Insurance System Maintenance and Operations-2008

ProSight

PART I - A

PART I: SUMMARY INFORMATION AND JUSTIFICATION

In Part I, complete Sections A. B, C, and D for all capital assets (IT and non-IT). Complete Sections E and F for IT capital assets.

OMB Text Limitations - SHORT ANSWER(250 Characters), MEDIUM ANSWER(500 Characters) and LONG ANSWER(2500 Characters)

Section A: Overview (All Capital Assets)

I.A.1) Date of Submission (mm/dd/yyyy)

Aug 24, 2006

I.A.2) Agency

029 - Department of Veterans Affairs

I.A.3) Bureau

00 - Agency Wide Initiatives

I.A.4) Name of this Investment:(SHORT ANSWER)

Insurance System Maintenance and Operations-2008

I.A.5) Unique Project(Investment) Identifier: Update the UPI using the Exhibit 53 tab.

029-00-01-15-01-1280-00

I.A.6) What kind of investment will this be in FY2008? (Please NOTE: Investments moving to O&M ONLY in FY2008, with Planning/Acquisition activities prior to FY2008 should not select O&M. These investments should indicate their current status.)

Operations and Maintenance

I.A.7) What was the first budget year this investment was submitted to OMB?

FY2001 or earlier

I.A.8) Provide a brief summary and justification for this investment, including a brief description of how this closes in part or in whole an identified agency performance gap: (LONG ANSWER)

This is a "steady state" Exhibit 300 for the maintenance and operations of VA Insurance Systems. This includes resolving processing flaws, making mandatory changes such as annual updates to rates and tables, and maintenance required by technical obsolescence or changes in business processes. Costs include data center and sever hardware, licenses, computer programmer and operator FTE.

The mission of VA's Insurance program is "to provide life insurance benefits to veterans and service members not available from the commercial insurance industry due to lost or impaired insurability resulting from military service."

The Insurance IT systems process in support of the six government life insurance programs administered at the Philadelphia Regional Office and Insurance Center. These programs provide coverage to 1.4 million veteran policyholders, and disburse $1.5 billion annually through Treasury.

- The Insurance Payment System runs in Philadelphia. Subsystems include Inforce (current policyholders), Awards (recipients), Actuarial, and Online.

- The Insurance General Ledger at the Austin Automation Center performs financial accounting and reporting.

- VICTARS (Veterans Insurance Claims Tracking and Response System) provides users with access to data in client/server tables and other systems. VICTARS also manages access to Insurance imaging applications. Critical insurance forms received from policyholders and beneficiaries are imaged; over 8 million images are stored. "VICTARS Workflow" identifies tasks as they generate and assigns them to an appropriate employee to be worked on-line. PC letter templates and other tools are also available.

- The VA Insurance web site includes general information, links for e-mail inquiries, and the ability to download insurance forms. Insurance Self-Service allows registered policyholders access to their account information with an individual PIN number. "Autoform" makes one of the most common Insurance forms available for completion and electronic submission. Unclaimed Funds Search by Name (UFN) is available to the general public.

- An Interactive Voice Response (IVR) system permits insured veterans to access their insurance records via touch-tone telephone

technology.

-A RPS (Remittance Processing System) "lock box" processes checks for premium and loan payments.

This investment is critical to Government life insurance operations, a primary legislatively-mandated mission of VA.

I.A.9) Did the Agency's Executive/Investment Committee approve this request?
Yes

I.A.9.a) If "yes," what was the date of this approval?
Aug 10, 2006

I.A.10) Did the Project Manager review this Exhibit?
Yes

I.A.11) Project Managers Contact Information

	Project Managers Names (SHORT ANSWER)	PM Phone	E-mail (SHORT ANSWER)
Primary in-house	Thomas Buffington, PMP	215-381-3034	thomas.buffington@va.gov

I.A.12) Has the agency developed and/or promoted cost effective, energy-efficient and environmentally sustainable techniques or practices for this project.
No

I.A.12.a) Will this investment include electronic assets (including computers)?
Yes

I.A.12.b) Is this investment for construction or retrofit of a federal building or facility? (Answer applicable to non-IT assets only)
No

I.A.12.b.1) If "yes," is an ESPC or UESC being used to help fund this investment?

I.A.12.b.2) If "yes," will this investment meet sustainable design principles?

