



# governmentattic.org

*"Rummaging in the government's attic"*

Description of document: Correspondence from the Commodity Futures Trading Commission (CFTC) to Congressional Committees, CY 2012 – CY 2013

Request date: 19-April-2013

Released date: 11-July-2013

Posted date: 08-September-2014

Source of document: Freedom of Information Act Request  
FOIA Compliance Office  
Commodity Futures Trading Commission  
Three Lafayette Centre  
1155 21st Street NW  
Washington, DC 20581  
[Online FOIA Request Form](#)

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**U.S. Department  
of Veterans Affairs**

**Office of the General Counsel  
Washington, D.C. 20420**

**In Reply Refer To: FOIA #14-03786-F**

August 5, 2014

I respond to your Freedom of Information Act request (FOIA), dated March 23, 2014, to the Office of General Counsel (OGC) wherein you requested a copy of the written materials prepared in the most recently completed VA Office of General Counsel Leadership Summit. I received your request on March 24, 2014 and assigned it tracking number 14-03786-F.

I am granting your request as to the records OGC maintains. Enclosed is the written material prepared in the most recently completed VA Office of General Counsel Leadership Summit. The OGC documents are provided with redactions of individual names, age and other personally identifiable information pursuant to Exemption 6 of FOIA [5 U.S.C. § 552(b)(6)]. Exemption 6 protects personal privacy.

I believe the aforesaid is in full response to your inquiry.

Sincerely yours,

A handwritten signature in black ink, appearing to read 'J. Thomas Burch, Jr.', written in a cursive style.

J. Thomas Burch, Jr.  
OGC FOIA Officer  
Office of the General Counsel

Enclosure

Notice of Appeal Rights: If you wish to appeal this determination, your appeal must be sent to the Office of General Counsel within sixty (60) calendar days of the date of this letter to Office of General Counsel (OGC) (024), Department of Veterans Affairs, 810 Vermont Avenue, N.W., Washington, DC 20420. Please include your case number in any appeal. If you wish to request additional records or clarification, please write directly to the person signing this letter. Doing this will not change your appeal rights.





Department of Veterans Affairs

Office of General Counsel

2013 Leadership Summit

## Announcements

Title

The 2013 OGC Leadership Summit

May 21-23, 2013 at the Hilton Alexandria Old Town, 1767 King Street, Alexandria VA.

## Travel Instructions

[Click here to read and print the Travel Instructions.](#)

## Presentations

Type	Name	Modified By
------	------	-------------

	6-EST Report	
	4-Torts -VC	
	1-Torts PDET	
	5-STAR Report	
	3-Torts - Super Collaborative	
	2-Torts Pilot 1	

(More Documents...)

[Add document](#)

## Shared Documents

Type	Name	Modified By
------	------	-------------

	ratified OGC Enabling Goal and Objectives	
	revised enabling goal and objectives	
	Evaluation Form	
	Agenda	
	TRAVEL_INSTRUCTIONS	
	TRAVEL INSTRUCTIONS	

[Click Here to Email for Help, Questions or Suggestions](#)

## Links

- [Hilton Alexandria Old Town](#)
- [Enabling Goal Worksite](#)
- [2009 National Conference - Boston](#)
- [2010 National Conference - Alexandria](#)
- [2011 Leadership Summit - Philadelphia](#)
- [2012 Leadership Summit-Washington-SWOT Analysis](#)
- [Town Hall feedback on pilots and Enabling Goal objectives](#)



00 01



**Office of General Counsel  
2013 Leadership Summit**

Meeting Date	May 21-23, 2013		
Location	Hilton Alexandria Old Town, 1767 King Street, Alexandria VA		
Purpose / Objectives:	<ul style="list-style-type: none"><li>• To execute a refreshed OGC Strategic Plan Enabling Goal</li><li>• To review the progress of the Ethics, Research, and Torts Specialty Team Pilots</li><li>• To plan other pilot programs and/or other business-process improvements to enhance OGC’s overall operating efficiency and resource allocation flexibility</li></ul>		
Tuesday, 5/21			
8:00-8:30	Introductions/”One Thing”	All Participants	Salon A/B
8:30-9:50	The State of OGC – Where We Are Now, How We Got Here, and Where We Are Headed		Salon A/B
9:50-10:10	Break and BlackBerry Check		
10:10-10:40	Enabling Goal Objective E1 - Summary and Recommendations	Workgroup E1	Salon A/B
10:40-11:10	Enabling Goal Objective E2 - Summary and Recommendations	Workgroup E2	Salon A/B
11:10-11:40	Enabling Goal Objective E3 - Summary and Recommendations	Workgroup E3	Salon A/B
11:40-12:10	Enabling Goal Objective E4 - Summary and Recommendations	Workgroup E4	Salon A/B
12:10-1:10	Lunch and BlackBerry Check		
1:10-1:40	Enabling Goal Objective E5 - Summary and Recommendations	Workgroup E5	Salon A/B
1:40-2:10	Enabling Goal Objective E6 - Summary and Recommendations	Workgroup E6	Salon A/B
2:10-2:40	Enabling Goal Objective E7 - Summary and Recommendations	Workgroup E7	Salon A/B
2:40-3:00	Break and BlackBerry Check		
3:00-3:30	Enabling Goal Objective E8 - Summary and Recommendations	Workgroup E8	Salon A/B
3:30-4:00	Other Objectives/Strategies - Summary and Recommendations	Workgroup E9	Salon A/B
4:00-5:00	Discussion and Ratification of Enabling Goal		Salon A/B



**Office of General Counsel  
2013 Leadership Summit**

Wednesday, 5/22

8:00-8:30	The Pilots: Where We Are Now, What Comes Next		Salon A/B
8:30-1:45	Groups II and VII Break-Out		Jefferson Room
8:30-9:15	Torts Pilots – Review of Expectations	Torts PDET	Salon A/B
9:15-10:00	Torts Pilot # 1 – Update	Torts Pilot #1	Salon A/B
10:00-10:20	Break and BlackBerry Check		
10:20-11:05	Super Collaborative Torts Pilot – Update	Super Collaborative	Salon A/B
11:05-11:50	Virtual Collaborative Torts Pilot – Update	Virtual Collaborative	Salon A/B
11:50-12:50	Lunch and BlackBerry Check		
12:50-1:20	STAR - Update		Salon A/B
1:20-1:50	EST - Update		Salon A/B
1:50-2:50	Lessons Learned in the Creation of Other Specialized Legal Teams		Salon A/B
2:50-3:10	Break and BlackBerry Check		
3:10-5:00	Legal Specialty Teams: Emerging Themes and Strategic Imperatives		Salon A/B
6:00	Optional Social Event		TBA



**Office of General Counsel  
2013 Leadership Summit**

Thursday, 5/23

8:00-8:45	Planning for Our Future: How Can We Sustain Excellence in an Increasingly Resource-Constrained Environment?		Salon A/B
8:45-10:45	Break-Out Sessions by Product Category of Greatest Interest: <ul style="list-style-type: none"><li>• Benefits</li><li>• Business Law</li><li>• Torts</li><li>• Employment Law</li><li>• Health Law</li><li>• Other Specialized Legal Services</li></ul>	All Summit Participants	Salon A/B, Jefferson Room
10:45-11:05	Break and BlackBerry Check		
11:05-12:00	Closing Remarks		Salon A/B
Noon	Adjourn*		
1:00-5:00	Optional Meeting Opportunity for Pilot Teams*		Salon A/B, Jefferson Room

\*Note: hotel check-out time is noon on Thursday 5/23

00 03



# OGC Leadership Summit 2013

## Ethics Specialty Team

[REDACTED]  
May 2013





# Overview

- \* Strategic Vision/Plan
- \* The Team
- \* EST Process
- \* Performance Measures
- \* Survey
- \* Discussion/Path Ahead
- \* Questions/Wrap-Up

# Strategic Vision

“If you serve customers internally and externally well every day, success will come. Don’t worry about that as an objective. Just fulfill your daily responsibilities: Like other people, serve other people, be nice to other people, and everything else will work out for you.”



# Strategic Plan

“We have a strategic plan. It’s called doing things.”

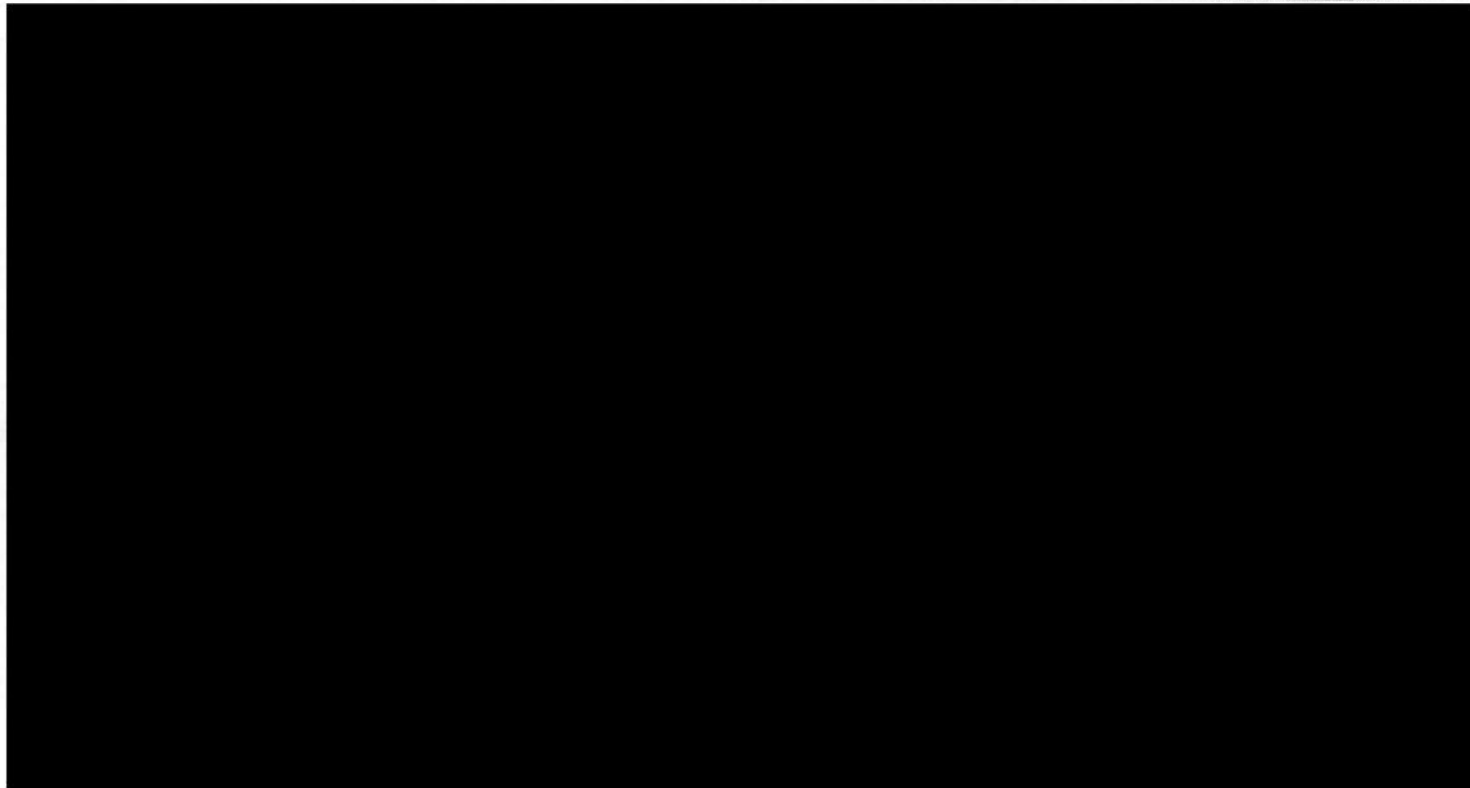


OGC Leadership Summit 2013

# The Team

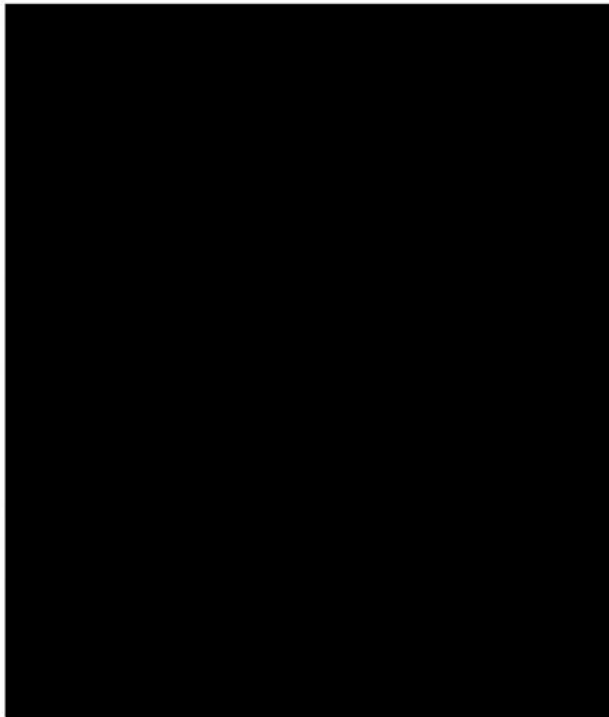


# Ethics Specialty Team - Kick-Off





# Ethics Specialty Team - Current



# EST Organization for Intake

- \* West – Regions 13, 16, 18, 19 and 20
- \* Northeast – Regions 1, 2, 4, 7, 11 and 21
- \* Midwest – Regions 3, 8, 10, 12, 15 and 22
- \* Southeast – Regions 5, 6, 9, 14, 23
- \* VACO

# EST Organization for Intake

- \* [OGCNorthEastEthics@va.gov](mailto:OGCNorthEastEthics@va.gov) for ME, NH, VT, MA, RI, CT, NY, NJ, DE, PA, OH, WV, MI, WI
- \* [OGCSouthEastEthics@va.gov](mailto:OGCSouthEastEthics@va.gov) for VA, NC, SC, GA, FL, MS, AL, LA, southern TX, Puerto Rico
- \* [OGCMidwestEthics@va.gov](mailto:OGCMidwestEthics@va.gov) for DC, MD, IN, KY, TN, AR, MO, IL, IA, MN, ND, SD, NE, KS,
- \* [OGCWestEthics@va.gov](mailto:OGCWestEthics@va.gov) for northern TX, OK, NM, AZ, CO, UT, WY, MT, ID, NV, CA, OR, WA, HI, AK, Guam, Philippines

# Areas of Responsibility

Ethics Advisory Opinions

Ethics Training

- \* Mandatory Annual
- \* Mandatory New Entrant
- \* New Universal Requirement
- \* Special, tailored, on request

