	The solution shall notify the VSO of any content errors to the VSO and include sufficient detail in the error message(s) to help the VSO to understand the error.		
	5.6.1	The system shall generate and send an error message to the VSO for instances where VSO submission data does not conform to predefined VA specifications (i.e. correct format).		

Business Need (BN)	OWNR Number	Owner Requirement (OWNR)	Priority*	Increment
	5.6.2	The system shall create an error message shall contain at a minimum the following information: • VSO transmission ID • Error Type • Error Description		
	5.7	The solution shall reject the submission when content errors are identified.		
		Context Phase.		
	5.8	The solution shall validate that the form was submitted in compliance with VA policy.		
	5.8.1	The system shall perform "Context Phase" Form-Specific validations to ensure that the VSO submissions satisfy the required checks prior to commitment of VSO data to the VA database. The context validation phase is the last set of validations which must be satisfied by VSO submissions in order for the final ingest to occur in VBMS. VBMS shall provide a set of services to receive claim and attachment data and return the appropriate messages and claim numbers to D2D services.		
	5.9	The solution shall determine whether VA has a record of the Veteran and create a record where none exists.		
	5.9.1	The system shall do the following during the Context Phase: • Middleware shall add data to the VDC Temp Database • Middleware shall use VDC to validate the Veteran by performing a Person search		

Business Need (BN)	OWNR Number	Owner Requirement (OWNR)	Priority*	Increment
	5.9.2	The system shall add the Veteran to Corporate (CORP) when the Person Search results indicate that the Veteran does not exist in BIRLS, VADIR, or CORP.		
	5.10	The solution shall only accept submissions where the VSO has a current POA for the Veteran.		
	5.10.1	The system shall perform a POA search to determine if the submitting VSO has current POA on file for the Veteran that they are submitting forms for.		
	5.10.2	The system shall verify that the submitting VSO has a current POA on file for the Veteran that they are submitting forms for.		
	5.10.3	If the submitting VSO is the POA for the Veteran then the VSO's submission shall satisfy the POA requirements gets submitted to VBMS via VBMS services.		
	5.11	The solution shall reject submissions where the VSO does not have a current POA and notify the VSO of the rejection.		
	5.11.1	The system shall reject the submission if the submitting VSO is not the POA for the Veteran.		
	5.11.2	The system shall generate a notification to the VSO indicating that the file was rejected because there was not a current POA for that VSO.		
	5.11.2.1	The system shall create an error message that shall contain at a minimum the following information: • VSO transmission ID • Error Type • Error Description		

Business Need (BN)	OWNR Number	Owner Requirement (OWNR)	Priority*	Increment
	5.12	The solution shall require that form submissions includes the following information to uniquely identify the Veteran: • Veteran's First and Last Name • Veteran's Social Security Number or Service Number (for older Veterans) • Veteran's Date of Birth		
	5.12.1	The system shall enable the VSO to submit form(s) with the following minimum required data: • Veteran's First and Last Name • Veteran's Social Security Number or Service Number (for older Veterans) • Veteran's Date of Birth		
	5.13	The solution shall reject form submissions and notify the VSO of the rejection when it does not include: • Veteran's First and Last Name • Veteran's Social Security Number or Service Number (for older Veterans) • Veteran's Date of Birth		
	5.13.1	The system shall reject VSO submissions that contain less than the minimum required data.		
	5.14	The solution shall require that an attachment submission from the VSO includes sufficient information to allow VA to associate the attachment to the appropriate claim.		

Business Need (BN)	OWNR Number	Owner Requirement (OWNR)	Priority*	Increment
	5.14.1	The system shall require the VSO to provide the following for the attachment: • Form Transmission ID • Attachment Transmission ID • File Number • Claim ID • Veteran's Name • Document Name • Document Type • Date of Receipt		
	5.15	When the address provided on a form submission is different than the address on record for the Veteran, the address on record will be updated with the form address.		
	5.15.1	When the VSO submits an address that is different than what is on record for the Veteran in the CORP Database, the VBMS system shall update CORP Database with the new address.		
	5.16	The solution shall ensure that duplicate submissions are not accepted.		
	5.17	When a submission fails validation, the submission will be rejected and the VSO will be notified and provided information to assist in the correction of errors.		
	5.17.1	The system shall generate and send an error message to the VSO for instances where VSO submission date does not satisfy the required checks. VSO shall rely on the error message to remedy the errors.		
	5.18	The solution shall ensure that only successful submissions are ingested into VBMS.		
	5.18.1	The system shall ensure that only successful VSO submissions are ingested into VBMS.		