I.A.12.b.3) If "yes," is it designed to be 30% more energy efficient than relevant code? (Answer applicable to non-IT assets only)

I.A.13) Does this investment directly support one of the PMA initiatives?
Yes

I.A.13.a) If "yes," check all that apply:

	PMA Initiatives for XML Submission	PMA Initiatives
		- Human Capital
		- Budget Performance Integration
Yes	Financial Performance	- Financial Performance
Yes	Expanded E-Government	- Expanded E-Government
		- Competitive Sourcing
		- Faith Based and Community
		- Real Property Asset Management
		- Eliminating Improper Payments
		- Privatization of Military Housing

		- Research & Development Investment Criteria
		- Housing & Urban Development Management & Performance
		- Broadening Health Insurance Coverage through State Initiatives
		- "Right Sized" Overseas Presence
		- Coordination of VA & DoD Programs and Systems

I.A.13.b) Briefly describe how this asset directly supports the identified initiative(s)?(MEDIUM ANSWER)

This investment supports the processing of legislatively-mandated life insurance benefits for veterans and their survivors, timely and cost-effectively. It interfaces with the Department's general ledger, and improves Financial Performance by generating and managing accounting detail transactions. Insurance Internet Self-Service and IVR (Interactive Voice Response) provide Expanded E-Government by allowing veterans to complete certain actions on-line easily and when it is convenient for them.

I.A.14) Does this investment support a program assessed using the Program Assessment Rating Tool (PART)? (For more information about the PART, visit www.whitehouse.gov/omb/part.)

Yes

I.A.14.a) If "yes," does this investment address a weakness found during a PART review?

No

I.A.14.b) If "yes," what is the name of the PARTed program? (SHORT ANSWER)

10004352 VA Life Insurance

I.A.14.c) If "yes," what rating did the PART receive?

Moderately Effective

I.A.15) Is this investment information technology? (See section 53.8 for definition)

Yes

I.A.16) What is the level of the IT Project? (per CIO Council PM Guidance)

Level 1

I.A.17) What project management qualifications does the Project Manager have? (per CIO Council PM Guidance)

Qualification Status	Qualification Status for XML Submission	Description
1	(1) Project manager has been validated as qualified for this investment	(1) - Project manager has been validated as qualified for this investment.
		(2) - Project manager qualification is under review for this investment.
		(3) - Project manager assigned to investment, but does not meet requirements.
		(4) - Project manager assigned but qualification status review has not yet started.
		(5) - No Project manager has yet been assigned to this investment.

I.A.18) Is this investment identified as "high risk" on the Q4 - FY 2006 agency high risk report (per OMB's 'high risk' memo)?

Yes

I.A.19) Is this project (investment) a Financial Management System? (see section 53.3 for definition)

Yes

I.A.19.a) If so, does this project (investment) address a FFMIA (Federal Financial Managers Integrity Act) compliance area?

Yes

I.A.19.a.1) If yes, which compliance area?

FFMIA System Requirements
I.A.19.a.2) If "no," what does it address? (MEDIUM ANSWER)
I.A.19.b) If "yes," please identify the system name(s) and system acronym(s) as reported in the most recent financial systems inventory update required by Circular A–11 section 52 (LONG ANSWER)
The systems maintained under this Exhibit include the Insurance Payment System (INS) and the Insurance General Ledger (IGL). The former creates detail transactions, some of which have accounting implications. The latter performs accounting services within life insurance accounts. Activities are undertaken in accordance with OMB Circular A-127 (SUBJECT: Financial Management Systems), specifically Section 7 (Financial Management System Requirements) and 8 (Financial Management System Improvements).
I.A.20) What is the percentage breakout for the total FY2008 funding request for the following? (This should total 100%)

Percentage of Total Investment	
% Hardware	10.00
% Software	5.00
% Services	85.00
% Others	

I.A.21) If this project produces information dissemination products for the public, are these products published to the Internet in conformance with OMB Memorandum 05-04 and included in your agency inventory, schedules and priorities?
Yes
I.A.22) Contact information of individual responsible for privacy related questions:

Contact Name: (SHORT ANSWER)	Heidi Hamzi
Phone Number:	202-565-8346
Title: (SHORT ANSWER)	IT Specialist
E-mail: (SHORT ANSWER)	heidi.hamzi@va.gov

I.A.23) Are the records produced by this investment appropriately scheduled with the National Archives and Records Administration's approval?
Yes

PART I - B

PART I: SUMMARY INFORMATION AND JUSTIFICATION

In Part I, complete Sections A. B, C, and D for all capital assets (IT and non-IT). Complete Sections E and F for IT capital assets.

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Section B: Summary of Funding (All Capital Assets)

I.B.1) FILL IN TABLE IN CURRENT VALUES (in millions)

(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)

Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions, and are rounded to three decimal places. Federal personnel costs should be included only in the row designated "Government FTE Cost," and should be EXCLUDED from the amounts shown for "Planning," "Full Acquisition," and "Operation/Maintenance." The total estimated annual cost of the investment is the sum of costs for "Planning," "Full Acquisition," and "Operation/Maintenance." For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. The costs associated with the entire life-cycle of the investment should be included in this report.