Hatch Act

Fundraising

Gifts to and Between  
Employees

Financial Disclosure

- \* Public
- \* Confidential
- \* Alternate – for  
researchers

FDM Program Management

STOCK Act


OGC Leadership Summit 2013

# Performance Measures





# Performance Measures aka Statistics

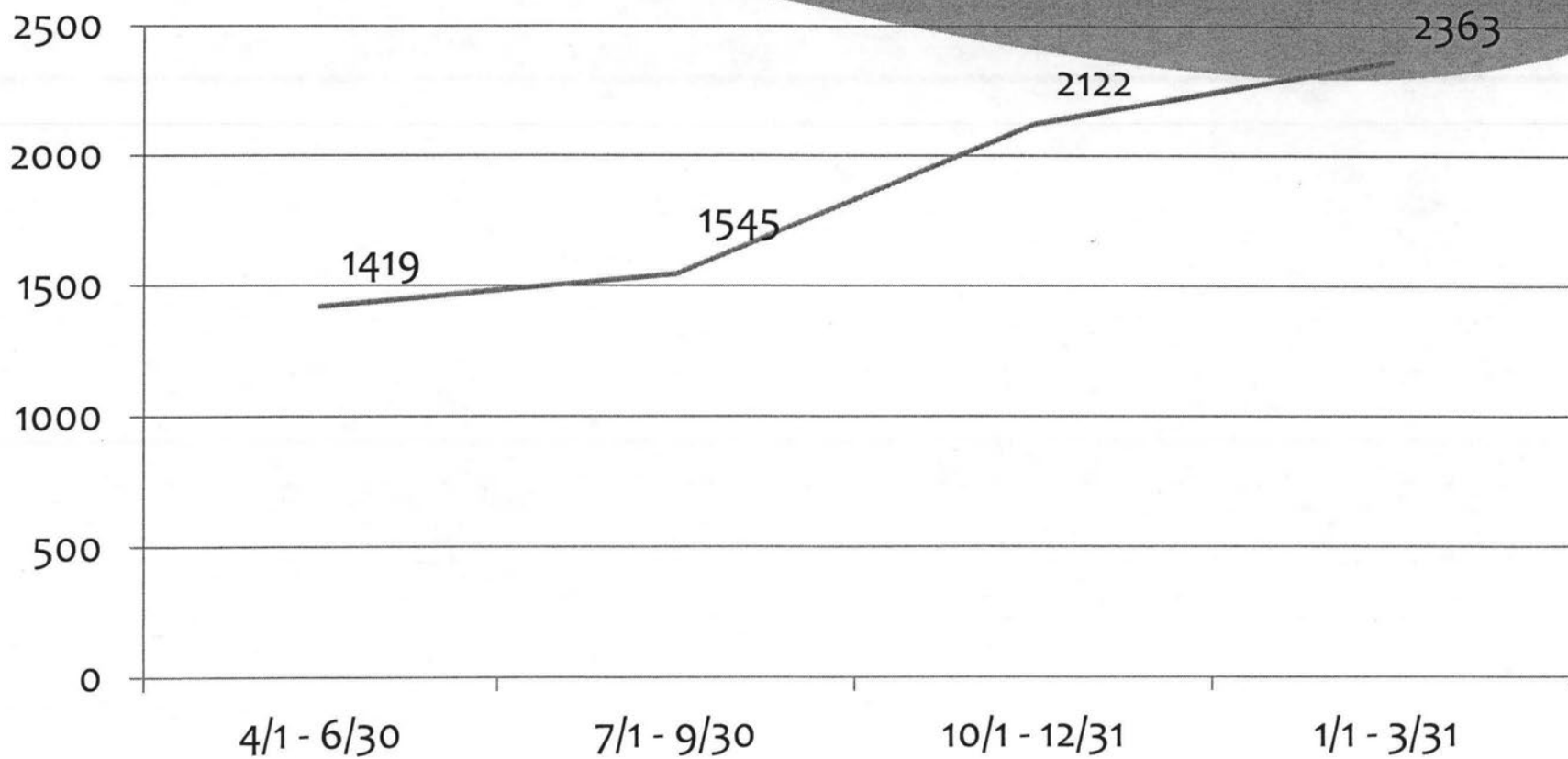
- \* “The government are very keen on amassing statistics. They collect them, add them, raise them to the  $n$ th power, take the cube root and prepare wonderful diagrams. But you must never forget that every one of these figures comes in the first instance from the village watchman, who just puts down what he (expletive) pleases.”
- 

# Measures and Metrics in approved PDET Plan

- \* Average Days Open - Ethics Advisory Tasks
- \* Average Hours per Ethics Advisory Task
- \* Average days to CFD Initial Review
- \* FTEE Reduction
- \* Develop SOPs (Admin, GCLaws & Program)

# Ethics Advisory Tasks

Tasks

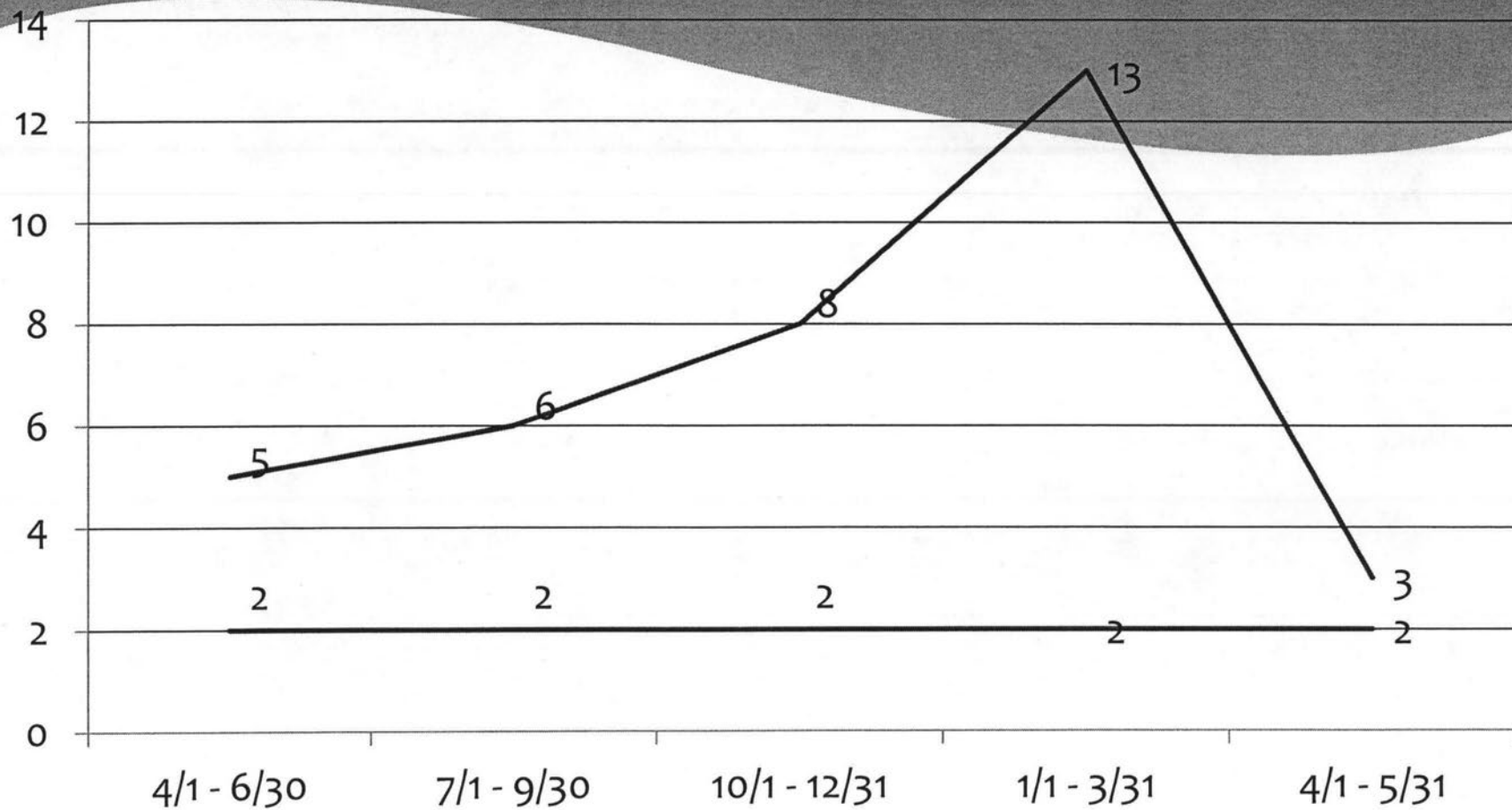


# Ethics Specialty Team Pilot Performance Measures

Average Days to Close – Ethics Advisory Tasks

Goal	Actual Performance
8.5	8
E564	

# Ethics Advisory (Avg Hours & Avg Days)





# Ethics Specialty Team Pilot Performance Measures

Average Hours Per Ethics Advisory Task

Goal	Actual Performance
26	2
510	

# Initial Review of CFD Reports

- \* Percentage of CFD reports reviewed within 60 days
- \* CY 11 78% PSG III and Regions
- \* CY 12 83% PSG III/Regions and EST
- \* CY 13 Goal is 90% EST only

# Ethics Specialty Team Pilot Performance Measures

Average Days – CFD Initial Review

Goal	Actual Performance
90%	99.999%
FDM	

# Ethics Specialty Team Pilot

Number of FTEEs in EST:

<b>Supervisors</b>	<b>1</b>
<b>Attorneys</b>	<b>12</b>
<b>Paralegals</b>	<b>3.5</b>
<b>Administrative Support</b>	<b>1</b>

# FTEE Reduction

- \* PDET Approved Assistant Chief, 13 attorneys and 6 support staff (This approved model is a 5% reduction)
- \* Launch with Asst Chief, 11 attorneys and 6 support staff
- \* Currently Asst Chief, 12 attorneys and 4.5 support staff



# Develop SOPs

- \* Standard Operating Procedures for major processes on SharePoint
- \* Training
- \* Ethics Advisory Advice (WAG, Hatch, Coordination)
- \* Financial Disclosure
- \* GCLaws

OGC Leadership Summit 2013

# Survey Results



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# Supervisor's Survey Results



# Ethics Specialty Team Pilot Supervisor's Survey Results

The Ethics Pilot has improved the quality of legal service in the area of Ethics.

☐ agree/strongly agree and

☐ do not know.



# Ethics Specialty Team Pilot Supervisor's Survey Results

The Ethics Pilot has improved the timeliness of legal service (i.e., average days to close a case or task) in the area of Ethics.

☐ agree/strongly agree and

☐ do not know.



# Ethics Specialty Team Pilot Supervisor's Survey Results

**The Ethics Pilot has improved the efficiency of legal service (i.e., average hours per case or task) in the area of Ethics.**

☐ agree/strongly agree and

☐ do not know.

# Ethics Specialty Team Pilot Supervisor's Survey Results

**The Ethics Pilot has benefitted my Region or Staff Group.**

☐ agree/strongly agree and

☐ do not know.

# Ethics Specialty Team Pilot Supervisor's Survey Results

**The number of FTE assigned to the Ethics Specialty Team is commensurate with the Team's workload**

☐ agree/strongly agree and

☐ do not know.

# Ethics Specialty Team Pilot Supervisor's Survey Results

**The number of FTE assigned to the Ethics Specialty Team is appropriate, given OGC's non-ethics workload.**

☐ agree/strongly agree and

☐ do not know.

# Ethics Specialty Team Pilot Supervisor's Survey Results

**The percentage of involvement of each employee assigned to the Ethics Specialty Team is appropriate, given the participating OGC's non-Ethics workload.**

☐ agree/strongly agree and

☐ do not know.



# **Ethics Specialty Team Pilot Supervisor's Survey Results**

**I have received positive feedback from  
clients about the Ethics Specialty Team.**

☐ agree/strongly agree and

☐ do not know.

# **Ethics Specialty Team Pilot Supervisor's Survey Results**

**The centralization of ethics work to the  
Ethics Specialty Team has benefitted my  
Region or Staff Group.**

☐ agree/strongly agree and

☐ do not know.

# Ethics Specialty Team Pilot Supervisor's Survey Results

**Please describe any particular positive or negative outcomes you have experienced in your Region or Staff Group related to the Ethics Specialty Team.**

☐ no particular outcomes.


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# Participant Survey Results



# Ethics Specialty Team Pilot Participant Survey Results

**I understand what is expected of me as a participant in this pilot.**

 of respondents agree/strongly agree



# Ethics Specialty Team Pilot Participant Survey Results

**I understand the metrics and goals by which  
the pilot's effectiveness will be measured.**

 of participants agree/strongly agree


# Ethics Specialty Team Pilot Participant Survey Results

Compared to what you think it should be, how satisfied are you with relationships you have with your coworkers?

 satisfied/very satisfied.

# Ethics Specialty Team Pilot Participant Survey Results

Compared to what you think it should be,  
how satisfied are you with the quality of  
direct supervision you receive?

 satisfied/very satisfied.

# Ethics Specialty Team Pilot Participant Survey Results

**Compared to what you think it should be,  
how satisfied are you with the quality of the  
work you are now doing?**

 satisfied/very satisfied

# Ethics Specialty Team Pilot Participant Survey Results

Compared to what you think it should be, how satisfied are you with the feedback you receive from clients about your work?

 satisfied/very satisfied



# Ethics Specialty Team Pilot Participant Survey Results

**Compared to what you think it should be,  
how satisfied are you with your current  
workload?**

 satisfied/very satisfied

# Kudos

- \* RC Staff Attorney – Outstanding advice. Team is timely, concise and accurate. Many thanks from clients.
- \* Compliance Officer – Quick, thorough and accurate responses to staff. Much more likely to ask before acting. Hopes to continue work with EST.
- \* Program Specialist – Thanks entire fine crew. Everyone chipped in and helped with difficult task.

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# Discussion



# Ethics Specialty Team Pilot Discussion

- \* What were successes worth noting?
- \* What were surprises?
- \* What complaints were received?
- \* What did not work well?
- \* What changes were made after pilot began?

