FOCUS REVIEW PROCESS MODEL

TITLE LEGEND

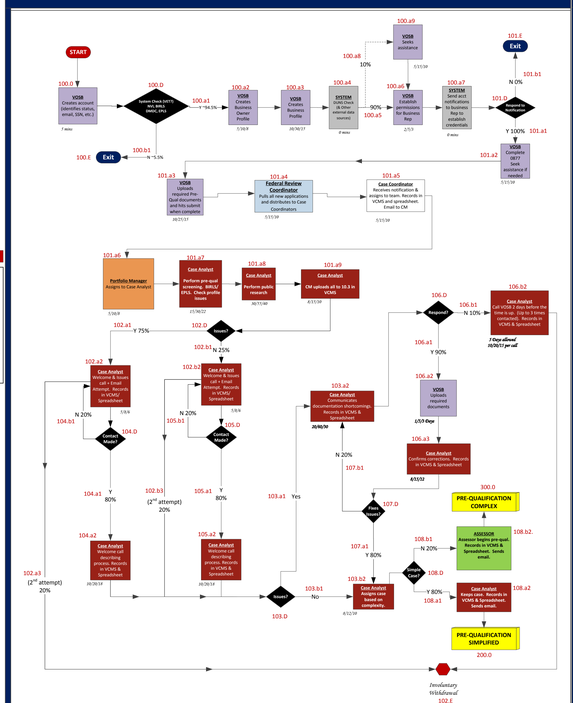
- VOSB
- Fed Reviewer
- Assessor
- Director
- OGC
- SYSTEM
- Case Coordinator
- Case Analyst
- RISK TEAM
- PORTFOLIO MANAGER

NUMBER LEGEND

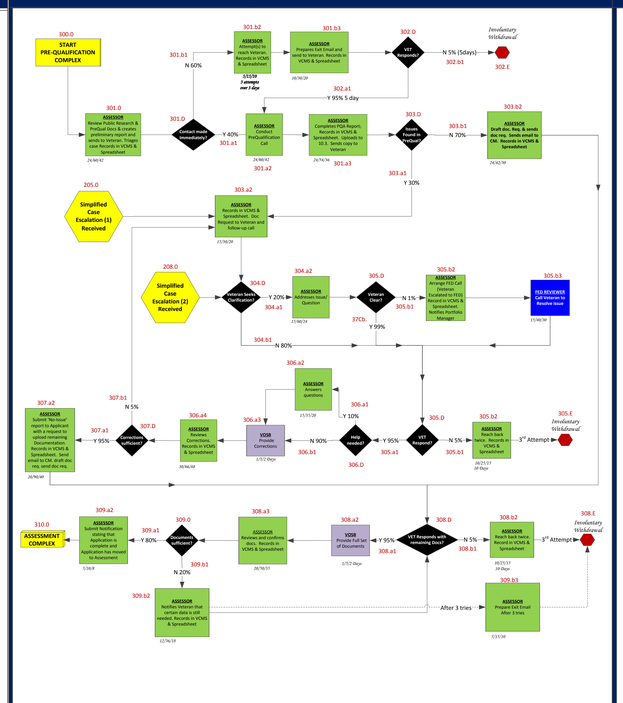
- 100 series: Intake
- 200 series: PQA Simple
- 300 series: PQA Complex
- 400 series: Assessment Simple
- 500 series: Assessment Complex
- 600 series: Decision