Category of Funds	PY-1 and Earlier	PY 2006	CY 2007	BY 2008
Planning				
Budgetary Resources	0.000	0.000	0.000	0.000
Acquisition				
Budgetary Resources	3.290	0.000	0.000	0.000
Total, Sum of Stages				
Total, Resources (Plan & Acq)	3.290	0.000	0.000	0.000
Operations & Maintenance				
Budgetary Resources	11.063	1.288	1.370	1.420
Total, All Stages Resources	14.353	1.288	1.370	1.420
Government FTE Costs	22.868	6.005	6.451	6.576
Govt. FTE Numbers	296	70	70	70
Total, All Stages Resources + FTE	37.221	7.293	7.821	7.996

Government FTE Costs SHOULD NOT be INCLUDED as part of the TOTAL, All Stages Resources represented.

Note: 1) For the cross-agency investments, this table should include all funding (both managing partner and partner agencies). 2) Total, All Stages Resources should equal Total, All Stages Outlays.

I.B.2) Will this project require the agency to hire additional FTE's?

No

I.B.2.a) If Yes, How many and in what year? (MEDIUM ANSWER)

I.B.3) If the summary of spending has changed from the FY2007 President's budget request, briefly explain those changes. (LONG ANSWER)
Modest changes to the summary of spending reflect adjustments to the funding requirements for FY 2007 through 2011, based on more accurate estimates by budget staff for costs including licenses and computer operator FTE. It also includes FY 2012 for the first time. The baseline shown in this Exhibit 300 is the latest approved by the Office of Management and Budget (OMB). A revised baseline reflecting the amounts shown in the BY 2008 Summary of Funding table is pending OMB approval.

PART I - C

PART I: SUMMARY INFORMATION AND JUSTIFICATION
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Section C: Acquisition/Contract Strategy (All Capital Assets)
I.C.1) If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why? (LONG ANSWER)
These contracts support Operations and Maintenance work in a Steady State environment and as such, an EVMS is not required per VA Directive 6061. The PM will be tracking purchase, delivery, and installation, especially as the majority of contracts are purchase vehicles for hardware and software with no services (e.g., software development) connected to them.
I.C.2) Do the contracts ensure Section 508 compliance?
Yes
I.C.2.a) If the Contracts WILL NOT ensure Section 508 Compliance, explain why:
Contracting officers are expected to pursue effective acquisition strategies for acquiring technology services and products. The section 508 standards are incorporated, and made part of all VA contracts, solicitations, and purchase orders. The IT Architecture and Engineering Service is responsible for identifying applicable technical provisions, conducting research, drafting specifications, and documenting non-availability and undue burden determinations.
I.C.3) Is there an acquisition plan which has been approved in accordance with agency requirements?
Yes
I.C.3.a) If "yes," what is the date?
Jul 6, 2006
I.C.3.b) If "no," will an acquisition plan be developed?
I.C.3.b.1) If "no," briefly explain why: (MEDIUM ANSWER)

PART I - D

PART I: SUMMARY INFORMATION AND JUSTIFICATION
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Section D: Performance Information (All Capital Assets)
I.D.1) In order to successfully address this area of the exhibit 300, performance goals must be provided for the agency and be linked to the annual performance plan. The investment must discuss the agency's mission and strategic goals, and performance measures must be provided. These goals need to map to the gap in the agency's strategic goals and objectives that this investment is designed to fill. They are the internal and external performance benefits this investment is expected to deliver to the agency (e.g., improve efficiency by 60%, increase citizen participation by 300% a year to achieve an overall citizen participation rate of 75% by FY 2xxx, etc.). The goals must be clearly measurable investment outcomes, and if applicable, investment outputs. They do not include the completion date of the module, milestone, or investment, or general goals, such as, significant, better, improved that do not have a quantitative or qualitative measure.
For Existing IT projects that have previously submitted Exhibit 300s:
--> If you completed Table 1 last year, please use Table 1 to report for fiscal year 2005 and Table 2 for fiscal years 2006 through at least 2009.
--> If you completed only Table 2 last year, please use Table 2 to report for fiscal years 2006 through at least 2009.
For projects that are submitting Exhibit 300s for the first time:
--> Use Table 2.
--> Report on Performance Measures for at least two years, i.e., FY 2008 and 2009, FY 2009 and 2010.
--> If the project will have data for 2007 that you wish to include, add extra lines in Table 2 and complete all information in this single table.
--> At least one performance goal should be met by BY+1.
PERFORMANCE INFORMATION TABLE 2:
Please use Table 2 and the FEA Performance Reference Model (PRM) to identify the performance information pertaining to this major IT Investment. Map all Measurement Indicators to the corresponding "Measurement Area" and "Measurement Grouping" identified in the PRM. There should be at least one Measurement Indicator for at least four different Measurement Areas (for each fiscal year).