# Successes

- \* Exceed all performance measures
- \* Transition all CFD filers (8,300+) to TMS for training and tracking of annual training
- \* Develop and field new computer interactive annual ethics training
- \* Hatch Act weekly updates to all VA
- \* 100% of OGE 278 filers submitted reports
- \* STOCK Act implementation and compliance



# Successes Cont.

- \* All PFD filers trained with one exception
- \* Continuity of Operations during Hurricane Sandy and other natural/IT disasters
- \* 2013 CFD Season
- \* OGC internal training sessions
- \* Specialized training sessions (e.g., Researchers)
- \* New administrative methods for assigning cases
- \* High participant satisfaction and engagement

# Surprises

- \* Sheer Volume
- \* Difficulty of transition to TMS for annual training
- \* Difficulty fielding new annual ethics training
- \* STOCK Act

# Path Ahead

- \* 6/30 Pilot extended and data collection to continue
- \* 7/31 PDET Recommendation to PGT
- \* 9/1 PGT will submit final recommendation to GC

# QUESTIONS?





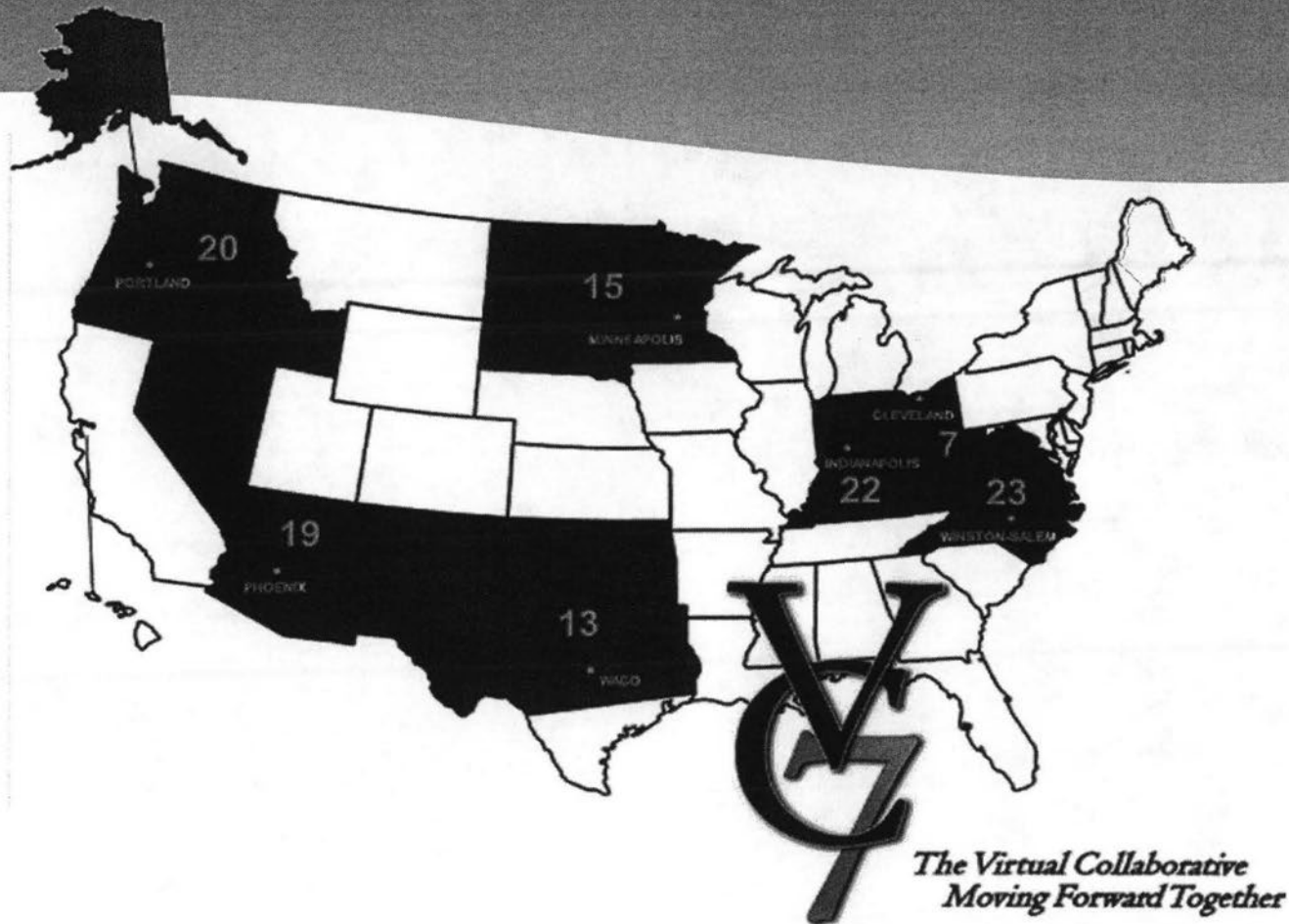
# OGC Leadership Summit 2013

## Virtual Collaborative Torts Pilot





# Virtual Collaborative Torts Pilot



Region 7 Cleveland  
Region 13 Waco  
Region 15 Minneapolis  
Region 19 Phoenix  
Region 20 Portland  
Region 22 Indianapolis  
Region 23 Winston-Salem

Region 7 Cleveland  
Region 13 Waco  
Region 15 Minneapolis  
Region 19 Phoenix  
Region 20 Portland  
Region 22 Indianapolis  
Region 23 Winston-Salem

# Virtual Collaborative Torts Pilot

## VC Product Lines:

- \* MCCF
- \* Loan Guaranty
- \* Business/Procurement Law
- \* Transactional Law (under construction)
- \* Torts
- \* Personnel Law

# Virtual Collaborative Torts Pilot

## VC Product Lines Matrix Management:

- \* **MCCF** – [REDACTED]
- \* **Loan Guaranty** – [REDACTED]
- \* **Business/Procurement Law** – [REDACTED]
- \* **Transactional Law** (under construction)
- \* **Torts** – [REDACTED]  
[REDACTED]

# Virtual Collaborative Torts Pilot

**VC Product Lines Staffing Process:** staffing was based on a pro rata share of current staff using past workload percentages for the product line

## Tort example

Torts = 30% of VC case time historically

VC current staffing in the spring of 2012 = 100 FTEE

100 FTEE in VC x .30 = 30 FTEE for torts



# Virtual Collaborative Torts Pilot

## Team A

RC Level  
Champion  
(rotating)

ARC Level  
Champion  
(fixed)

SMEs  
(fixed)

## Team B

RC Level  
Champion  
(rotating)

ARC Level  
Champion  
(fixed)

SMEs  
(fixed)

## Team C

RC Level  
Champion  
(rotating)

ARC Level  
Champion  
(fixed)

SMEs  
(fixed)

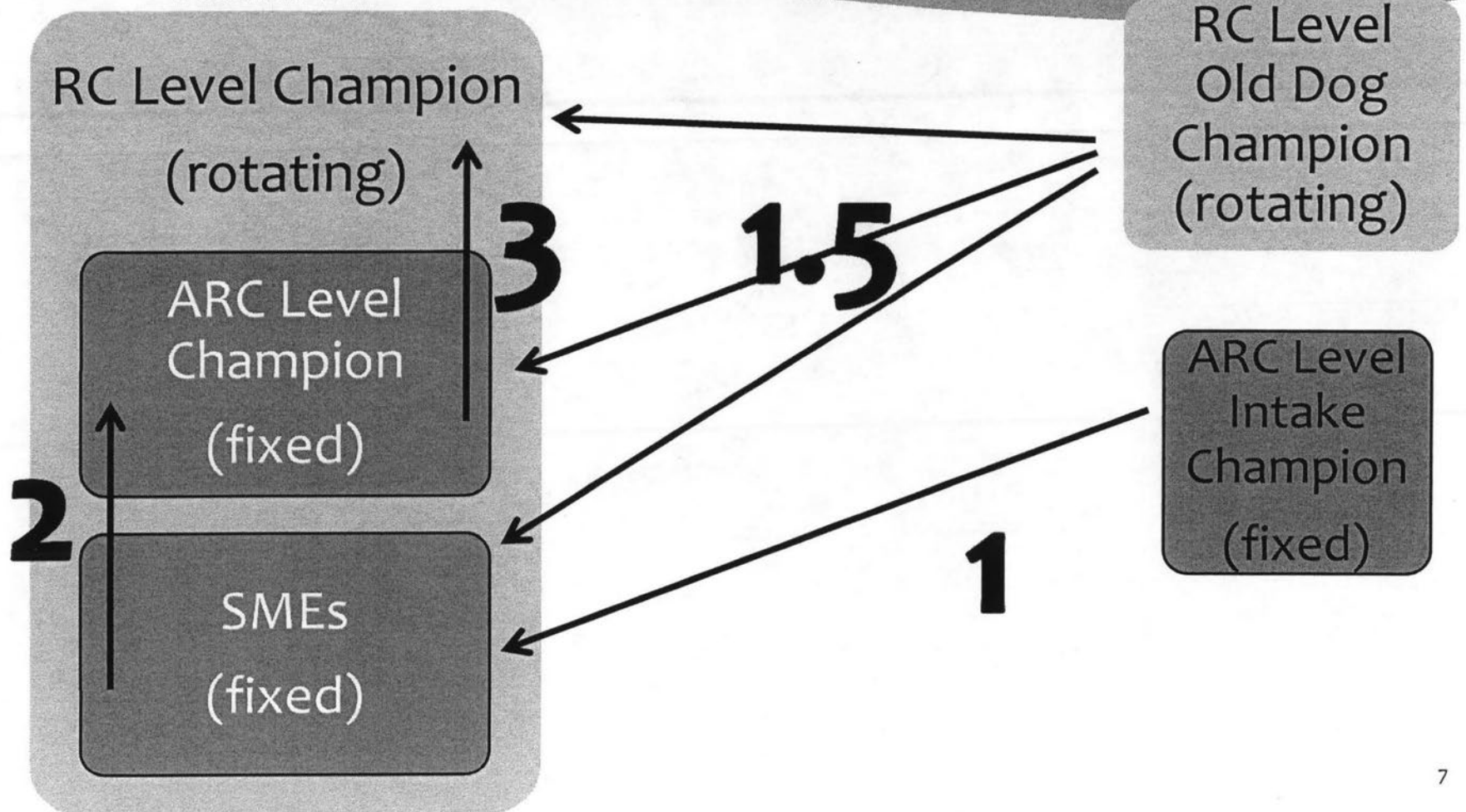
RC Level  
Old Dog  
Champion  
(rotating)

ARC Level  
Intake  
Champion  
(fixed)




# Virtual Collaborative Torts Pilot

## Team A



0 60

# Virtual Collaborative Torts Pilot



Department of Veterans Affairs  
**Office of General Counsel**

Virtual Collaborative Tort Project ▶

This Site: Virtual Collab

OGC Areas of Law ▼ OGC Offices ▼ Specialty Teams ▼ Work Groups ▼ Research & Reports ▼ Employee Portal ▼ Training Tech Help

OGC > Work Groups > Collaboratives > Virtual Collaborative > Virtual Collaborative Tort Project

Click here to send in a new SF95

Team A

Click to Submit a Report for Review

Reports under Review

Team B

Click to Submit a Report for Review

Reports under Review

Team C

Click to Submit a Report for Review

Reports under Review

Team Discussion

Document Standardization

Tort Team Quick Tools

Facility POCs

Tort Team SOP

Tort Team FAQs

Tort Report Template

Training

Announcements

Got a Question About a Process?  
 by Schiffer, Cynthia

3/19/2013 1:13 PM

Check the Tort SOP or our Frequently Asked Questions (FAQs), or as always feel free to contact one of the Tort Champions:  
 Team A: Anita Varma  
 Team B: Nancy Moran  
 Team C: Arlene Shively  
 Intake & Assignment: Cindy Schiffer

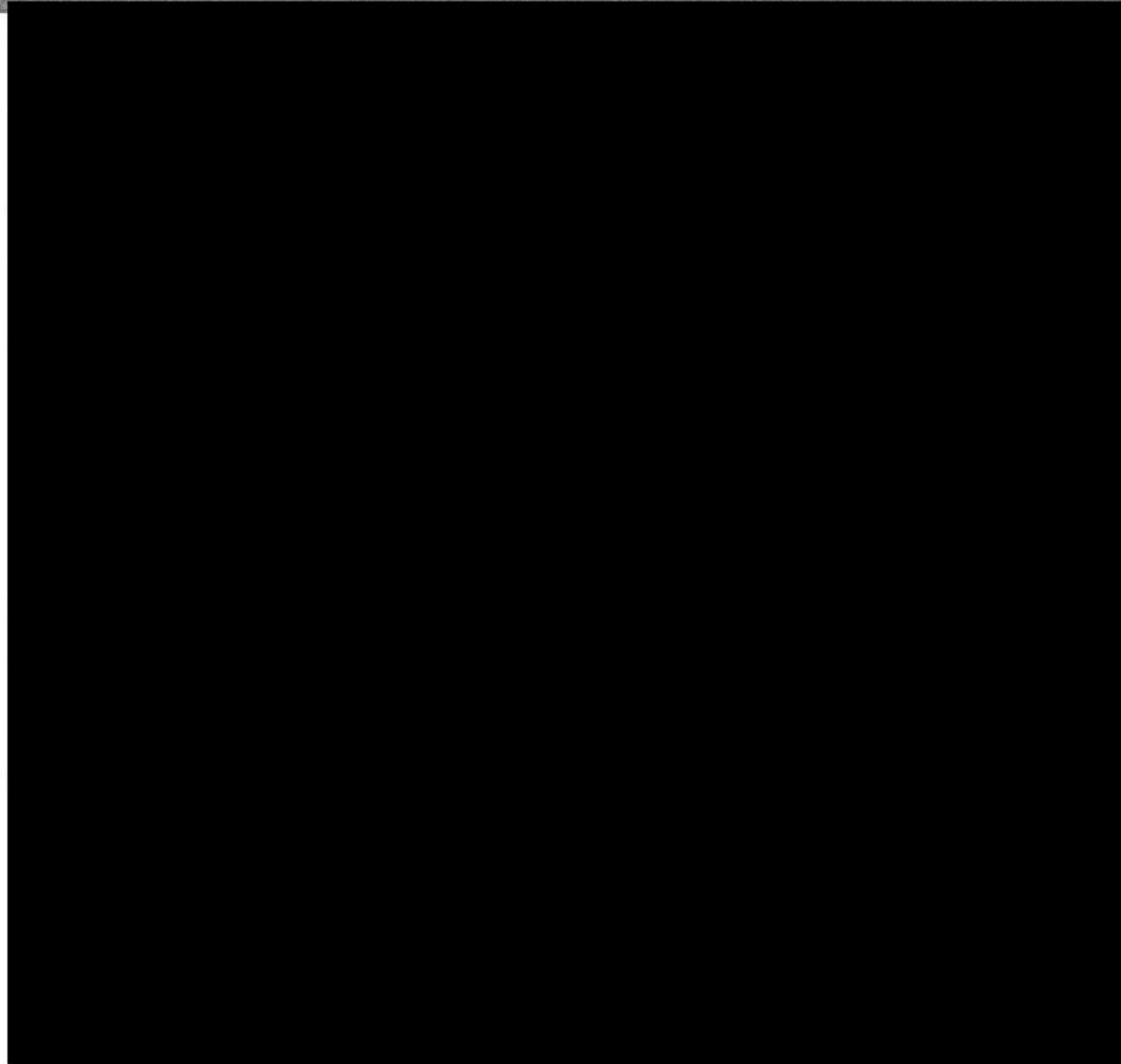
(More Announcements...)