Business Need (BN)	OWNR Number	Owner Requirement (OWNR)	Priority*	Increment
	5.19	The solution shall provide a claim ID upon successful establishment of the claim.		
	5.19.1	VBMS shall make available a claim ID upon successful establishment of the claim ("Cesting") of the claim. ** VSO submissions must satisfy all required system validations in order to be committed to the VA database.		
	5.20	The solution shall provide the claim ID to the VSO when a submission is successfully processed and a claim is established.		
	5.20.1	The system shall generate and send a confirmation message to the VSO notifying them of their successful submission and the establishment of their claim(s) in the VA/VBMS system.		
	5.20.2	The VBMS system shall provide the following in the confirmation message to the VSO, VBMS shall provide the following: • Claim ID • Transmission ID		
	5.21	The solution shall provide End-Product codes.		
	5.21.1	The VBMS system shall generated End-Product (EP) codes after ingestion.		
	5.22	When the claim is established in VBMS, it shall then be viewable in SEP and ebenefits.		
	5.23	The solution shall include controls to monitor the quality of VSO submissions.		

Business Need (BN)	OWNR Number	Owner Requirement (OWNR)	Priority*	Increment
	5.23.1	After VSO reaches a specific threshold on error submissions, the system shall notify VSO of their repeated errors. VSO will then be required to stop sending submissions in the Production environment and to perform sufficient testing in UAT environment prior to sending further submissions.		
Notifications				
BN 6		**Notify the Veteran when a claim is successfully submitted electronically by the VSO on behalf of the Veteran.**		
	6.1	**The system shall auto- generate notifications based on specific events** *Event—VSO successfully submits a Veteran's claim to the VA* *Notification -- System shall generate and send a notification email to the Veteran informing them that the VSO has submitted a claim to the VA on the Veteran's behalf.*		
BN 7		**Notify the VSO of the status of electronic submissions, including the details of any submission errors.**		
	7.1	**The system shall auto- generate notifications based on specific events Event –** VSO's submission encounters errors at the Content validation phase **Notification --** System shall generate and send a notification email to the VSO informing them of the errors encountered and ask them to have them remedied for re-submission.		

Business Need (BN)	OWNR Number	Owner Requirement (OWNR)	Priority*	Increment
	7.2	**The system shall auto- generate notifications based on specific events Event –** VSO's submission encounters errors at the Context validation phase **Notification --** System shall generate and send a notification email to the VSO informing them of the errors encountered and ask them to have them remedied for re-submission.		
	7.3	**The system shall auto- generate notifications based on specific events Event –** VSO's submission successfully passes all validation phases and gets committed to the VA Corporate Database. **Notification--** System shall generate and send a notification email to the VSO informing them that their submissions were successfully received by the VA and their claims have been established (CESTED) in the VA System. This notification will also provide the following information to the VSO: • Claim ID • Transmission ID		

Business Need (BN)	OWNR Number	Owner Requirement (OWNR)	Priority*	Increment
	7.4	**The system shall auto- generate notifications based on specific events Event –** VSO encounters repeated errors when submitting forms to the VA. **Notification--** System shall generate and send a notification email to the VSO informing them that due to their repeated submission errors; they would need to perform sufficient testing in the UAT environment and address any issues in order to be able to send further submissions to the VA.		
	7.5	Provide a confirmation message to the VSO when an attachment has been successfully submitted.		
	7.5.1	The system shall use Middleware to send a confirmation message to VSO System of a successful eFolder submission.		
Transmission / On-Boarding and Certification of Partners				
BN 8		**Ensure that VSO (partner) submissions are submitted securely.**		
	8.1	VA shall require information that enables VA to identify the submitting VSO and assure secure submission.		
	8.1.1	The system shall require server identification from the VSO server submitting prior to submitting.		
	8.1.2	To ensure secure transmission, each partner (VSO & VA) shall provide server details and install SSL certificates during the on-boarding stage.		
	8.2	The solution shall authenticate the VSO prior to accepting a transmission.		
	8.2.1	The system (Gateway) shall authenticate the VSO Partner (Partner Verification) using the SSL certificates.		