Fiscal Year	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Planned Improvements to the Baseline	Actual Results
2005	Mission and Business Results	Customer Services	Average processing time for disbursements. Maintain low average days processing time to meet our obligations to veterans and their survivors. This is the published measure for VA Objective 3.3, and contributes to achieving VA Objective 1.4.	Disbursements will be worked on average within 2.7 workdays.	Disbursements will continue to be worked on average within 2.7 workdays.	Disbursements were worked on average in 1.77 workdays.
2005	Customer Results	Customer Satisfaction	Ratings on surveys of veterans and beneficiaries. Maintain high percentage satisfaction with the value of services provided and understandability of products, to ensure the Insurance programs are supporting VA Objectives 3.3 and 1.4.	Receive high satisfaction ratings on at least 95% of services delivered. Receive low satisfaction ratings on no more than 2%.	Maintain high satisfaction ratings on at least 95% of services delivered. Receive low satisfaction ratings on no more than 2%.	Achieved satisfaction of 95.85% high ratings, 1.65% low ratings.
2005	Processes and Activities	Errors	Number of erroneous payments. Maintain high accuracy	Disbursements will be at least 99% accurate.	Disbursements will remain at least 99% accurate.	Accuracy of disbursements was 98.93%

			percentage, applying safeguards designed to prevent erroneous or fraudulent payments, in order to fulfill our obligations to veterans and their survivors, embodied in VA Objectives 3.3 and 1.4.			
2005	Technology	Availability	System availability and downtime. Maintain high percentage of system uptime to increase user productivity during business hours. Reliable technologies help public contact and other employees to accomplish the goals in VA Objectives 3.3 and 1.4.	The systems will be available at least 98% of the time.	The systems will continue to be available at least 98% of the time.	Systems availability was 98.75%, with 37.5 hours of unscheduled downtime to various components.
2006	Mission and Business Results	Customer Services	Average processing time for disbursements. Maintain low average days processing time to meet our obligations to veterans and their survivors. This is the published measure for VA Objective 3.3, and contributes to achieving VA Objective 1.4.	Disbursements will be worked on average within 2.7 workdays.	Disbursements will continue to be worked on average within 2.7 workdays.	
2006	Customer Results	Customer Satisfaction	Ratings on surveys of veterans and beneficiaries. Maintain high percentage satisfaction with the value of services provided and understandability of products, to ensure the Insurance programs are supporting VA Objectives 3.3 and 1.4.	Receive high satisfaction ratings on at least 95% of services delivered. Receive low satisfaction ratings on no more than 2%.	Maintain high satisfaction ratings on at least 95% of services delivered. Receive low satisfaction ratings on no more than 2%.	
2006	Processes and Activities	Errors	Number of erroneous payments. Maintain high accuracy percentage, applying safeguards designed to prevent erroneous or fraudulent payments, in order to fulfill our obligations to veterans and their survivors, embodied in VA Objectives 3.3 and 1.4.	Disbursements will be at least 99% accurate.	Disbursements will remain at least 99% accurate.	
2006	Technology	Availability	System availability and downtime. Maintain high percentage of system uptime to increase user productivity during business hours. Reliable technologies	The systems will be available at least 98% of the time.	The systems will continue to be available at least 98% of the time.	

	Year						
				help public contact and other employees to accomplish the goals in VA Objectives 3.3 and 1.4.			
	2007	Mission and Business Results	Customer Services	Average processing time for disbursements. Maintain low average days processing time to meet our obligations to veterans and their survivors. This is the published measure for VA Objective 3.3, and contributes to achieving VA Objective 1.4.	Disbursements will be worked on average within 2.7 workdays.	Disbursements will continue to be worked on average within 2.7 workdays.	
	2007	Customer Results	Customer Satisfaction	Ratings on surveys of veterans and beneficiaries. Maintain high percentage satisfaction with the value of services provided and understandability of products, to ensure the Insurance programs are supporting VA Objectives 3.3 and 1.4.	Receive high satisfaction ratings on at least 95% of services delivered. Receive low satisfaction ratings on no more than 2%.	Maintain high satisfaction ratings on at least 95% of services delivered. Receive low satisfaction ratings on no more than 2%.	
	2007	Processes and Activities	Errors	Number of erroneous payments. Maintain high accuracy percentage, applying safeguards designed to prevent erroneous or fraudulent payments, in order to fulfill our obligations to veterans and their survivors, embodied in VA Objectives 3.3 and 1.4.	Disbursements will be at least 99% accurate.	Disbursements will remain at least 99% accurate.	
	2007	Technology	Availability	System availability and downtime. Maintain high percentage of system uptime to increase user productivity during business hours. Reliable technologies help public contact and other employees to accomplish the goals in VA Objectives 3.3 and 1.4.	The systems will be available at least 98% of the time.	The systems will continue to be available at least 98% of the time.	
	2008	Mission and Business Results	Customer Services	Average processing time for disbursements. Maintain low average days processing time to meet our obligations to veterans and their survivors. This is the published measure for VA Objective 3.3, and contributes to achieving VA Objective 1.4.	Disbursements will be worked on average within 2.7 workdays.	Disbursements will continue to be worked on average within 2.7 workdays.	