Add new announcement

Calendar

Title	Location	Start Time	End Time	Description
CWS - Team B - Ruth B.		8/31/2012 12:00 AM	12/2/2050 11:59 PM	
Biweekly Teleconference - tort claim intake and closure [3:30 PM EST]	800-767-1750, 40058#	11/29/2012 3:30 PM	3/2/2051 4:00 PM	When: Occurs every 2 weeks on Thursday effective 11/29/2012 until 4/4/2013 from 2:30 PM to 3:00 PM (GMT-06:00) Central Time (US & Canada). Where: 800-767-1750, 40058# Note: The GMT offset above does not reflect daylight saving time adjustments.
VC Torts Champion Call		3/5/2013 1:30 PM	4/20/2032 2:30 PM	
Tort Team A Reviews (Doris)		5/13/2013 12:00 AM	5/24/2013 11:59 PM	
Tort Team B Reviews (Mark)		5/13/2013 12:00 AM	5/24/2013 11:59 PM	
Tort Team C Reviews (Lindy)		5/13/2013 12:00 AM	5/24/2013 11:59 PM	

# Virtual Collaborative Torts Pilot



# Virtual Collaborative Torts Pilot

Click here to send in a new SF95

Team A

Click to Submit a Report for Review

Reports under Review

Team B

Click to Submit a Report for Review

Reports under Review

Team C

Click to Submit a Report for Review

Reports under Review

Team Discussion

Document Standardization

Tort Team Quick Tools

Facility POCs

Tort Team SOP

Tort Team FAQs

Tort Report Template

Training

Facility	City	Additional Docs	Type of Claim	GCLaws#	Team	Created↓
SEATTLE VA	SEATTLE WA	Yes	MM			5/17/2013 11:54 AM
Portland VAMC	Portland, OR	No	MM	3042	Team C	5/16/2013 5:53 PM
Indianapolis VAMC	Indianapolis, IN	No	MM	2832	Team B	5/16/2013 5:32 PM
Durham VAMC	Durham, NC	No	MM	2856	Team B	5/16/2013 5:01 PM
Chillicothe VAMC	Chillicothe, OH	No	MM	2457	Team A	5/16/2013 4:29 PM
Oklahoma VAMC	Oklahoma City, OK	No	MM	3046	Team C	5/16/2013 2:43 PM
Richmond, Virginia VAMC	Richmond	No	MM	3045	Team B	5/16/2013 1:49 PM
VA Health Care System	Minneapolis	No	PI	3028	Team B	5/16/2013 10:00 AM



# Virtual Collaborative Torts Pilot

Click here to send in  
a new SF95

## Team A

Click to Submit a  
Report for Review

Reports under Review

## Team B

Click to Submit a  
Report for Review

Reports under Review

## Team C

Click to Submit a  
Report for Review

Reports under Review

## Team Discussion

Document  
Standardization

Tort Team Quick  
Tools

Facility POCs

Tort Team SOP

Tort Team FAQs

Tort Report Template

Training

Team B Tort Review - New Item

Edit

Save Cancel Paste Cut Copy Attach File Spelling

Commit Clipboard Actions Spelling

GCLaws# (Be sure to attach report) \*

Recommended Outcome \*

☐ Denial  
☐ Settlement

All closing procedures completed?

☐ Yes  
☒ No

For group legal assistant use only

Save Cancel



# Virtual Collaborative Torts Pilot

Click here to send in  
a new SF95

## Team A

Click to Submit a  
Report for Review

Reports under Review

## Team B

Click to Submit a  
Report for Review

Reports under Review

## Team C

Click to Submit a  
Report for Review

Reports under Review

## Team Discussion

Document  
Standardization

Tort Team Quick  
Tools

Facility POCs

Tort Team SOP

Tort Team FAQs

Tort Report Template

Training

Ack letter - benefit language

Ack letter-non med mal

Ack letter-PI-Attorney

Ack letter-PI-pro se

Ack letter-WD-Attorney

Ack letter-WD-pro se

benefits denial letter

Defective Tort Letter (no signature)

Defective Tort Letter (no sum certain)

Denial Letter - Emp't Law and Privacy Act and SOL

Denial letter - independent contractor

Denial letter

Independent Contractor Letter - Notice to at

Independent Contractor Letter -Notice to cor

Judgment Fund Transmittals (Form194, 196,

Litigation Hold - OGC Policy

Litigation Hold - Sample Litigation Hold Notice

MAO - Notice of Receipt of MAO to OMLA

MAO - Request Assignment from OMLA

Notice of Claim - Director

Notice of Claim - Risk Manager

Notice of Denial - Tort Claim - Facility

Notice of Denial - Tort Claim - Provider

Notice of Litigation - Facility

Notice of Payment - Facility

Notice of Payment - OMLA (with attached TCIS and SF95)

# Virtual Collaborative Torts Pilot

## OFFICE OF GENERAL COUNSEL VIRTUAL COLLABORATIVE TORT PILOT TORT CLAIM ANALYSIS AND DISPOSITION

Claim Type:

GCL#: Click here to enter text.

GCL Database: Choose an item.

Date of Report: Click here to enter a date.

### VETERAN/CLAIMANT INFORMATION

Veteran: Click here to enter text.

Date of Birth: Click here to enter a date.

Claimant: Click here to enter text.

Claimant: Click here to enter text.

Claimant: Click here to enter text.

Relationship to Injured: Choose an item.

Relationship to Injured: Choose an item.

Relationship to Injured: Choose an item.

Is Injured Service Connected?

Yes or  
No

Overall Service Connection %

Enter %

Service Connected Diagnoses:

Click here to enter text.

### INCIDENT INFORMATION

Date(s) of Incident  
Click here to enter text.

VA Facility  
Choose an item.

VISN  
Choose a  
VISN

State  
Choose a  
State

Additional VA Facility  
Choose an item.

Add'l VISN  
Choose a  
VISN

Add'l State  
Choose a  
State

OGC Leadership Summit 2013

# Performance Measures



OGC Leadership Summit 2013

# Performance Measures Initial Claims





# Virtual Collaborative Torts Pilot Performance Measures

**Equal/ Over \$2500 Adjudicated (IR Approved) Within 180 Days**

	FY 2011	FY 2012	FY 2013 (Oct. 1 – to May 2)	FY 2013 (filed in FY 2013)
<b>Medical Malpractice</b>	350 / 511 (68.49%)	356/ 502 (70.92%)	325/382 (85.08%)	174/175 (99.43%)
<b>Personal Injury</b>	52 / 72 (72.22%)	63/87 (72.41%)	65/71 (91.55%)	36/36 (100%)
<b>Property Damage</b>	67 / 72 (93.06%)	60/65 (92.31%)	36/36 (100%)	22/22 (100%)



# Virtual Collaborative Torts Pilot Performance Measures

**Average Hour to Close a Case Over \$2500**

	FY 2011	FY 2012	FY 2013 (Oct. 1 – to May 2)	FY 2013 (filed in FY 2013)
<b>Total</b>	46.0	44.3	36.3	25.4
<b>Medical Malpractice</b>	52.5	51.6	40.9	30.4
<b>Personal Injury</b>	28.4	25.7	21.6	16.4
<b>Property Damage</b>	13.7	14.9	13.7	13.3

# Virtual Collaborative Torts Pilot Performance Measures

Total Admin. Decision-Making Tasks Over \$2500 Closed

	FY 2011	FY 2012	FY 2013 (Oct. 1 – to May 2)	FY 2013 (projected for full FY 2013)
<b>Total</b>	627	647	482	826
<b>Medical Malpractice</b>	499	492	382	654
<b>Personal Injury</b>	64	91	64	110
<b>Property Damage</b>	64	64	36	62



# Virtual Collaborative Torts Pilot Performance Measures

Medical Malpractice Cases Pending at Beginning of the Fiscal Year

	FY 2010 (Oct. 1)	FY 2011 (Oct. 1)	FY 2012 (Oct. 1)	FY 2013 (Oct. 1)	May 2, 2013
<b>Medical Malpractice</b>	<b>513</b>	<b>480</b>	<b>491</b>	<b>366</b>	<b>462</b>
<b>* Admin. DC</b>	<b>324</b>	<b>289</b>	<b>251</b>	<b>169</b>	<b>225</b>
<b>* Lit. Asst.</b>	<b>53</b>	<b>59</b>	<b>68</b>	<b>86</b>	<b>88</b>

# Virtual Collaborative Torts Pilot Performance Measures

## Personal Injury Cases Pending at Beginning of the Fiscal Year

	FY 2010 (Oct. 1)	FY 2011 (Oct. 1)	FY 2012 (Oct. 1)	FY 2013 (Oct. 1)	May 2, 2013
<b>Personal Injury</b>	<b>47</b>	<b>43</b>	<b>56</b>	<b>38</b>	<b>75</b>
<b>* Admin. DC</b>	<b>33</b>	<b>24</b>	<b>32</b>	<b>18</b>	<b>48</b>
<b>* Lit. Asst.</b>	<b>10</b>	<b>13</b>	<b>8</b>	<b>16</b>	<b>14</b>

# Virtual Collaborative Torts Pilot Performance Measures

## Property Damage Cases Pending at Beginning of the Fiscal Year

	FY 2010 (Oct. 1)	FY 2011 (Oct. 1)	FY 2012 (Oct. 1)	FY 2013 (Oct. 1)	May 2, 2013
Property Damage	94	77	73	25	19
* Admin. DC	74	63	55	20	12
* Lit. Asst.	-	1	-	3	2



# Virtual Collaborative Torts Pilot Performance Measures

## Reconsideration Requests Received & Closed

	Previous	Pending	Closed
Total	N/A	100	33
Medical Malpractice	N/A	90	23
Personal Injury	N/A	7	5
Property Damage	N/A	3	5

# Virtual Collaborative Torts Pilot Performance Measures

**Equal/ Over \$2500 Average Day to IR Approval**

	<b>FY 2011</b>	<b>FY 2011</b>	<b>FY 2012</b>	<b>FY 2013</b>	<b>FY 2013 (Oct. 1 – to May 2)</b>
<b>Medical Malpractice</b>	173.5	204.4	205.6	165.5	103.6
<b>Personal Injury</b>	125.9	165.6	160.5	108.2	61.3
<b>Property Damage</b>	105.0	85.4	98.6	58.5	29.0

# Virtual Collaborative Torts Pilot Performance Measures

## Number of FTEEs in Pilot

	July 2012	Now
Attorneys	13.35	10.35
Paralegals	10.3	6.9
Administrative Support	2.0	1.75
<b>Total =</b>	<b>25.65</b>	<b>19.0</b>



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# Survey Results

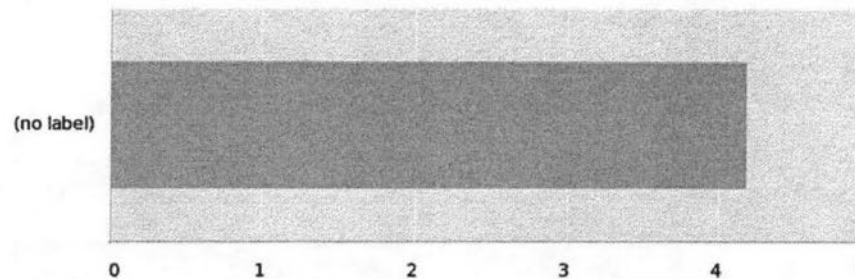


# Virtual Collaborative Torts Pilot Employee Survey Results

Virtual Collaborative Torts Team

## Q6 My VCTT peers are helpful and supportive.

Answered: 28 Skipped: 1



	Strongly Disagree	Disagree	Neither Agree Nor Disagree	Agree	Strongly Agree	Total	Average Rating
(no label)	0% 0	0% 0	21.43% 6	39.29% 11	39.29% 11	28	4.18

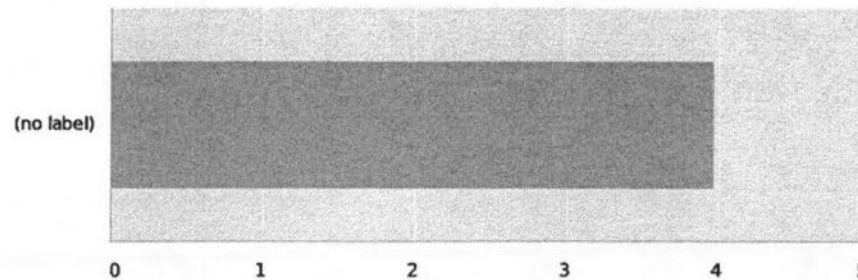


# Virtual Collaborative Torts Pilot Employee Survey Results

Virtual Collaborative Torts Team

## Q7 My champion(s) is/are helpful and supportive.

Answered: 28 Skipped: 1



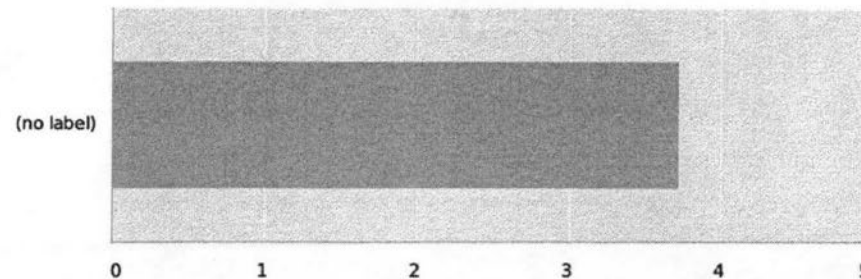
	Strongly Disagree	Disagree	Neither Agree Nor Disagree	Agree	Strongly Agree	Total	Average Rating
(no label)	3.57% 1	3.57% 1	21.43% 6	35.71% 10	35.71% 10	28	3.96

# Virtual Collaborative Torts Pilot Employee Survey Results

Virtual Collaborative Torts Team

**Q14 Working on the VCTT, I have the  
opportunity to do what I do best.**

Answered: 28 Skipped: 1



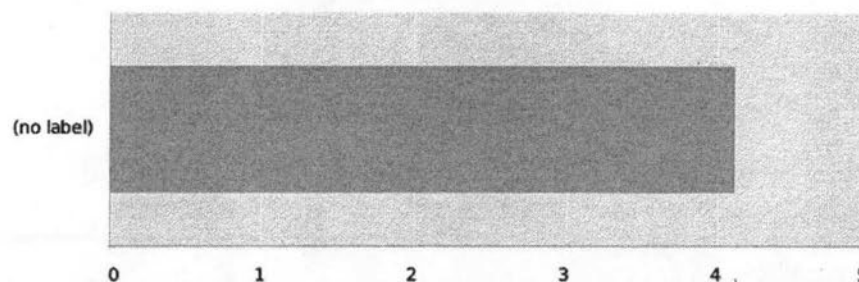
	Strongly Disagree	Disagree	Neither Agree Nor Disagree	Agree	Strongly Agree	Total	Average Rating
(no label)	3.57% 1	14.29% 4	14.29% 4	42.86% 12	25% 7	28	3.71

# Virtual Collaborative Torts Pilot Employee Survey Results

Virtual Collaborative Torts Team

## Q16 My VCTT peers are committed to doing quality work.

Answered: 28 Skipped: 1



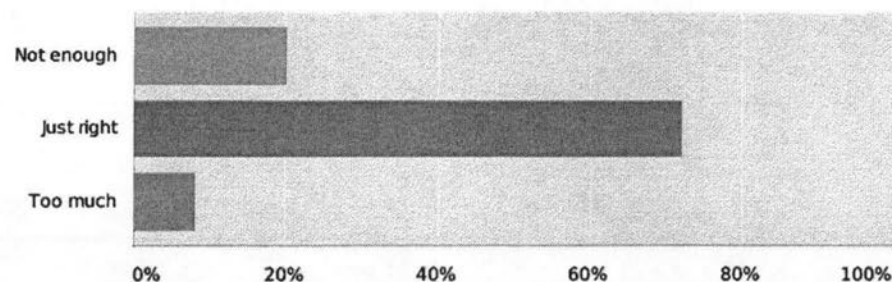
	Strongly Disagree	Disagree	Neither Agree Nor Disagree	Agree	Strongly Agree	Total	Average Rating
(no label)	0% 0	0% 0	28.57% 8	32.14% 9	39.29% 11	28	4.11