Business Need (BN)	OWNR Number	Owner Requirement (OWNR)	Priority*	Increment
BN 9		**Ensure that on-boarding and certification activities are conducted with each VSO (partner) prior to operations to assure security and quality.**		
	9.1	The solution shall ensure that the VSO has a signed and current MOU on file prior to acceptance of a D2D submission.		
	9.2	The solution shall assess the quality of the VSO's D2D submission capability prior to authorizing a VSO to begin D2D production operations.		
	9.2.1	The system shall not accept a data submission from a VSO to the Production environment until the VSO has successfully passed the Quality Assurance (QA) phase.		
Partner Management / Tracking System				
BN 10		**Manage and track partner (VSO) information to support D2D operational needs.**		
	10.1	Track the status of the Memorandum of Understanding (MOUs) for each VSO.		
	10.1.2	The system shall keep track of Signed or Unsigned MOU's.		
	10.2	Provide a profile for each VSO which includes their name, address, contact information, and status for D2D operations.		
	10.2.1	The system shall enable a user to manage and track partner profile information such as: • Address • Contacts		
	10.2.2	The system shall enable the user to manage and keep track of adding partners to the system.		

Business Need (BN)	OWNR Number	Owner Requirement (OWNR)	Priority*	Increment
	10.2.3	The system shall keep track of accredited partners that have been delisted.		
D2D Reporting capabilities				
BN 11		**Capture and report D2D operational data to enable VA to evaluate performance and identify trends. This includes submission data such as submitting VSO, type of form submitted, volume, and errors.**		
	11.1	The system shall provide VSO submission performance reports		
	11.2	The system shall provide Ad-hoc reports.		
	11.3	The system shall provide VSO submission volume reports.		

7.2. Non-Functional Requirements

ReqPro Tag	Operational Environment Requirements
	The system must support real-time or near real time monitoring, provide statistics on system performance and be capable of supporting the changing business and technical needs, as they expand.
	Change control processes will be governed by PMAS approved process
NONF1608	Information about response time degradation resulting from unscheduled system outages and other events that degrade system functionality and/or performance shall be disseminated to the user community within 30 minutes of the occurrence. The notification shall include the information described in the current Automated Notification Reporting (ANR) template maintained by the VA Service Desk. The business impact must be noted.
NONF1609	Provide a real-time monitoring solution during the maintenance windows or when technical issues/problems occur which may require a preventative back-up.
NONF1610	Notification of scheduled maintenance periods that require the service to be offline or that may degrade system performance shall be disseminated to the user community a minimum of 48 hours prior to the scheduled event.
	When/if lapses in system/update availability occur, users would call the VA help desk