2008	Customer Results	Customer Satisfaction	Ratings on surveys of veterans and beneficiaries. Maintain high percentage satisfaction with the value of services provided and understandability of products, to ensure the Insurance programs are supporting VA Objectives 3.3 and 1.4.	Receive high satisfaction ratings on at least 95% of services delivered. Receive low satisfaction ratings on no more than 2%.	Maintain high satisfaction ratings on at least 95% of services delivered. Receive low satisfaction ratings on no more than 2%.	
2008	Processes and Activities	Errors	Number of erroneous payments. Maintain high accuracy percentage, applying safeguards designed to prevent erroneous or fraudulent payments, in order to fulfill our obligations to veterans and their survivors, embodied in VA Objectives 3.3 and 1.4.	Disbursements will be at least 99% accurate.	Disbursements will remain at least 99% accurate.	
2008	Technology	Availability	System availability and downtime. Maintain high percentage of system uptime to increase user productivity during business hours. Reliable technologies help public contact and other employees to accomplish the goals in VA Objectives 3.3 and 1.4.	The systems will be available at least 98% of the time.	The systems will continue to be available at least 98% of the time.	

PART I - E

PART I: SUMMARY INFORMATION AND JUSTIFICATION

In Part I, complete Sections A. B, C, and D for all capital assets (IT and non-IT). Complete Sections E and F for IT capital assets.

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Section E: Security and Privacy (IT Capital Assets only)

System/Application Level Information:

In order to successfully address this area of the business case, each question below must be answered at the system/application level, not at a program or agency level. Systems supporting this investment on the planning and operational systems security tables should match the systems on the privacy table below. Systems on the Operational Security Table must be included on your agency FISMA system inventory and should be easily referenced in the inventory (i.e., should use the same name or identifier).

All systems supporting and/or part of this investment should be included in the tables below, inclusive of both agency owned systems and contractor systems. For IT investments under development, security and privacy planning must proceed in parallel with the development of the system(s) to ensure IT security and privacy requirements and costs are identified and incorporated into the overall lifecycle of the system(s).

I.E.1) Identified the IT security costs for the system(s) and have integrated those costs into the overall costs of the investment:

Yes

I.E.2) Is identifying and assessing security and privacy risks a part of the overall risk management effort for each system supporting or part of this investment.

Yes

I.E.3) Have any weaknesses, not yet remediated, related to any of the systems part of or supporting this investment been identified by the agency or IG?

Yes

I.E.3.a) If "yes," have those weaknesses been incorporated into the agency's plan of action and milestone process?

Yes

PART I - F

PART I: SUMMARY INFORMATION AND JUSTIFICATION

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Section F: Enterprise Architecture (EA) (IT Capital Assets only)

In order to successfully address this area of the business case and capital asset plan you must ensure the investment is included in the agency's EA and Capital Planning and Investment Control (CPIC) process, and is mapped to and supports the FEA. You must also ensure the business case demonstrates the relationship between the investment and the business, performance, data, services, application, and technology layers of the agency's EA.

I.F.1) Is this investment included in your agency's target enterprise architecture?

Yes

I.F.1.a) If "no," please explain why? (LONG ANSWER)

I.F.2) Is this investment included in the agency's EA Transition Strategy?

No

I.F.2.a) If "yes," provide the investment name as identified in the Transition Strategy provided in the agency's most recent annual EA Assessment. (MEDIUM ANSWER)

I.F.2.b) If "no," please explain why? (LONG ANSWER)

This is a Legacy Investment in Operations and Maintenance mode. It is identified within the As-Is Business Architecture. Modernization Plan alignment is not applicable for Legacy Investments under O&M.

The systems in this investment are identified in detailed transition plans as: Insurance Payment System, Insurance General Ledger, Veterans Insurance Claims VICTARS, and Insurance Bulletin Board (which is the Insurance website). However, except for the website, these are legacy systems with no published plan for transition or replacement. The systems (except the website) are used at a single geographic location, and the shrinking customer base might not warrant transitioning the business rules to another platform. The issue is reviewed regularly for any needed changes in approach.

I.F.3) FEA SERVICE REFERENCE MODEL:

	I.F.3) Identify the service components funded by this major IT investment (e.g.,knowledge management, content management, customer relationship management, etc.). Provide this information in the format of the following table. For detailed guidance regarding components, please refer to http://www.whitehouse.gov/omb/egov/.