# Virtual Collaborative Torts Pilot Employee Survey Results

Virtual Collaborative Torts Team

## Q24 The amount of work expected of me is:

Answered: 25 Skipped: 4



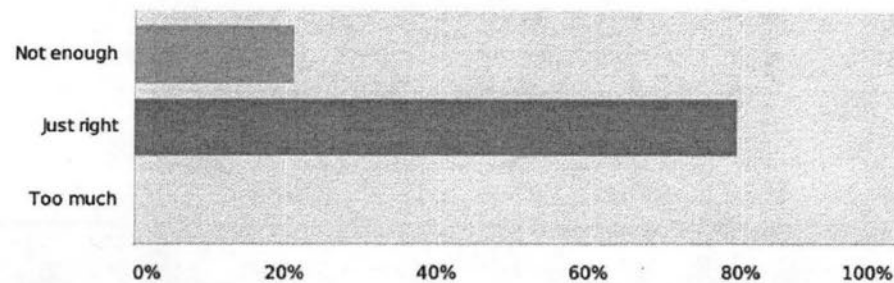
Answer Choices	Responses	
Not enough	20%	5
Just right	72%	18
Too much	8%	2
Total		25

# Virtual Collaborative Torts Pilot Employee Survey Results

Virtual Collaborative Torts Team

## Q26 I receive feedback about my work.

Answered: 24 Skipped: 5



Answer Choices	Responses
Not enough	20.83% 5
Just right	79.17% 19
Too much	0% 0
Total	24

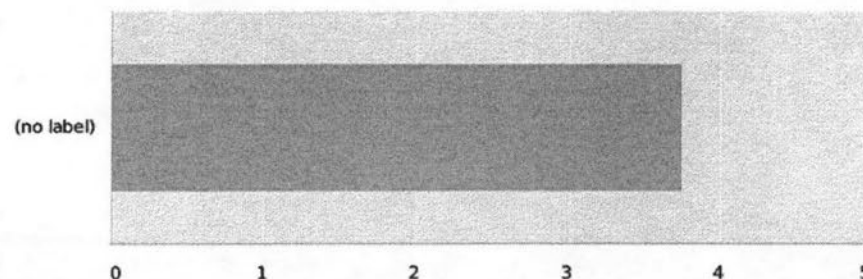


# Virtual Collaborative Torts Pilot Employee Survey Results

Virtual Collaborative Torts Team

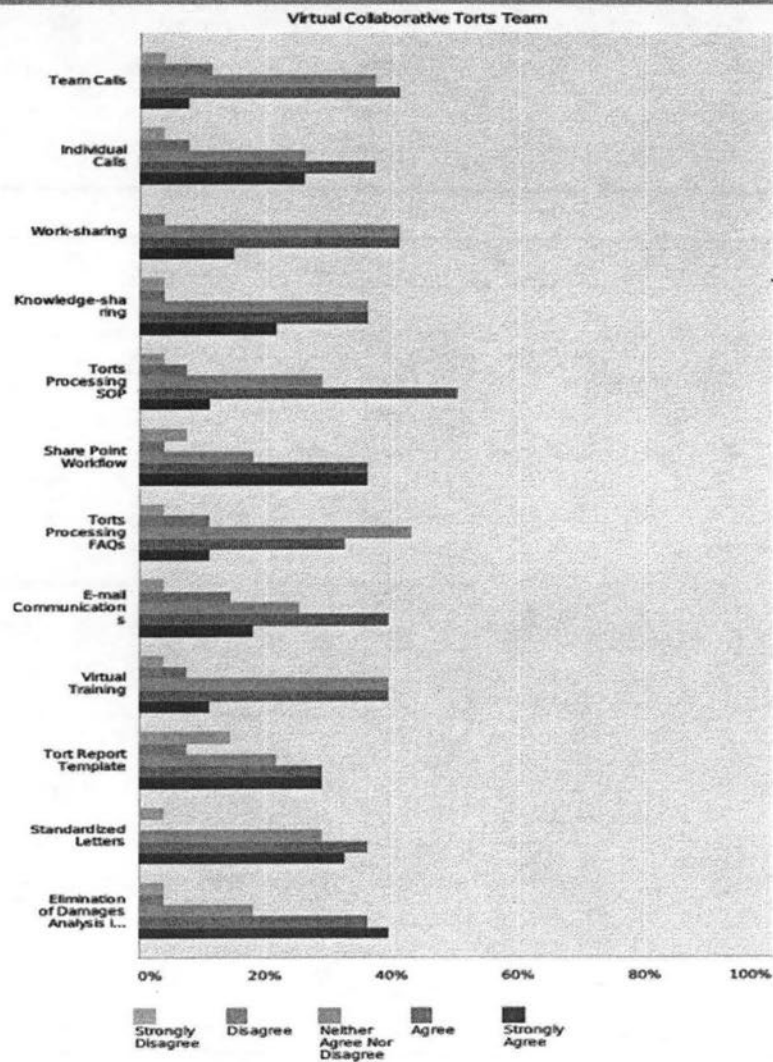
## Q29 I have the tools and resources I need to accomplish my job.

Answered: 27 Skipped: 2



	Strongly Disagree	Disagree	Neither Agree Nor Disagree	Agree	Strongly Agree	Total	Average Rating
(no label)	3.70% 1	14.81% 4	3.70% 1	59.26% 16	18.52% 5	27	3.74

# Virtual Collaborative Torts Pilot Employee Survey Results



# Virtual Collaborative Torts Pilot Employee Survey Results

*I really like this new approach to torts because it has eliminated a "back log" of older tort cases that bogged us down.* When our office had a back log of old cases, it was very stressful knowing that we were always behind in our work--though we were working hard on various types of cases. *Once the backlog was eliminated, it resulted in a more positive work environment and decreased the stress level.* In addition, working cases and completing cases in a timely manner is something to be proud of because this is required by law and Veterans/claimants who file claims deserve to have a timely decision--even if it is an unfavorable decision. They are entitled to know our decision and make an informed determination as to whether they want to appeal it. *Also, I really like the new tort report template. I think it is great, and I would hate for us to go backwards and do things the "old way."* Seems like that would not be the right direction for our organization that may have to do the same or more legal work with fewer people—down the road.

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# Discussion





# Virtual Collaborative Torts Pilot Discussion

- \* **What were surprises?**
  - \* Legal Assistant time is underreported in GCLAWS
  - \* Working across state lines was easier than anticipated
  - \* Small tort claims training and divestiture was easier than anticipated
- \* **What complaints were received?** Matrix management confuses SMEs. Communicate! Communicate! Communicate!
- \* **What did not work well?** Judgment Fund changes
- \* **What changes were made after pilot began?** Staffing
- \* **What were successes worth noting?**
  - \* Improved processing speed
  - \* Decreased case time per claim
  - \* Identified strong performers
  - \* Eliminated “Old Dogs”

# QUESTIONS?



# OGC Leadership Summit 2013

Torts Pilot Design and Execution Team  
(PDET)





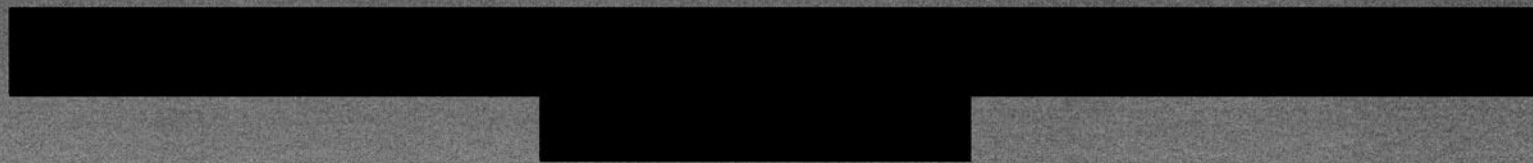
# PDET Membership

[REDACTED]  
(RAPS Liaison)





# Members Emeritus



# Overview of Approved Pilots

**Incubators for New Ideas and Processes**

**Unique and Distinct Operational Differences**

- \*Staffing models
- \*Settlement authority
- \*Handling of requests for reconsideration
- \*Assignment of cases

# The Torts PDET SharePoint Site

[http://vawww.sharepoint.gc.va.gov/  
workgroups/torts/default.aspx](http://vawww.sharepoint.gc.va.gov/workgroups/torts/default.aspx)



Department of Veterans Affairs  
**Office of General Counsel**

Torts PDET

This Site: Torts PDET ▾

OGC Areas of Law ▾ OGC Offices ▾ Specialty Teams ▾ Work Groups ▾ Research & Links ▾ Employee Portal ▾ Training Tech Help ▾

Documents

Shared Documents

Philadelphia Conf

Minutes

SOPs

OGC & PGT Guidance

Tort Pilot Performance  
Measures

Lists

Agenda Items

Discussions

Team Discussion

People and Groups

Recycle Bin

All Site Content

Shared Documents

Type Name

Modified By

	Statistics	
	Torts PDET	
	Consolidated MWC NEMO Torts PDET Pilot Proposal - 02 07 2012	
	Consolidated MWC NEMO Torts Pilot Proposal - Business Rules 02 07 2012	
	Summary of Combined MW-NEMO Tort Pilot	
	GCLAWS 2267 Reconsideration torts Regional version.xls	
	OGC TORTS PDET MATRIX OF PILOTS-FY12(2)	
	MWC Revised Torts Pilot Proposal	
	Submission of Final EIO Pilot	
	021 Revised Pilot Proposal	
	NEMO Pilot Proposal	
	Annual Requested - Revised Torts Adjudication Pilot Proposal	



Members



# SOPs - All Documents - Windows Internet Explorer

File Edit View Favorites Tools Help

http://vawww.sharepoint.gc.va.gov/workgroups/torts/SOPs/Forms/AllItems.aspx

SOPs - All Documents

Site Actions ▾ Library Tools  
Browse Documents Library



Department of Veterans Affairs  
**Office of General Counsel**

Torts PDET ▸ SOPs ▸ All Documents ▾

This List: SOPs ▾

OGC Areas of Law ▾ OGC Offices ▾ Specialty Teams ▾ Work Groups ▾ Research & Links ▾ Employee Portal ▾ Training Tech Help ▾

## Documents

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Type Name

Modified

	SOP 1 - Opening of Administrative Claims	11/28/2012 3:01 P
	SOP 10 - Concurrence Authority on Litigated Claims	11/29/2012 1:50 P
	SOP 11 - GCLAWS Time Entry	12/5/2012 2:59 PM
	SOP 12 - Reconsiderations	12/19/2012 9:19 A
	SOP 13 - Processing of Litigated Claims and Reporting of Payments to VBA	12/19/2012 9:57 A
	SOP 14 - GCLAWS Time Tracking of Tort Related Training	12/19/2012 9:58 A
	SOP 2 - Small Claims (\$2,500 or less)	11/28/2012 3:08 P
	SOP 3 - Patient Safety and Health Care Matters (NOC)	11/28/2012 3:20 P
	SOP 4 - Defective Tort Claims	11/29/2012 11:35
	SOP 5 - Transfer of Claims to Another Pilot	11/29/2012 12:15
	SOP 6 - Limitation of Increased Administrative Settlement Authority	11/29/2012 12:22
	SOP 7 - Notification to O21 of All Administrative Claims Settled Above \$100,000	11/29/2012 1:17 P
	SOP 8 - Other Closing Notifications	11/29/2012 1:20 P
	SOP 9 - Opening of Litigated Claims	11/29/2012 1:37 P
	Tort PDET Admin SOP 1 - Requirement for Quorum	12/5/2012 2:56 PM
	Tort PDET SOPs - General Guidance	11/28/2012 2:52 P

# PGT Approved Performance Measures



# Percentage of Tort Claims Adjudicated Within 180 Days (T 512b)





Average Days to Complete a  
Tort Claim (T 512b)

Pending Tort Claims (T 581)





Closed Tort Claims (T 582)

Average Hours to Complete a  
Tort Claim (T 584)



# Number of New Administrative Decision Making Tasks Opened (T 585)



Number of New Reconsideration  
Tasks Opened (T 586)

Average Number of Days to Close  
Requests for Reconsideration  
(T 588)