	When/if lapses in system/update availability occurs, users would schedule transmissions of filings when system resumes availability.
	The primary and back-up sites for data storage shall be the same sites used for VBMS/Corporate.
	The system shall respond to VSO submitters in _TBD__ seconds or less in _TBD_% of the attempts, and never more than _TBD__ seconds.
	Maintenance, including maintenance of externally developed software incorporated into the D2D application, shall be scheduled during off peak hours or in conjunction with relevant VBMS/Corporate maintenance schedules.
Usability/User Interface Requirements	
	User acceptance testing personnel shall include VBA, VSO, and VSO Vendor staff that is able to confirm acceptable changes to their workflow.
NONF1612	Technical training shall be developed and delivered to VSO staff.
	Technical training shall be developed and delivered to the VSO claim processing system vendors.
	User acceptance training and testing tools shall include user prompts to guide the use of the application so that minimal technical support is needed by the user.
	The training curriculum shall state the expected training time users to become productive at using D2D.
	A training curriculum, user manuals, and other training tools shall be updated by VRM, and then delivered to VBA, VSO, and VSO staff. The curriculum shall include all aspects of the enhanced D2D service.
Documentation Requirements	
	Documentation must be delivered to accredited partners and their designated vendors for the implementation and configuration of the D2D standards interface in order to create files of Veteran data and documentation and transmit them to VA systems.
	Any enhancements or changes to functionality which results in a change to VSO interface shall be documented and communicated to accredited partners with sufficient lead time to implement change.
	Included in the documentation should be a list of point of contacts for the system to provide user access to Subject Matter Experts (SMEs) to assist in troubleshooting, knowledge sharing, and other resource sharing information.
	Updates shall be made, as necessary, to the applicable user manuals and Operations and Maintenance (O&M) manuals related to D2D located on the VA Software Documentation Library. If no User or O&M documentation exists, it shall be produced.
Implementation Requirements	
	An implementation plan shall be developed for all aspects of the D2D program.
	Provide Global Help Desk to support end user functionality and technical support.

	The system shall provide for English language support. Criticality for 24 x 7 support is yet to be determined.
	Provide a Technical Help Desk to support users to obtain assistance with D2D transmission.
NONF1614	The IT solution shall be designed to comply with the applicable approved Enterprise Service Level Agreements (SLA).
	Updates will be implemented in accordance with PMAS defined processes.
Data Protection/Back-up/Archive Requirements	
NONF1615	Provide a back-up plan for when the system is brought off-line for maintenance or technical issues/problems.
	System maintenance shall be scheduled during off peak hours.
	A back-up plan using manual procedures will be provided for when the system is brought off-line for maintenance or technical issues/problems.
	Outages and/or scheduled maintenance windows shall be communicated via the VA's Automated Notification Reports (ANR) web application through the Austin Information Technology Center (AITC):
	Percentage uptime for transmission infrastructure – SLA 99.9%, where total hours the D2D endpoint is available divided by the total hours in the performance period, less scheduled maintenance and security shutdowns. This applies to both the frontend and backend of the D2D System.
	Allow for Corrective Maintenance performance metrics, which are not to be confused with "adaptive" or "perfective" maintenance, as those will be managed through the VA's change control request (CCR) process:
	Emergency patches fix time –where 100% of emergency patches and critical fixes must be deployed in production environment in less than 72 hours elapsed time from notification of patch/fix availability.
Data Quality/Assurance	
NONF2229	The system shall collect and store data as XML documents or within a normalized data base (native XML support) so that information may be distributed to consuming systems within the VA enterprise.
	A monitoring process shall be provided to insure that data is accurate and up-to-date and provides accurate alerts for malfunctions while minimizing false alarms.
	The system shall provide validations at each stage of the transmission process.
	On the training, test and demo systems no actual/real SSNs should be captured or allowed; only test person and patient information would be allowed.
User Access/Security Requirements	
NONF1617	Ensure the proposed solution meets all VA Security, Privacy and Identity Management requirements including VA Handbook 6500. (See Enterprise Requirements Appendix). Where this conflicts with current NIST 800-53, the NIST guidelines should prevail.

	The system shall provide identity management, authentication and access control. User management for existing or new applications must include role based access and security permissions with appropriate authentications. Refer to Appendix D for additional roles and responsibility descriptions.
	Information captured will comply with the Privacy and Security laws and other regulatory agencies and bodies.
Expected Life Span Requirements	
	The system will be capable of future updates in accordance with ProPath and PMAS - and changes using separate development, test, and production versions
	Unscheduled releases should be agile and timely as requirements may change as result of changes in policy. It is the responsibility of the business to create and approve D2D interface changes and to communicate these requirements as change requests. New requirements or change request shall be sorted between minor releases and major functionality releases (ProPath, PMAS) to be considered by formal change control processes.
	All requirements will be tested, with test results recorded in the appropriate and agreed upon format; and critical issues resolved before final delivery; issues not critical will be tracked and resolved based on stakeholders need.
	Development and Testing environment must be accessible to VA staff and capability releases shall follow an agile methodology, if possible