SERVICE COMPONENT TABLE:

	Agency Component Name(SHORT ANSWER)	Agency Component Description (MEDIUM ANSWER)	FEA SRM Service Type	FEA SRM Component (a*)	FEA Service Component Reused : Component Name (b*)	FEA Service Component Reused : UPI (b*)	Internal or External Reuse? (c*)	BY Funding Percentage (d*)
1	Sales and Marketing (Outreach)	Notifying potential and current customers of their eligibility for benefits.	Customer Relationship Management	Sales and Marketing			No Reuse	5.000
2	Customer / Account Management	Recording, retrieving, verifying and updating customer and account	Customer Relationship Management	Customer / Account Management			No Reuse	25.000

		information for manual and automated use, including paying death claims, paying annual dividends.						
3	Call Center Management	Veterans request account information and actions by phone.	Customer Relationship Management	Call Center Management			No Reuse	25.000
4	Process Tracking	Assigning and prioritizing work assignments to employees through workflow logic.	Tracking and Workflow	Process Tracking			No Reuse	5.000
5	Case / Issue Management	Maintaining a record of transactions and call center notes.	Tracking and Workflow	Case Management			No Reuse	2.000
6	Self-Service	Providing web-enabled access	Customer Initiated Assistance	Self-Service			No Reuse	2.000
7	Inbound Correspondence Management	Identifying and controlling incoming correspondence (e.g., applications for benefits, claims for death proceeds), including imaging and electronic storage of appropriate documents.	Routing and Scheduling	Inbound Correspondence Management			No Reuse	2.000
8	Outbound Correspondence Management	Identifying circumstances and generating automated or manual correspondence, advising of changes in policy status, and to invite death claims.	Routing and Scheduling	Outbound Correspondence Management			No Reuse	5.000
9	Configuration Management	Documentating and mapping IT and non-IT components to ensure they support the business objectives.	Management of Processes	Configuration Management			No Reuse	5.000
10	Information Retrieval	Extracting data on non-standard keys or en masse to answer	Knowledge Management	Information Retrieval			No Reuse	1.000

		queries.						
11	Standardized / Canned	Extracting data on pre-defined creieria, and using these reports to make tactical and strategic business decisions.	Reporting	Standardized / Canned			No Reuse	5.000
12	Billing and Accounting	Performing billing and accounting functions, including processing incoming payments by check (remittance processing) and other media, and updating the Insurance (Geac Series E) and Department's general ledger.	Financial Management	Billing and Accounting			No Reuse	5.000
13	Debt Collection	Processing the collection of liens and loans.	Financial Management	Debt Collection			No Reuse	2.000
14	Certification and Accreditation	Provide secure access to benefits records.	Security Management	Certification and Accreditation			No Reuse	3.000
15	Identification and Authentication	Validate user credentials	Security Management	Identification and Authentication			No Reuse	3.000
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	NOTE:
	(a*) - Use existing SRM Components or identify as "NEW". A "NEW" component is one not already identified as a service component in the FEA SRM.
	(b*) - A reused component is one being funded by another investment, but being used by this investment. Rather than answer yes or no, identify the reused service component funded by the other investment and identify the other investment using the Unique Project Identifier (UPI) code from the OMB Ex 300 or Ex 53 submission.
	(c*) - 'Internal' reuse is within an agency. For example, one agency within a department is reusing a service component provided by another agency within the same department. 'External' reuse is one agency within a department reusing a service component provided by another agency in another department. A good example of this is an E-Gov initiative service being reused by multiple organizations across the federal government.
	(d*) - Please provide the percentage of the BY requested funding amount used for each service component listed in the table. If external, provide the funding level transferred to another agency to pay for the service.

I.F.4) FEA TECHNICAL REFERENCE MODEL:

	I.F.4) To demonstrate how this major IT investment aligns with Reference Model (TRM), please list the Service Areas, Service Specifications supporting this IT investment.

TECHNICAL REFERENCE MODEL TABLE:

	FEA SRM Component (a*)	FEA TRM Service Area	FEA TRM Service Category	FEA TRM Service Standard
1	Sales and Marketing	Service Platform and	Delivery Servers	Application Servers

		Infrastructure		
2	Sales and Marketing	Service Platform and Infrastructure	Delivery Servers	Application Servers
3	Sales and Marketing	Service Platform and Infrastructure	Delivery Servers	Web Servers
4	Sales and Marketing	Service Platform and Infrastructure	Database / Storage	Database
5	Sales and Marketing	Service Platform and Infrastructure	Database / Storage	Storage
6	Sales and Marketing	Service Platform and Infrastructure	Presentation / Interface	Database Connectivity
7	Sales and Marketing	Component Framework	Data Management	Data Types / Validation
8	Customer / Account Management	Service Platform and Infrastructure	Delivery Servers	Application Servers
9	Customer / Account Management	Service Platform and Infrastructure	Delivery Servers	Web Servers
10	Customer / Account Management	Service Platform and Infrastructure	Database / Storage	Database
11	Customer / Account Management	Service Platform and Infrastructure	Database / Storage	Storage
12	Customer / Account Management	Service Platform and Infrastructure	Presentation / Interface	Database Connectivity
13	Customer / Account Management	Component Framework	Data Management	Data Types / Validation
14	Call Center Management	Service Platform and Infrastructure	Delivery Servers	Application Servers
15	Call Center Management	Service Platform and Infrastructure	Delivery Servers	Web Servers
16	Call Center Management	Service Platform and Infrastructure	Database / Storage	Database
17	Call Center Management	Service Platform and Infrastructure	Database / Storage	Storage
18	Call Center Management	Service Platform and Infrastructure	Presentation / Interface	Database Connectivity
19	Call Center Management	Component Framework	Data Management	Data Types / Validation
20	Process Tracking	Service Platform and Infrastructure	Delivery Servers	Application Servers
21	Process Tracking	Service Platform and Infrastructure	Delivery Servers	Web Servers
22	Process Tracking	Service Platform and Infrastructure	Database / Storage	Database
23	Process Tracking	Service Platform and Infrastructure	Database / Storage	Storage
24	Process Tracking	Service Platform and Infrastructure	Presentation / Interface	Database Connectivity
25	Process Tracking	Component Framework	Data Management	Data Types / Validation
26	Case Management	Service Platform and Infrastructure	Delivery Servers	Application Servers
27	Case Management	Service Platform and Infrastructure	Database / Storage	Database
28	Case Management	Service Platform and	Database / Storage	Storage