# PGT Approved Performance Measures (Reports Under Development)





Average Number of Hours/Days to  
Close Reconsiderations

Percentage of Case Time Spent on  
Torts as a Percentage of all Case  
Time







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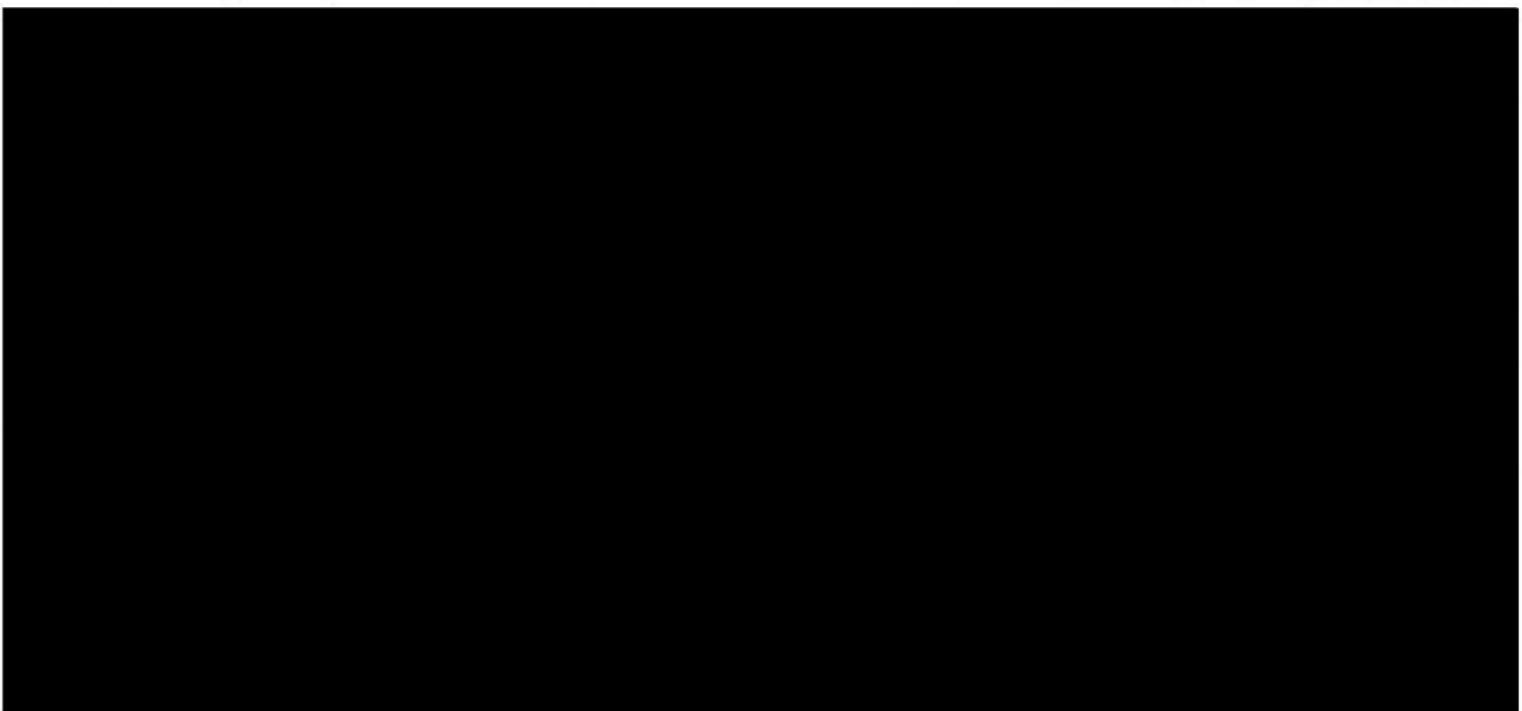
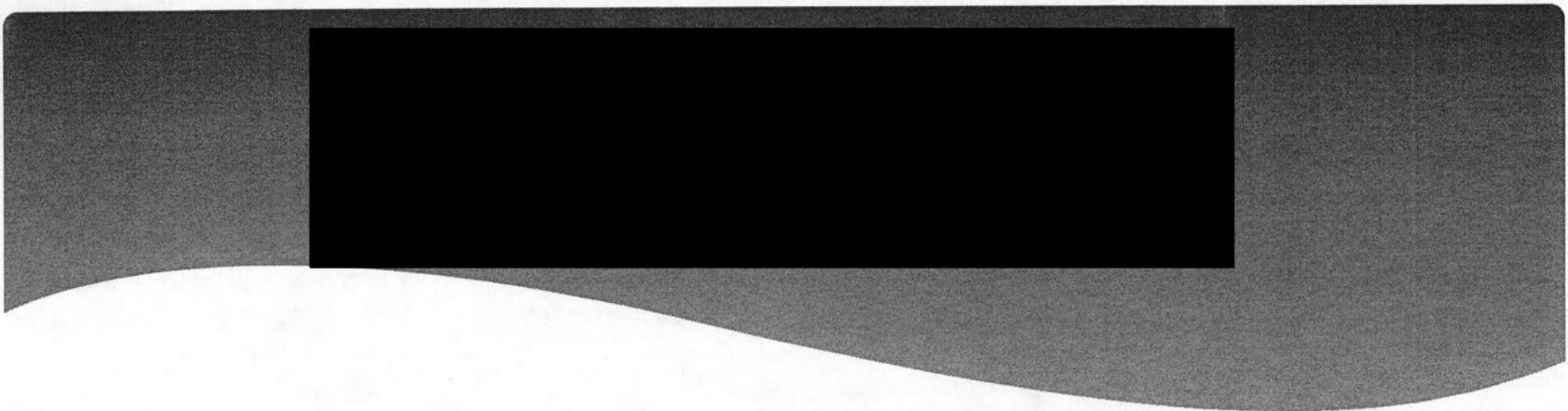


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# PDET Talking Points (Successes)

- \* Ability to adjust on the fly.
- \* Transparency and availability of information (PDET SP site).
- \* Diversity of approved pilots.
- \* Coordination with and support from RAPS.
- \* Processing time (days/hours) reduced in all pilots.
- \* Supervisor/Employee survey.



0 110

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# Combined Tort Pilot Survey Results

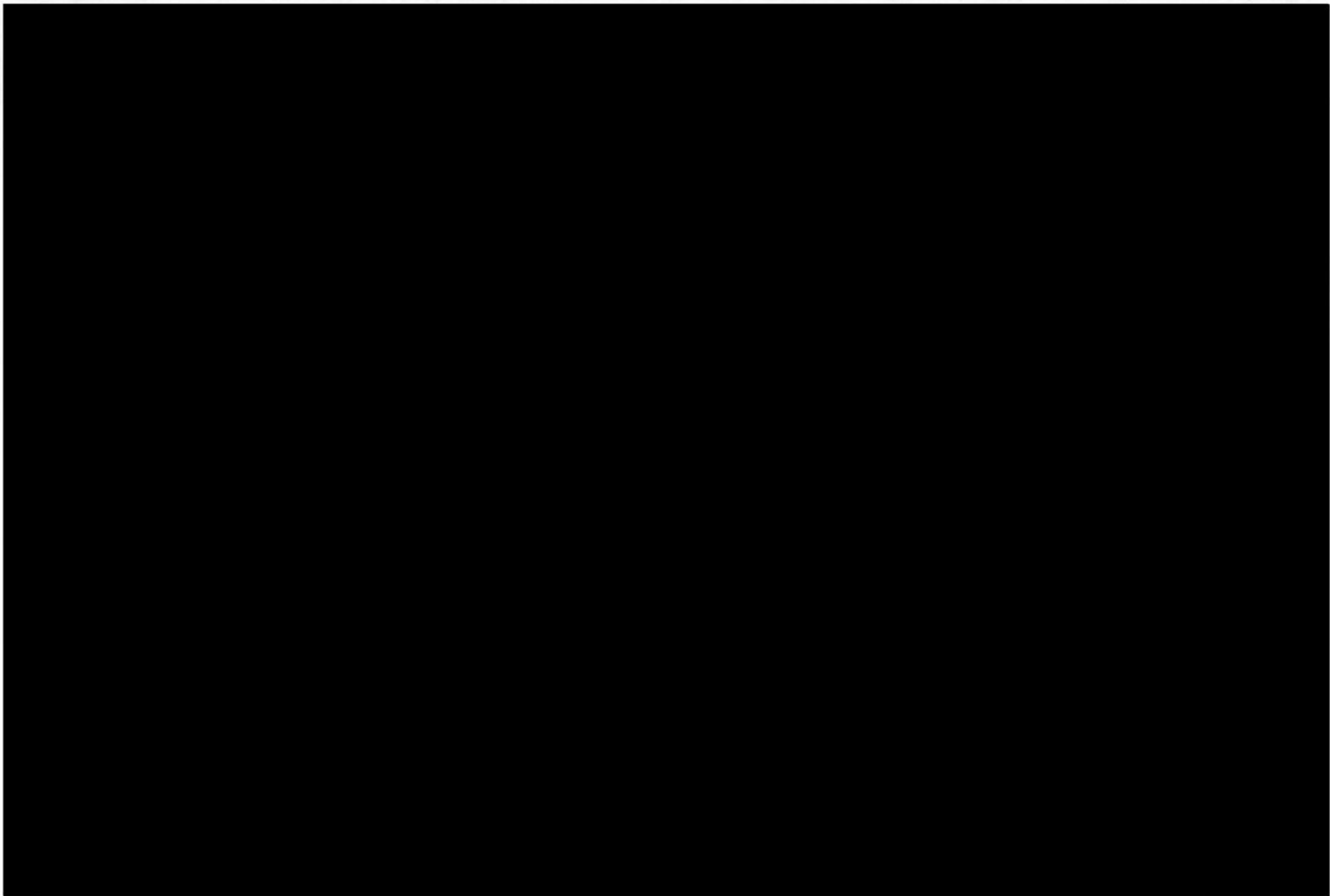


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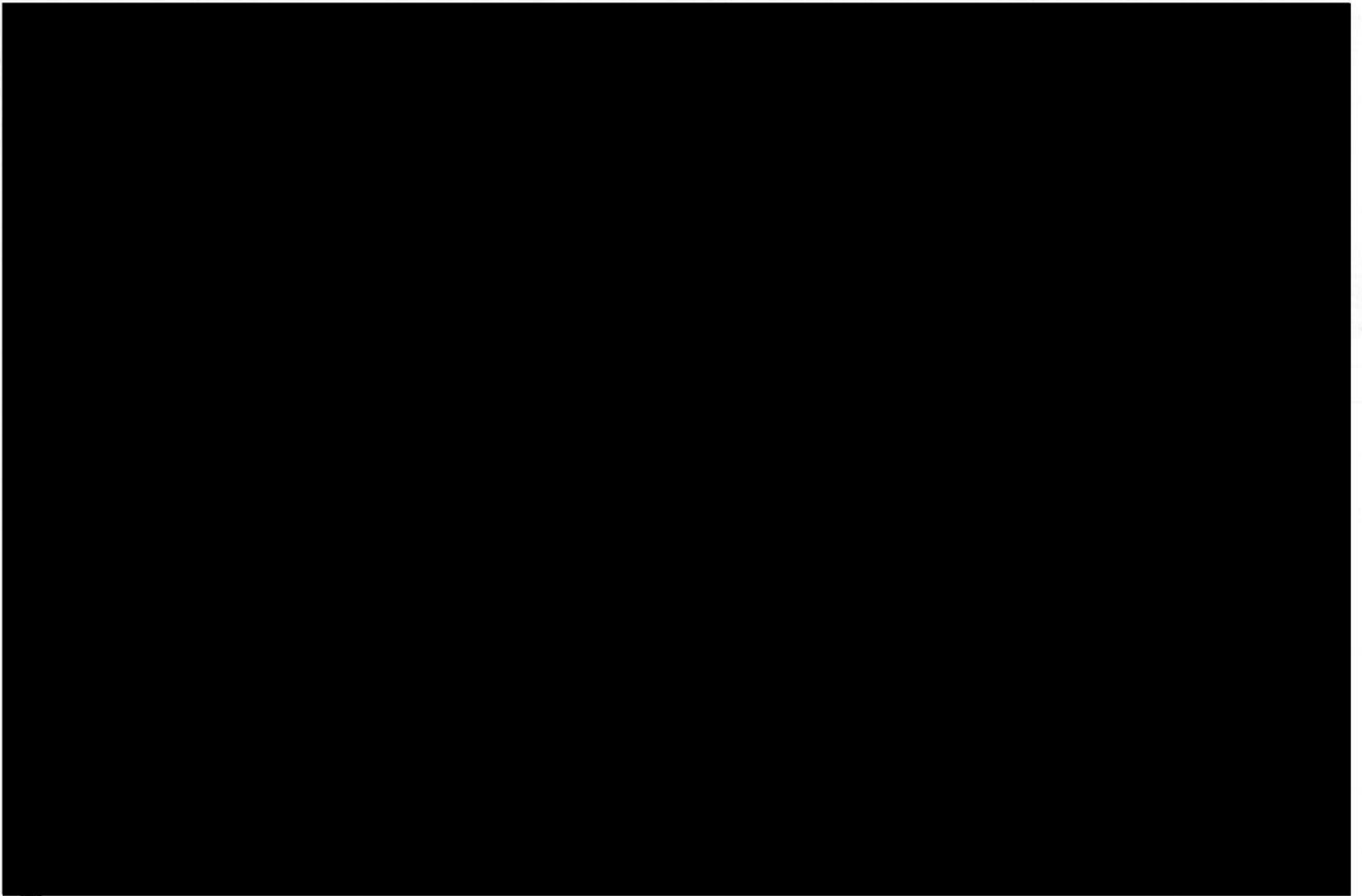
# Supervisors' Survey Results