The table below defines the different levels of user access to the D2D application:

Name	Description	Role	D2D
Primary Users	accredited partners	Prepare and transmit claims and associated evidence	
		Update claims and add evidence	
Secondary Users	VA Operations Staff	Support accredited partners in transmission of evidence	

7.2.1. Performance, Capacity, and Availability Requirements

7.2.1.1. Performance

If this is a system modification, how many users does the current system support?
This is not a system modification

How many users will the new system (or system modification) support?
Number of transmitting organizations for FY 2012-13 will be 10-50
What is the predicted annual growth in the number of system users?
User base may grow from 10-60 transmitting organizations but likely remain in the 10-20 range

7.2.1.2. Capacity

What is the predicted size (average) of a typical business transaction?
The average size of a transaction through VDC is between 1.5-3.5 MB and it is expected that accredited partners will be transmitting multiple filings at one time.
What is the predicted number of transactions per hour (day, or other time period)?
Accredited Partners process an estimated 60% of compensation claims. (1,200,000 claims annually *60% handled by VSO= (720,000/12 months) Therefore peak usage of D2D by accredited partners could be estimated at approximately 60,000 claims per month or approximately 3,000 per day. The likelihood is that not all accredited partners will participate in D2D at the outset and volumes will by substantially lower when D2D initiates and grow over time.
Is the transaction profile expected to change (grow) over time?
Claims volumes are anticipated to grow with the large number of active duty military leaving the forces. The implementation of the VOW act is expected to result in significant increases in claims volumes as well. These volumes are expected to impact D2D but unknown to what degree in the 2012 to 2013 time frame.
What are the dependencies-interactions-interfaces with other systems that may affect Capacity Planning?
D2D will integrate with the VDC temp tables, which will be ultimately integrated with VBMS. VBMS will send back to D2D claim numbers and acknowledgements.
What is the process for planning/adjusting capacity?
Anticipated volumes will be projected based on DoD projected departures, additional forms which will be implemented and new programs which are coming to fruition such as the Veterans Opportunity to Work (VOW) Act.
Does the update require a surge capacity that would be different from the base application?
TBD

7.2.1.3. Availability

Describe when the envisioned system will need to be available (business hours only, weekends, holidays, etc.) to support the business.
D2D is a VA computer to computer application for use by accredited partners submitting electronic VBA claims, will generally be available to users 24 hours per day, seven days per week, 365 days per year to support VBA claims processing activities.

7.3. Known System Interfaces/Dependencies

This is the business community's best understanding of known interfaces and may not be a comprehensive listing. All required interfaces will be stated as Business Needs in Section 7.1 of this document.

Name	Description	Interface Type	Responsibilities	Deliverables
BIRLS	Beneficiary Identification Records Locator Service	Manual	Stores Demographic Information on Veterans.	Controls the assignment of file numbers, manages 10 different folder types, stores inactive compensation and pension data, and stores active and inactive insurance policy numbers.
CORP-DB	Corporate Data Base	Manual	VBA central database to which data from BDN and various other legacy databases are being transitioned after conversion.	Supports multiple VBA business lines' applications that include CP, Education, VR&E, and LGY.