Focus Review Model
Version 1.3
02/04/2016

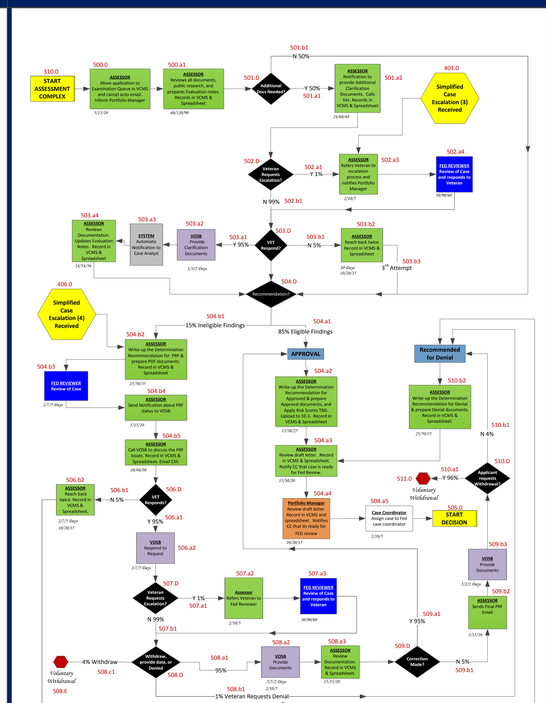
INTAKE



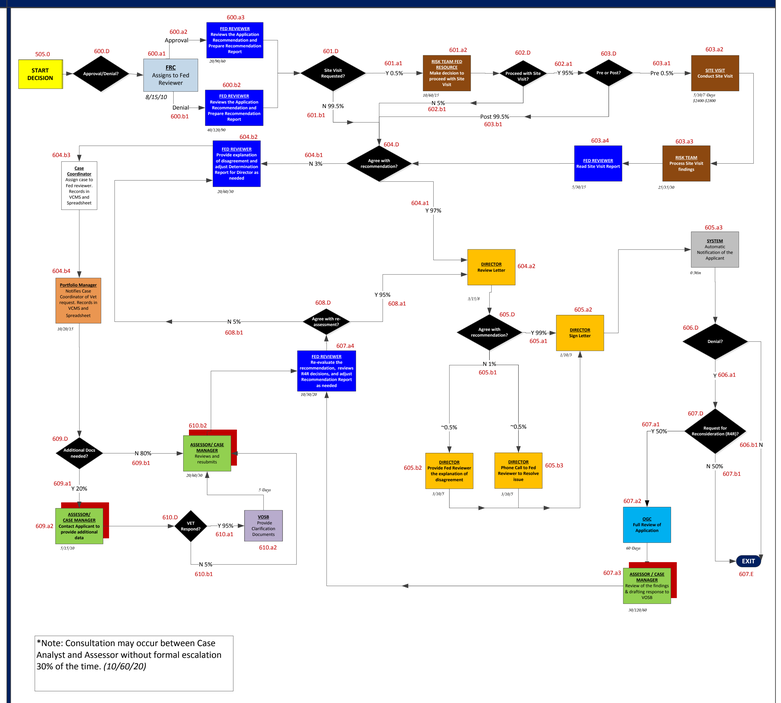
PRE-QUALIFICATION COMPLEX



ASSESSMENT COMPLEX

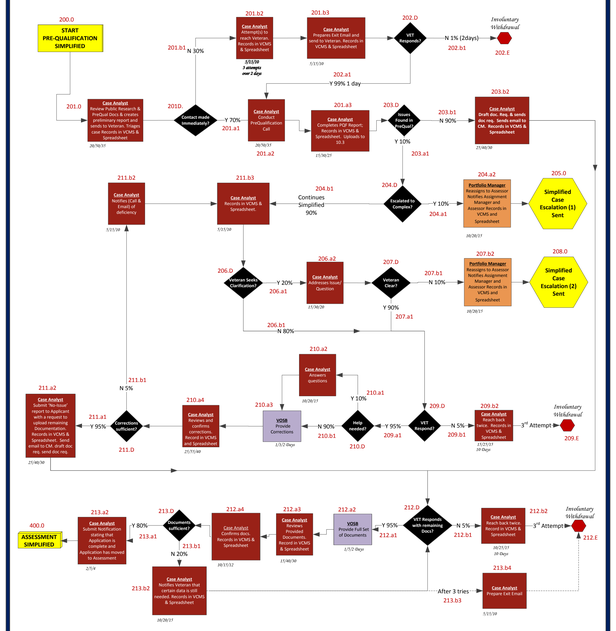


DECISION

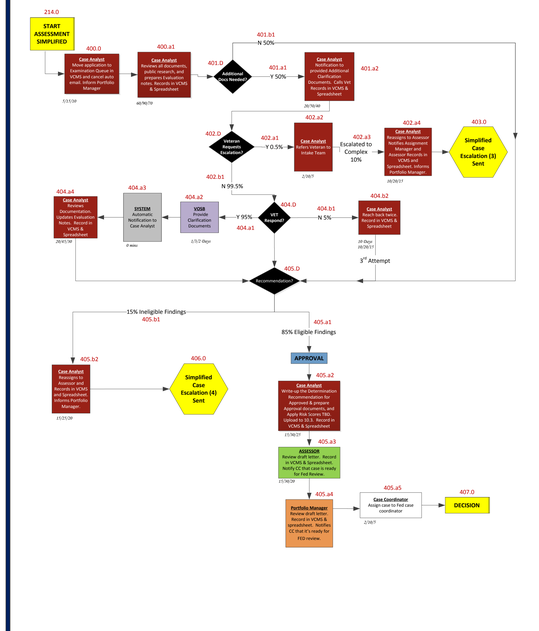


*Note: Consultation may occur between Case Analyst and Assessor without formal escalation 30% of the time. *(10/60/20)*