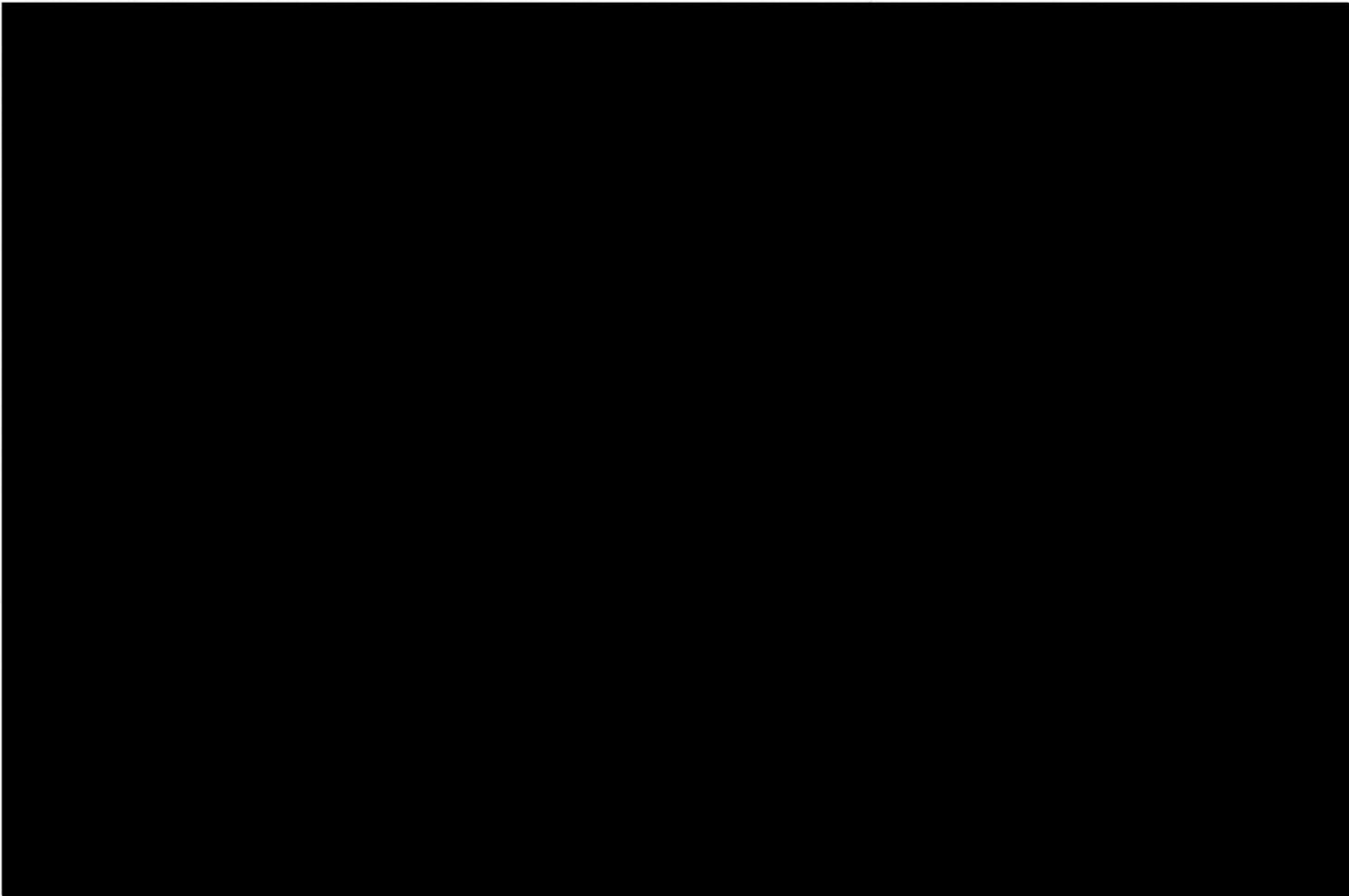




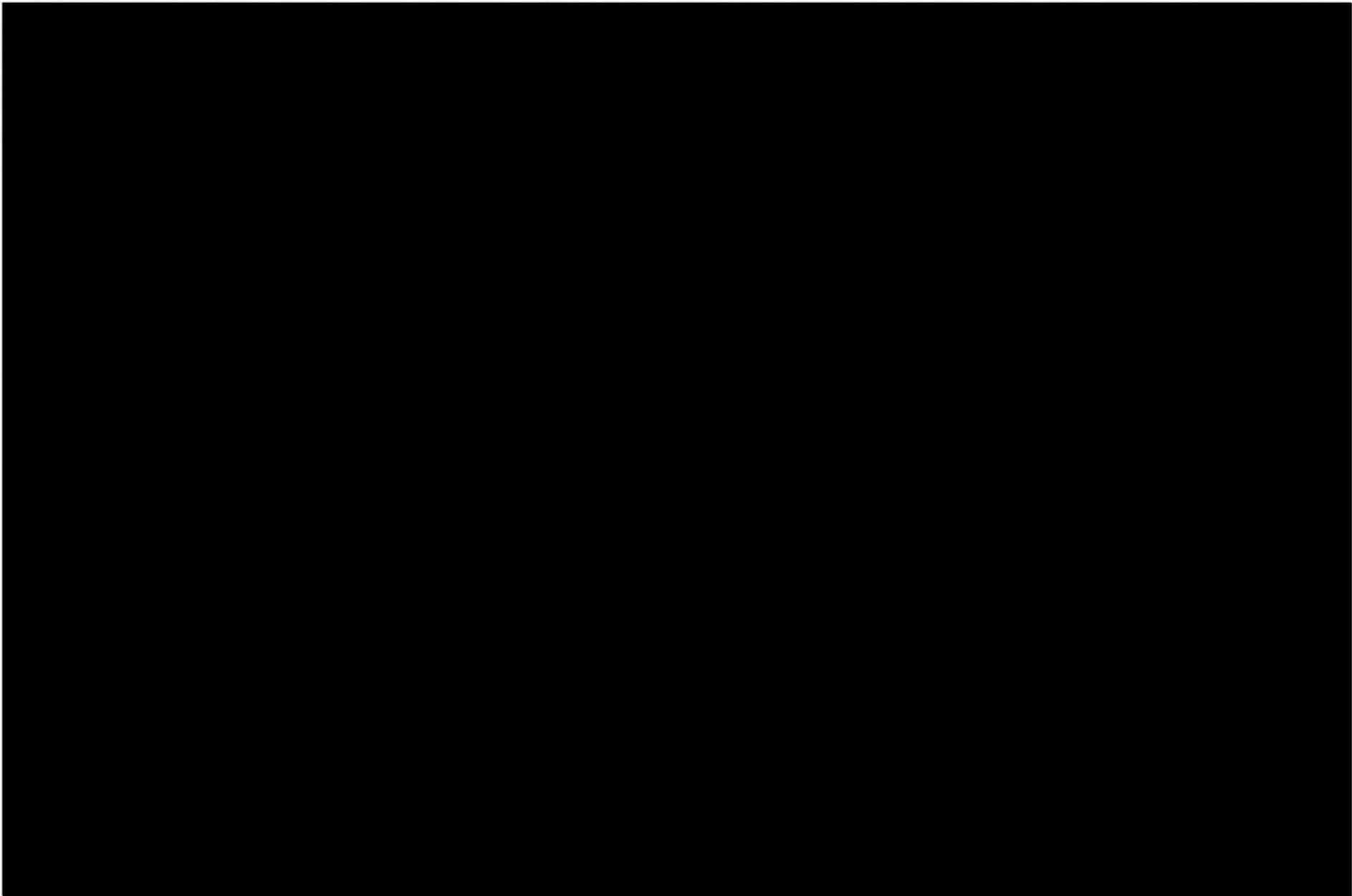


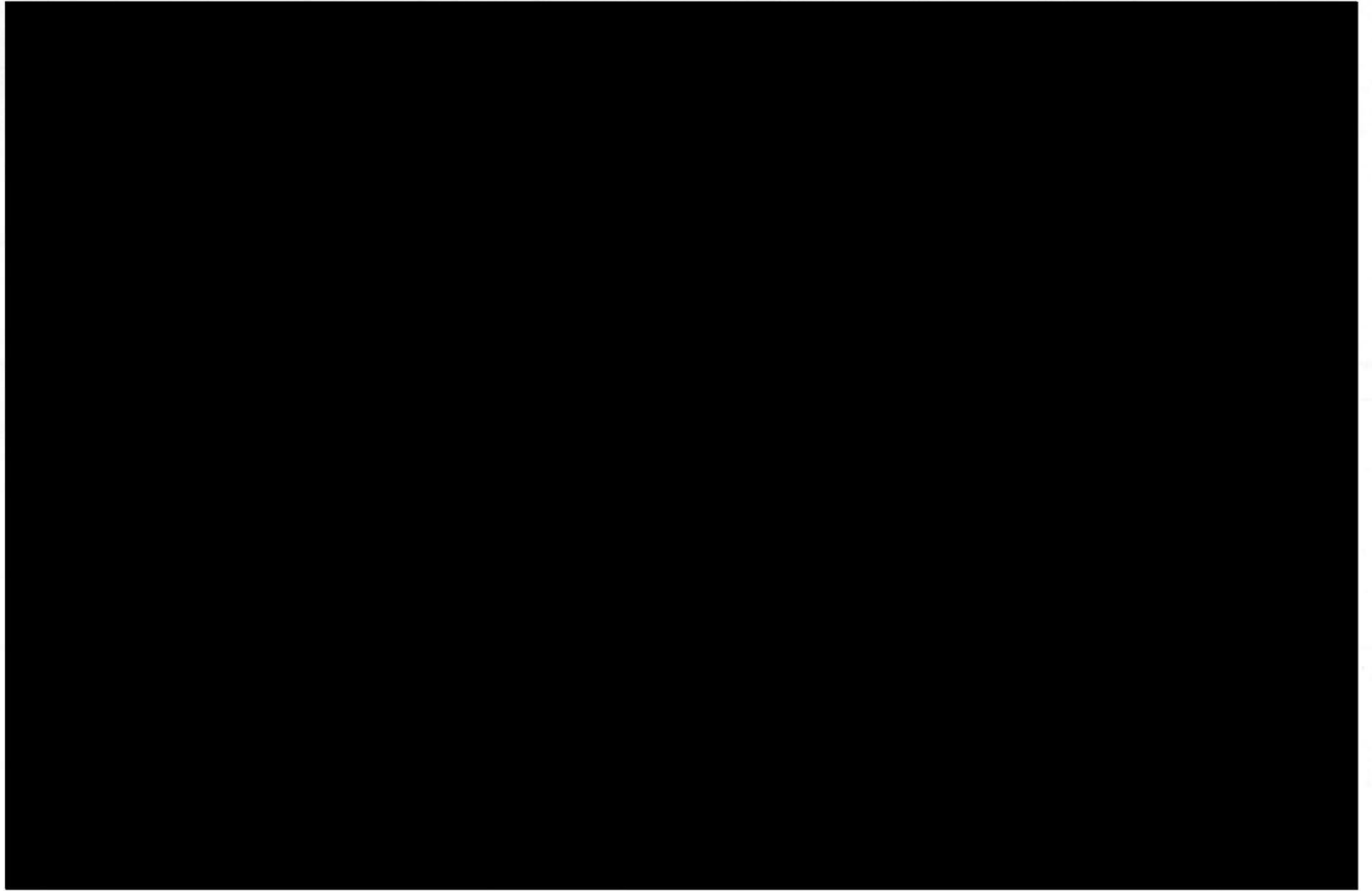






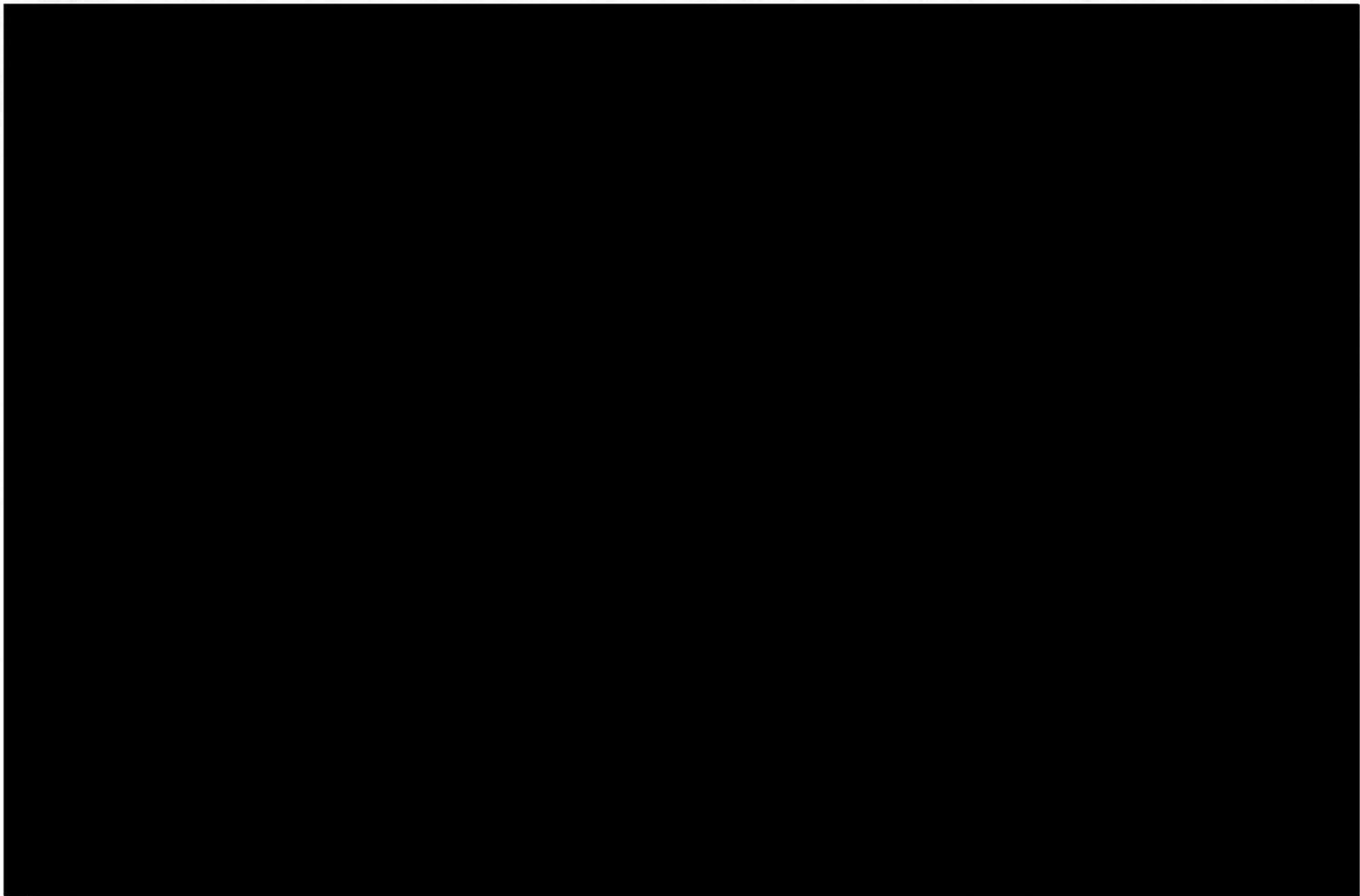




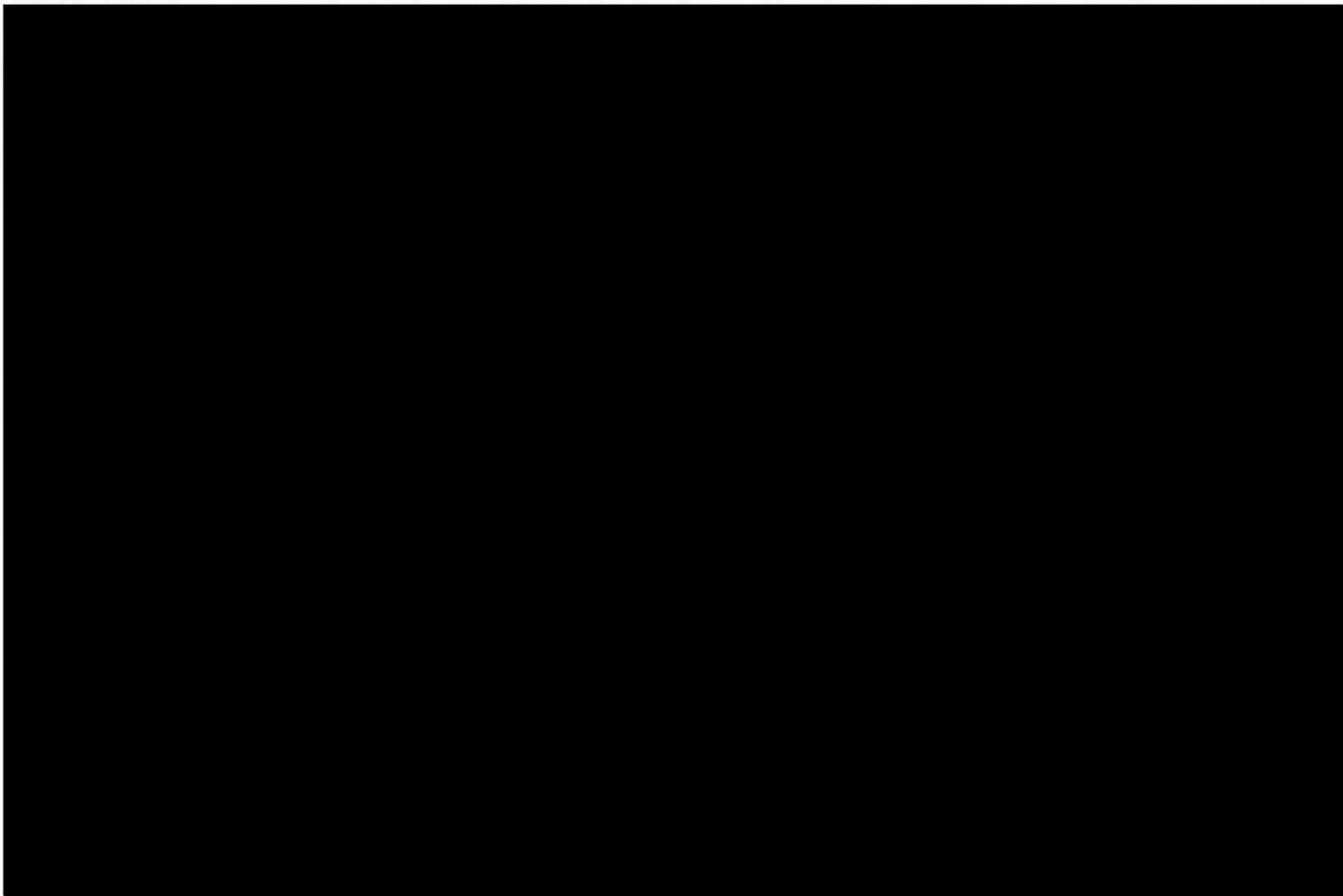