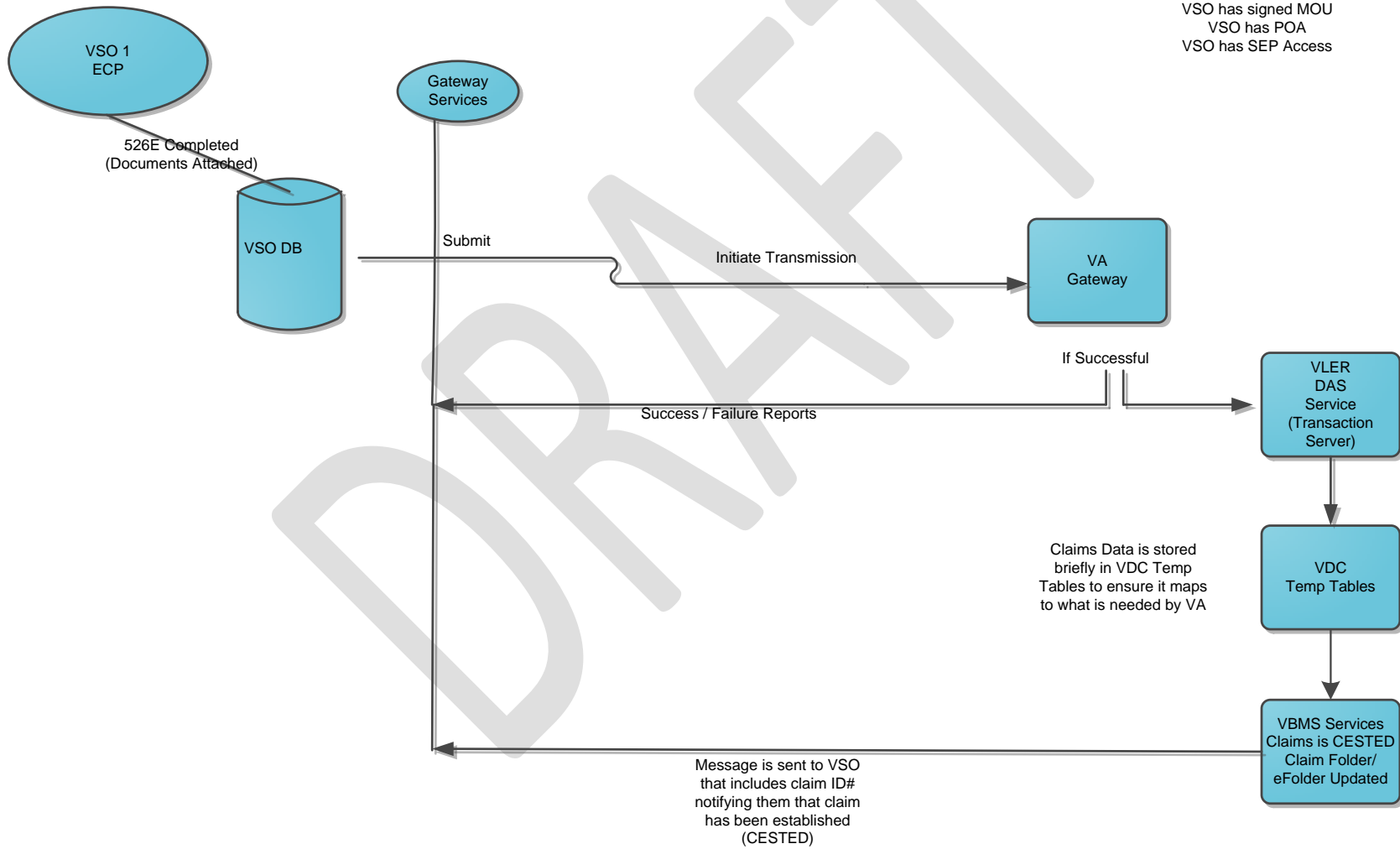|				
eBenefits	Web portal for Veterans and SM access to benefits information.	Automated	The benefits portal is a one-stop shop for benefits-related online tools and information. The portal is designed for Wounded Warriors, Veterans, SMs, their families, and those who care for them.	2 main services. 1) A catalog of web links to information about military and Veteran benefits. 2) Provides a personalized workspace called My eBenefits which gives quick access to all the online tools now integrated into eBenefits.
MAP-D	Modern Award Processing Development	Manual	Application used to track the progress of a claim, and to set follow-up diaries.	Provide progress information on claim.
RBA2000	Rating Board Application 2000	Automated	Application used to create rating decisions.	Outputs rating decision based on data collected (such as compensation and pension exams).
SEP	Stakeholder Enterprise Portal is a web portal for accredited partners and other Veteran Stakeholders to assist Veterans to get access to their benefits	Automated	The benefits portal is a one-stop shop for benefits-related online tools and information. The portal is designed for the groups that assist Wounded Warriors, Veterans, SMs, their families, and those who care for them to obtain benefits.	Access to VDC and the applications and services by which accredited partners and other Veteran Stakeholders assist Veterans and their families obtain benefits.
Share	Application to establish and process claims, do awards	Automated	Used by VBA during claim processes.	Provide system record for VBA claims information.
VADIR	VA/DOD Information Repository	Automated	VADIR is the "single authoritative source of DoD information within VA	VADIR supplies this information to a number of VBA applications