		Infrastructure		
29	Case Management	Service Platform and Infrastructure	Presentation / Interface	Database Connectivity
30	Case Management	Component Framework	Data Management	Data Types / Validation
31	Self-Service	Service Access and Delivery	Access Channels	Internet
32	Inbound Correspondence Management	Service Access and Delivery	Access Channels	Other Electronic Channels
33	Outbound Correspondence Management	Service Access and Delivery	Delivery Channels	Internet
34	Outbound Correspondence Management	Service Access and Delivery	Delivery Channels	Other Electronic Channels
35	Configuration Management	Service Platform and Infrastructure	Software Engineering	Software Configuration Management
36	Information Retrieval	Component Framework	Data Management	Reporting and Analysis
37	Standardized / Canned	Component Framework	Data Management	Reporting and Analysis
38	Billing and Accounting	Service Platform and Infrastructure	Delivery Servers	Application Servers
39	Billing and Accounting	Service Platform and Infrastructure	Delivery Servers	Web Servers
40	Billing and Accounting	Service Platform and Infrastructure	Database / Storage	Database
41	Billing and Accounting	Service Platform and Infrastructure	Database / Storage	Storage
42	Billing and Accounting	Service Platform and Infrastructure	Presentation / Interface	Database Connectivity
43	Billing and Accounting	Service Platform and Infrastructure	Data Interchange	Data Exchange
44	Billing and Accounting	Component Framework	Data Management	Data Types / Validation
45	Debt Collection	Service Platform and Infrastructure	Delivery Servers	Application Servers
46	Debt Collection	Service Platform and Infrastructure	Delivery Servers	Web Servers
47	Debt Collection	Service Platform and Infrastructure	Database / Storage	Database
48	Debt Collection	Service Platform and Infrastructure	Database / Storage	Storage
49	Certification and Accreditation	Component Framework	Security	Supporting Security Services
50	Identification and Authentication	Component Framework	Security	Supporting Security Services

	NOTE:
	(a*) - Service Components identified in the previous question(I.F.3) should be entered in this column. Please enter multiple rows for FEA SRM Components supported by multiple TRM Service Specifications
	(b*) - In the Service Specification field, Agencies should provide information on the specified technical standard or vendor product mapped to the FEA TRM Service Standard, including model or version numbers, as appropriate.
	I.F.5) Will the application leverage existing components and/or applications across the Government (i.e., FirstGov, Pay.Gov, etc)?
	No

	I.F.5.a) If "yes," please describe. (LONG ANSWER)
	I.F.6) Does this investment provide the public with access to a government automated information system?
	Yes
	I.F.6.a) If "yes," does customer access require specific software (e.g., a specific web browser version)?
	No

PART III - A

Part III: For "Operation and Maintenance" investments ONLY (Steady State)
Part III should be completed only for investments identified as "Operation and Maintenance" (Steady State) in response to Question 6 in Part I, Section A above.
OMB Text Limitations - SHORT ANSWER(250 Characters), MEDIUM ANSWER(500 Characters) and LONG ANSWER(2500 Characters)