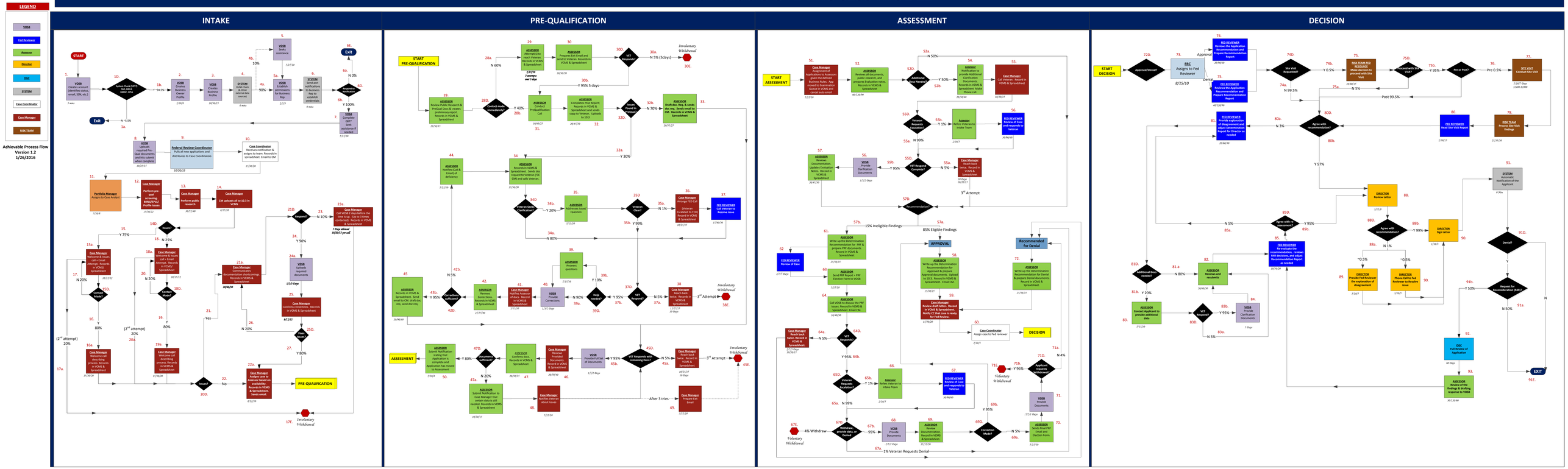
PRE-QUALIFICATION SIMPLIFIED



ASSESSMENT SIMPLIFIED



Achievable CVE PROCESS MODEL



Initiation

Verification Services/Risk Team
Change Requests 4-5wk
Change Request Spreadsheet
Start
Vet Submits New Applications (20-40/day)
Application Suspense/Followup (25 Apps per day)
Workflow Manager checks VCMS application queue in morning and afternoon and adds new cases to spreadsheet/ forwards to team members batched by New Apps and Follow-ups (10 mins)
Analyst Checks DBA, NAC, Form 0977, BIRLS, SAM, CCR, Fedreg, ORCA & EPLS (30 mins)
Minor Issue Found? — No 70% / Yes 30%
Application Change Request? — Yes → Workflow Manager Send application directly to Examination queue
Initiation Analyst adds remarks in VCMS indicating Issue then Attempts to Contact Applicant and Assist to Fix Easily Correctable Items (30 mins)
Every other day - attempts to make contact with Applicant
Vet/Un Responds? — Yes 40% / No 60%
Issue Corrected Before COB? — Yes / No
Workflow Manager compiases spreadsheet to forward to L1 workflow manager. 20 mins
Start
Vet Submits Renewal Application (10-15 Apps Per day)
Workflow Manager checks VCMS application queue for Renewal Applications (10 Minutes)
FED Staff member looks at DPT, checks BIRLS, looks at cheat sheet, statements (4 questions) to determine if Application is with no charges (5-10 Minutes)
Issues found? — Yes 20% / No 80%
Affirmation Issue? — Yes 30%-40% / No 60%-70%
Withdrawal Request to Initiation Team
Renewals Have 5 Business days passed since contact?
Renewed?
Have 7 Business days passed since contact?
Withdrawal Request from Other Swimlane
Recommend Application Withdrawal
Workflow Manager Withdrawal Action Assignment (30 Min)
Analyst uploads withdrawal Email Changes Status to Unavailable (10 Min)
Workflow Manager Sends Withdrawal spreadsheet to Fed for action (10 Min)
Fed reviews Application and Email (10 Min)
Final Reviewer Agrees with Findings? — Yes 98%
Withdrawal Notification Sent to Applicant
Workflow manager consolidates withdrawals and forwards to Verification Support to Contact Veteran
Workflow Manager checks COCAs applications to Fed Team Member (10 mins)
Initiators Fed Team Member verifies COCA is Ready for examination (15 mins)
COCA Approved? — Yes 8% / No 7%
Workflow Manager checks applications ready for COCA in EvaluView 5 mins 3 timeslots

Initiation Resources
1 Workflow manager
1 Contract Lead
3 Initiation Analysts
2 Fed Reviewers

At any point of the verification process up until the letter has been signed by the Director, the applicant can withdrawal their application which will result in an immediate withdrawal from the process.