VBMS CP	Veterans Benefits Management System, Compensation and Pension.	Automated	VBA Paper-less Workflow environment for claims/benefits approval.	Provide ability to streamline work products by creating a paper-less workflow.
VBMS Document Store	Veterans Benefits Management System Document Store	Automated	Stores all documents in an efolder for the Veteran claim and other documentation. Improves upon VVA	Provides ability to streamline work by providing fully electronic sourcing of Veteran documents
Virtual VA	Virtual Veterans Affairs	Manual	Virtual VA is the legacy electronic repository used by VBA to store limited number of claims folders.	The 'as is' Virtual VA solution may be expanded as an interim solution.
VLER DAS	Virtual Lifetime Electronic Record - Data Access Service	Automated	Serves as an information broker of Veteran data for the VA, DoD, Federal Partners and Private partners.	Initial capabilities will enable the sharing computable data from completed DBQ to be accessed by approved systems throughout the VA, DoD, and SSA for the purposes of compensation and pension adjudication.

Compensation Claim Path

Assumptions for VA:
VA has provided VSO XML Schema
VA has provided VSO Tech Specs
VA has provided VSO process for Submission

Assumptions for VSO:
VSO has signed MOU
VSO has POA
VSO has SEP Access

VSO 1
ECP

Gateway
Services

526E Completed
(Documents Attached)

VSO DB

Submit

Initiate Transmission

VA
Gateway

If Successful

Success / Failure Reports

VLER
DAS
Service
(Transaction
Server)

Claims Data is stored
briefly in VDC Temp
Tables to ensure it maps
to what is needed by VA

VDC
Temp Tables

Message is sent to VSO
that includes claim ID#
notifying them that claim
has been established
(CESTED)

VBMS Services
Claims is CESTED
Claim Folder/
eFolder Updated

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Appendix F. Acronyms and Abbreviations

Term	Definition
AITC	Austin Information Technology Center
ANR	Automated Notification Reporting
BAS	Benefits Assistance Services
BIRLS	Beneficiary Identification Records Locator Service
BRD	Business Requirements Document
BTS	Business Transaction Server
CCR	Change Control Request
CORP-DB	Corporate Data Base
CVSO	County Veterans Service Organizations
DAS	Data Access Service
DBQ	Disability Questionnaire
DoD	Department of Defense
D2D	Digits-to-Digits Electronic Claims Submission Service
ECP	Electronic Claims Processing
ERM	VA Enterprise Requirements Management
ESM	Enterprise Systems Management
FAQs	Frequently Asked Questions
IT	Information Technology
LOB	Line of Business
MAP-D	Modern Award Processing Development
MOU	Memorandum of Understanding
NIEM	National Information Exchange Model
OGC	Office of Government Council
OIT	Office of Information and Technology
PMO	Program Management Office
POA	Power of Attorney
QA	Quality Assurance
RBA2000	Rating Board Application 2000
RO	Regional Office
SEP	Stakeholders Enterprise Portal

DRAFT

Term	Definition
SME	Subject Matter Expert
SOJ	Station of Jurisdiction
USDVA	U.S. Departments of Veteran Affairs at the State Level
VA	Department of Veteran Affairs
VADIR	VA/DOD Information Repository
VBA	Veterans Benefits Administration
VBMS	Veterans Benefits Management System
VBMS CP	Veterans Benefits Management System, Compensation and Pension.
VDC	VONAPP Direct Connect
Virtual VA	Virtual Veterans Affairs
VLER	Veteran Lifetime Electronic Record
VONAPP	Veterans On-line Application
VRM	Veteran Relationship Management
VSO	Veteran Service Organizations
VOW	Veterans Opportunity to Work
XML	Extensible Markup Language