Section A - RISK MANAGEMENT (All Capital Assets)
In order to successfully address this issue on the business case and capital asset plan, you must have performed a risk assessment at the initial concept, included mandatory risk elements defined below and demonstrate active management of the risk throughout the life-cycle of the investment.
For all investments, both IT and non-IT, you must discuss each of the following risks and present your plans to eliminate, mitigate, or manage risk, with milestones and completion dates. If there is no risk to the investment achieving its goals from a risk category, indicate so. If there are other risks identified, include them. Risk assessments should include risk information from all stakeholders and should be performed at the initial concept stage and then monitored and controlled throughout the life-cycle of the investment. Risk assessments for all investments must include: 1) schedule ; 2) initial costs; 3) life-cycle costs); 4) technical obsolescence; 5) feasibility; 6) reliability of systems; 7) dependencies and interoperability between this investment and others; 8) surety (asset protection) considerations; 9) risk of creating a monopoly for future procurements; 10) capability of agency to manage the investment; and 11) overall risk of investment failure.
In addition, for IT investments, risk must be discussed in the following categories 12) organizational and change management; 13) business; 14) data/info; 15) technology; 16) strategic; 17) security; 18) privacy; and 19) project resources. For security risks, identify under the Description column the level of risk as high, medium, or basic. What aspect of security determines the level of risk, i.e., the need for confidentiality of information, availability of information or the system, reliability of the information or system? Under the Current Status column, list the milestones remaining to mitigate the risk.
Moreover, for each risk category with a probability of occurrence of at least medium and impact of at least medium, please indicate whether or not the costs to mitigate the risk have been incorporated into your lifecycle cost estimates in the summary of spending stages section of this Exhibit 300. If not, please also indicate why in your response.
III.A.1) Does the investment have a Risk Management Plan?
Yes
III.A.1.a) If "yes," what is the date of the plan?
Apr 12, 2006
III.A.1.b) Has the Risk Management Plan been significantly changed since last year's submission to OMB?
No
III.A.1.c) If "yes," describe any significant changes: (LONG ANSWER)
III.A.2) If there currently is no plan, will a plan be developed?
III.A.2.a) If "yes," what is the planned completion date?
III.A.2.b) If "no," what is the strategy for managing the risks? (LONG ANSWER)

PART III - B

Part III: For "Operation and Maintenance" investments ONLY (Steady State)
Part III should be completed only for investments identified as "Operation and Maintenance" (Steady State) in response to Question 6 in Part I, Section A above.
OMB Text Limitations - SHORT ANSWER(250 Characters), MEDIUM ANSWER(500 Characters) and LONG ANSWER(2500 Characters)

III.B) Cost and Schedule Performance:
III.B.1) Was operational analysis conducted?
No
III.B.1.a) If "yes," provide the date the analysis was completed.
III.B.1.b) If "yes," what were the results? (LONG ANSWER)
III.B.1.c) If "no," please explain why it was not conducted and if there are any plans to conduct operational analysis in the future: (LONG ANSWER)
VA policy, Directive 6061, requires the use of post implementation reviews and operational analysis (OA) on operations and maintenance efforts for sustainment (system operation/steady state) investments to promote more effective management oversight. VA has published an Operational Analysis Guide that contains procedures for Operations Managers to perform an Operational Analysis on steady state investments. Managers are to examine the performance of an operating asset investment and measure that performance against established goals. Operations Managers accomplish the analysis by determining the outcomes with respect to goals of the investment, utilizing performance measures, in four major performance areas: 1.   Strategic – Determine how well the investment supporting VA strategic goals and objectives; 2.   Financial – Compare current (actual) costs to planned costs; 3.   System Technical Operations – Examine technical standard achievement in such areas as throughput, maintainability, reliability, help desk, quality; and 4.   User/Customer Satisfaction – Assess levels of customer satisfaction; examine usage trends, complaint logs, change order requests, and other evidence that the system is meeting user requirements. After gathering data in each of these areas managers perform a gap analysis and an innovation assessment. Operations Managers then recommend whether or not the existing system should be a) continued with no additional investment, b) enhanced, c) terminated, or d) migrated to another similar system. This input provides feedback to the Capital Planning and Investment Control process. Operations Managers must report the results of the annual VA Operational Analysis to VA Enterprise Program Management Office (EPMO). This program will provide an initial OA Annual Report to the EPMO on May 31, 2007 to facilitate VA business decisions. Commencing in January 2007, this program will provide the status of each major performance area listed above to VA EPMO as part of the Monthly Performance Review.   VA EPMO has published data requirements and procedures for this monthly reporting.
III.B.2) Complete the following table to compare actual performance against the current performance baseline and to the initial performance baseline. In the Current Baseline section, for all milestones listed, you should provide both the baseline and actual completion dates (e.g., "03/23/2003"/ "04/28/2004") and the baseline and actual total costs (in $ Millions).
III.B.2.a) What costs are included in the reported Cost/Schedule Performance information (Government Only/Contractor Only/Both)? (Per OMB requirements Cost/Schedule Performance information should include both Government and Contractor Costs).
Contractor and Government
III.B.2.b) Complete the following table to compare actual performance against the current performance baseline and to the initial performance baseline. In the Current Baseline section, for all milestones listed, you should provide both the baseline and actual completion dates (e.g., "03/23/2003"/ "04/28/2004") and the baseline and actual total costs (in $ Millions).

Description of Milestone	Current BL Completion Date Planned	Current BL Completion Date Actual
Prior Year Maintenance and Operations	Sep 30, 2004	Sep 30, 2004
Maintenance and Operations	Sep 30, 2005	Sep 30, 2005
Maintenance and Operations	Sep 30, 2006	Sep 30, 2006

Maintenance and Operations	Sep 30, 2007	
Maintenance and Operations	Sep 30, 2008	