Applicant Initiated Withdrawal → Application is Withdrawn

L1

Deputy Program Manager checks queue twice a day/ assigns cases to pre-screeners (10 mins)
Analyst does Basic data validation to check for D&B, Name, DUNS, Business Name (5 mins)
Issue Found? — Yes 10% / No 90%
Contact Applicant to provide missing documents or fix minor issues
Corrected within 48 hours? — No 5% → Withdrawal Request to Initiation Team / Yes 95%
(Initial Pre-Screen) Check for missing/ incomplete docs across governance docs; taxes, etc. (45 mins)
Proceed COCA? — Yes 90% / No 10%
Follow-up Prescreening - Contact Applicant and Request Needed Documentation (30 mins)
10 Day Notice provided to applicant
20 Day Notice provided to applicant
Issue Corrected within 30 days of starting Application? — Yes 95% / No 5% → Withdrawal Request to Initiation Team
COCA recommendation recorded in EvaluView and VCMS
Workflow Manager forwards the summary of COCAs in spreadsheet to Initiations Workflow Manager the following day (10 mins)

L1 Resources
6-8 Workflow manager
3.5 Analysts

Examination

Application Change Requests from Initiation
Deputy Program Manager reviews Queue/ assigns cases to Examiners (10 mins)
Application come from Evaluation for followup on additional clarifying questions or additional documentation needed.
Examination Analysts perform Basic Pre-Data Validation and ensures regulatory clock is running (15 minutes)
Examination Analysts Complete Public Research File, Review Applicant Supplied Documents, and Complete Examination Review Sheets (5.5 hrs)
Clarification Required? — Yes 95% / No 5%
Analyst reaches out to Applicant
1st Attempt - Applicant provides needed information/ clarification? (4/30/ month) 20 minutes
2nd Attempt - Applicant provides needed information/ month/clarification? (180/month) 10 minutes
3rd Attempt - Applicant provides needed information/ clarification? (52/month) 10 minutes
Determine Recommendation using Risk Matrix (5 mins)
Quality Control to be Completed
Self Withdrawn? — Yes 1% → Immediate Withdraw from system
Renewal Applicable? — Yes 7% → Withdrawal Request to Initiation Team
Full Quality Control Audit? — Yes 10% / No 90%
Quality Control (QR) – 3 Quality Reviewers overseeing 6-7 examiners (1-25 hours)
Quality Control (QR) – 3 Quality Reviewers overseeing 6-7 examiners (30 Min)
Issues Found? — Yes 5% / No 95%
Examination Analyst corrects (15 – 30 Min)
Analyst Sends Application to Evaluation Queue (10 Min)

Examination Resources
5 Workflow manager
20 Examiners
3 Quality Reviewers

Evaluation (Contractor)

Application Queue QR and L2
QR Apps 64% / L2 Apps 36%
Track 1 Check Triage (Fed Deputy) (10 mins)
Workflow Manager checks queue/ assigns cases (10 mins)
Track 1 (20% of all applications)
Track 2 (L2)
Track 2 (QR)
Pre-Decision Process (PDP)
Document review, Draft PDP Email (4-5 Hour)
Send to be Fed reviewed before contacting Applicant
Fed reviewed and ready to contacting Applicant
Pre-Determination Finding (PDF)
Overturned QR?
Document review, Draft PDF Email/ Evaluator Contacts Applicant (4-5 Hour)
Document review, Draft PDF Email/ Evaluator Contacts Applicant (1 Hour)
Review Updated Documentation/ update Review Sheet/ Determination (1-2 hour)
Allow Applicant 5 business days to provide required Artifacts (5% don't reply)
Documents satisfactory? — Yes 94% / No 6%
PDP Apps (Originally QR)
Update Review Sheet/Verification Support Contacts Applicant (1-2 hour)
Provide 7 days to Applicant to decide on Withdraw or Denial Letter
Withdraw or Denial? — Withdraw 98% / Denial 2%
Provide 2 days to Withdraw Application
Withdrawn as planned? — Yes 90% → Withdrawal Request to Initiation Team / No (proceed as Denial) 10%
Draft/Upload Determination Letter (1 Hour) (1 hour)
Workflow Manager Checks assigns cases to Fed Review Spreadsheet (10 mins)
Recommended for Approval? — Yes / No 95%
Draft/Upload Determination Letter (30 minutes)
L2 / QR L2? — QR → Track 3 Check Triage by Fed Deputy (10 mins)
Reduced Fed Review (Track 3)? — Yes 5%
Workflow Manager updates spreadsheet to acknowledge Track 3 Status (10 mins)
PDF Apps (Originally QR or PDP)
QR Apps (Originally PDF or PDP)
QR Apps (Track 2)
Review/Validate Examiner's Recommendation (2 hours)
Additional clarifying questions or documentation needed?
Examination is contacted for application followup, and Workflow manager is made aware of the request.
Determine Recommendation & Complete Review Sheet (2 hour)
Recommendation Overturned? — Yes / No
Overturn to PDP or PDF? — PDP / PDF
Application to be Fed reviewed before contacting Applicant
QR Apps (Originally Track 1)

Evaluation (Contractors) Resources
1 Case Flow manager
15 Evaluators

Evaluation (Fed Review)

Federal Evaluation Queue Includes All Applications Except Track 3
Fed Reviewers available in less than 4 hours? — Yes 28% / No 72%
Track 1 Application? — Yes / No
Validate/ Correct Evaluator/ Paralegal Work (2 hours)
Complete Federal Review (2 hours)
Original Recommendation Upheld? — Yes 95-97% / No 3%-5%
Develop Approval Letter for Track 1 Applications (15 Minutes)
Letter Forwarded to Determinations via Email (5 mins)
Overturned to PDP or PDF? — QR / PDF / PDP
Make revisions to the letter as needed (15 Minutes)

Evaluation (Fed) Resources
3 FTE / 6 part time Fed Reviewers

Fed Review requested on PDP Application
Validate/ Correct Evaluator/ Paralegal Work (2 hours)
Send back to Evaluation to continue reviewing PDP Application

Determination

Workflow Manager checks Determinations Email and forward to contractor team members (10 mins)
Review Determination Letter/Completes Distribution Form (15 mins)
Letter Revisions needed? — No 90% / Yes 10%
Send back to Workflow Manager and coordinate the revisions
Federal Review (15 mins)
Letter Revisions needed? — No 90% / Yes 20%
Send back to Evaluator Fed Reviewer and coordinate the revisions
Letter Forwarded to Director for Signature (5 mins)
Quality Reviewer Dates, Scans, and uploads letter to Q drive (5 mins)
Process the letter in VCMS/ Outlook (5 mins)
Email letter to Vet (5 mins)
Business Analyst (VMLO/MIL) list on a daily basis (real time)
VMLO/MIL data uploaded to SharePoint
Expiration Notifications (120, 90, 30) generated on a daily basis based on the list and sent out to Verified companies. Analysts done to determine the verification type, based on the previous application type

Determination Resources
5 Workflow manager
1 Fed Reviewer (80%)
2.5 Quality Reviewers
2 Business Analyst (VMLO/MIL)