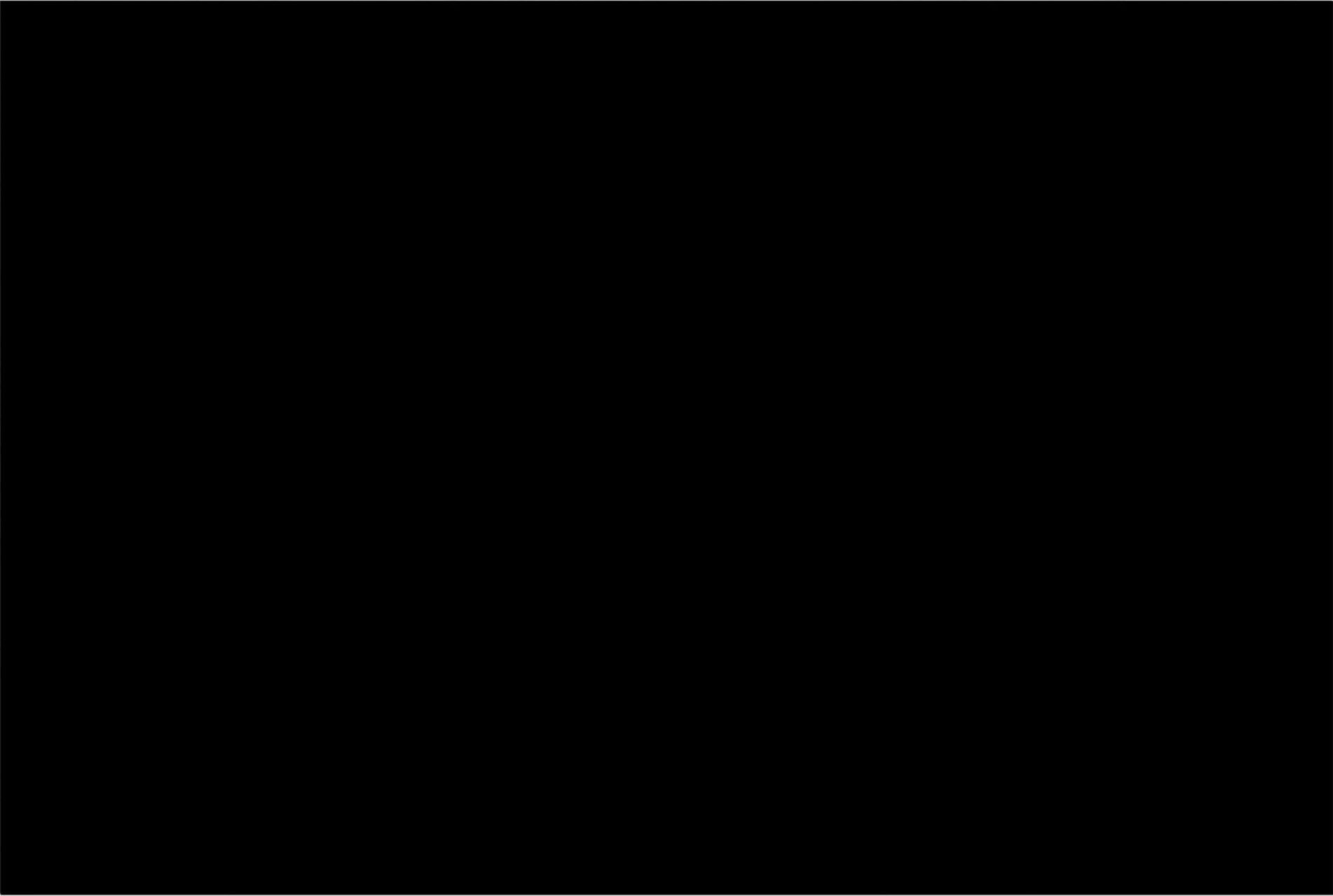


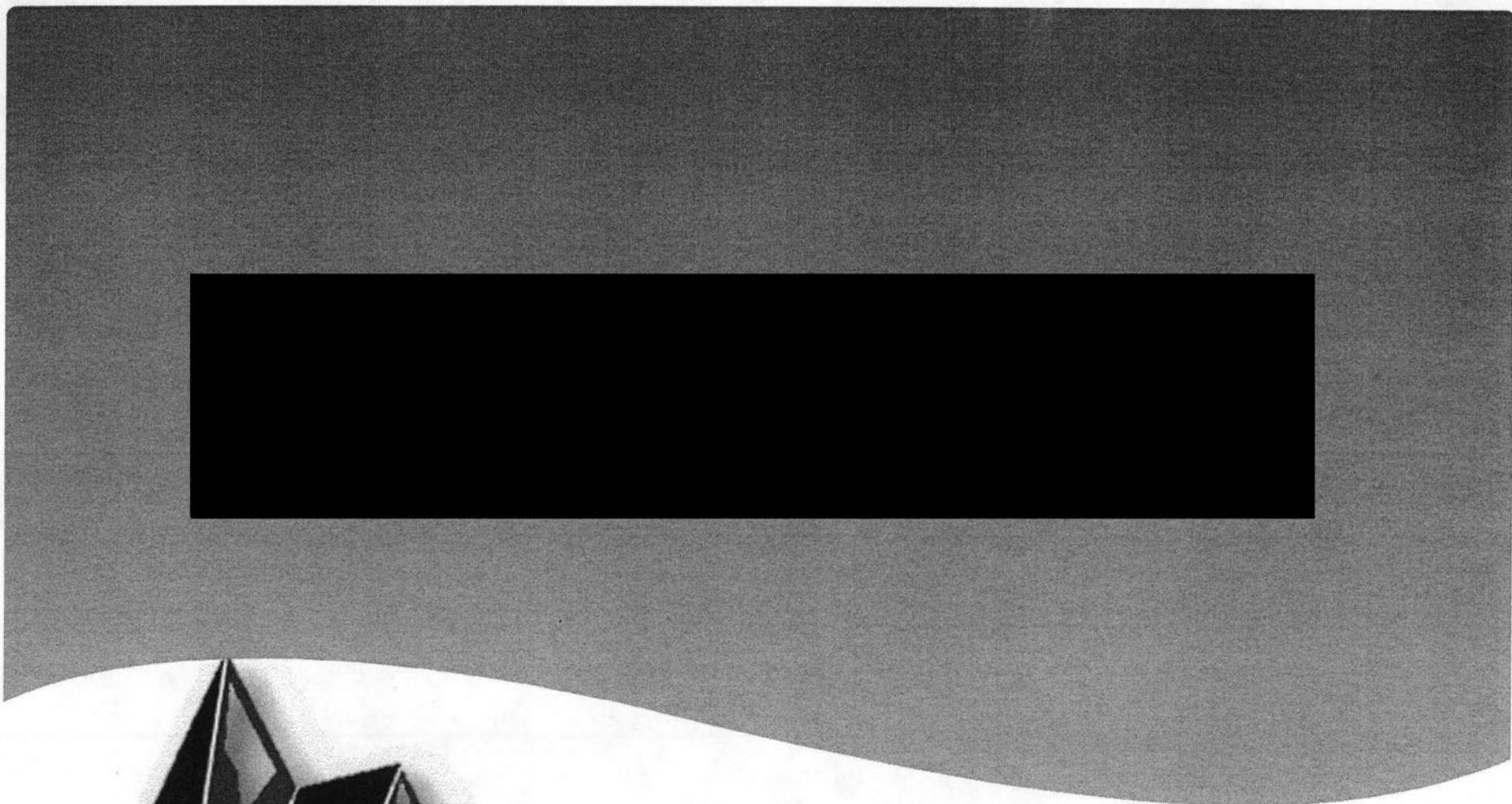
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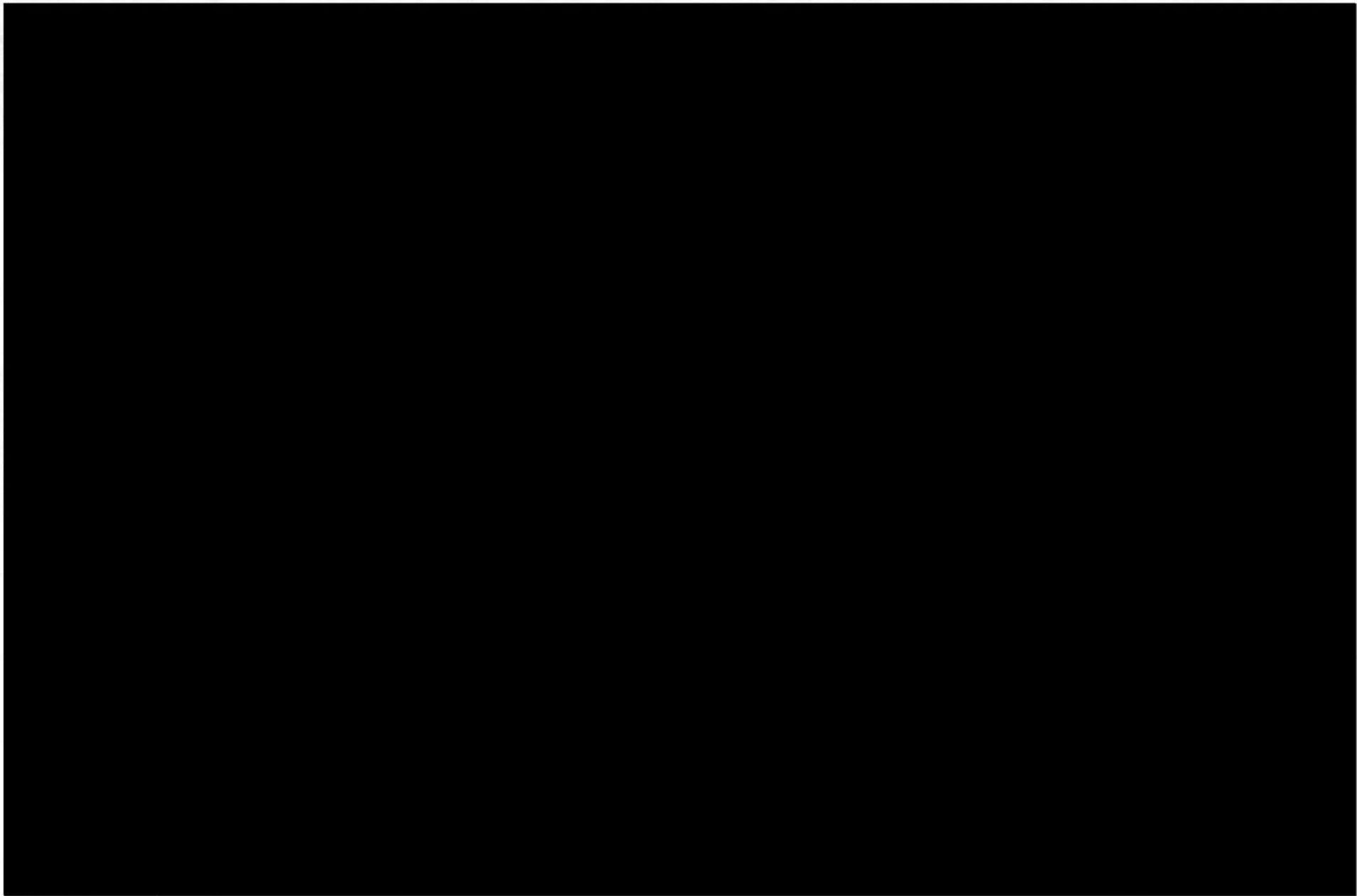




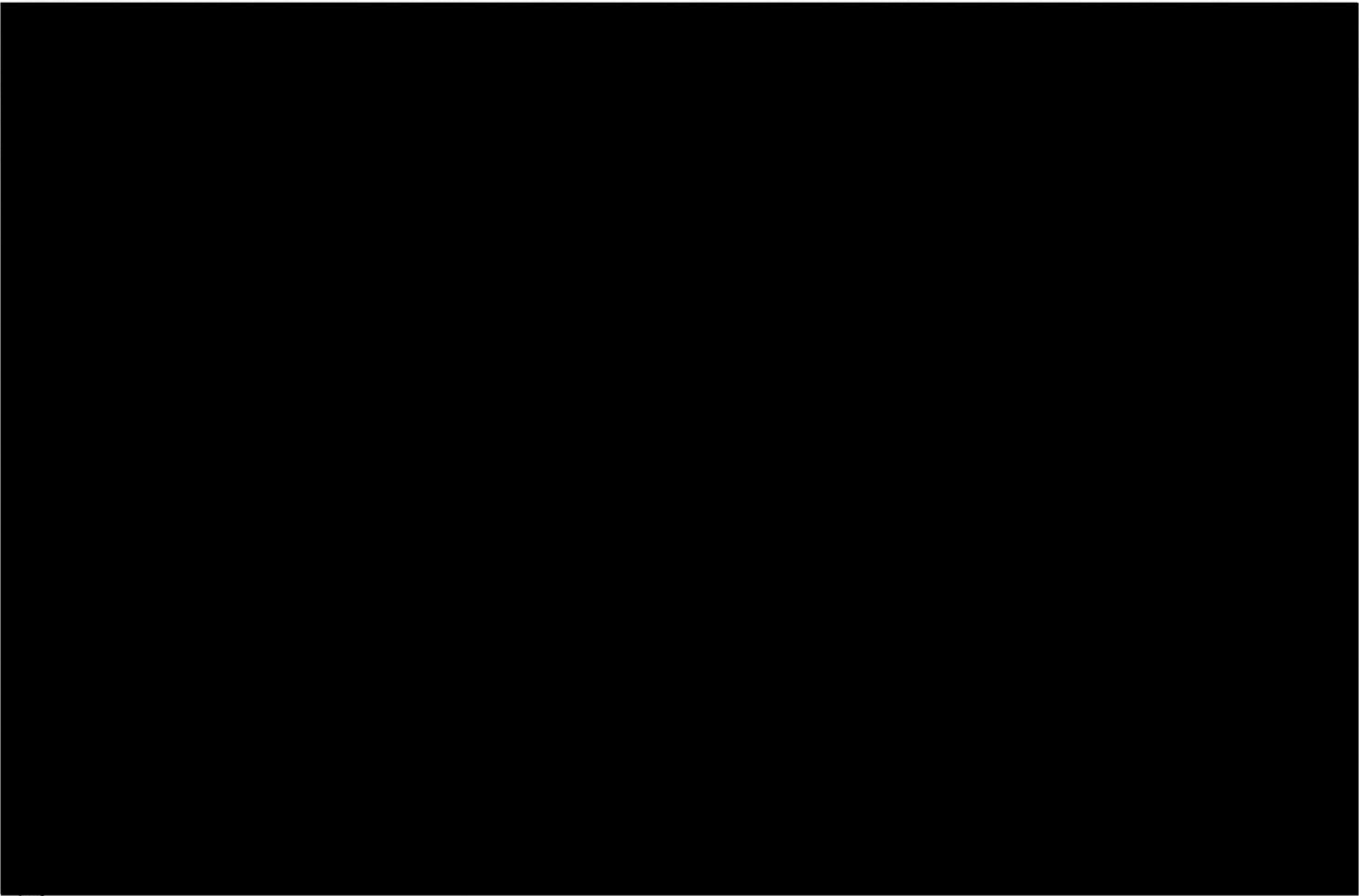


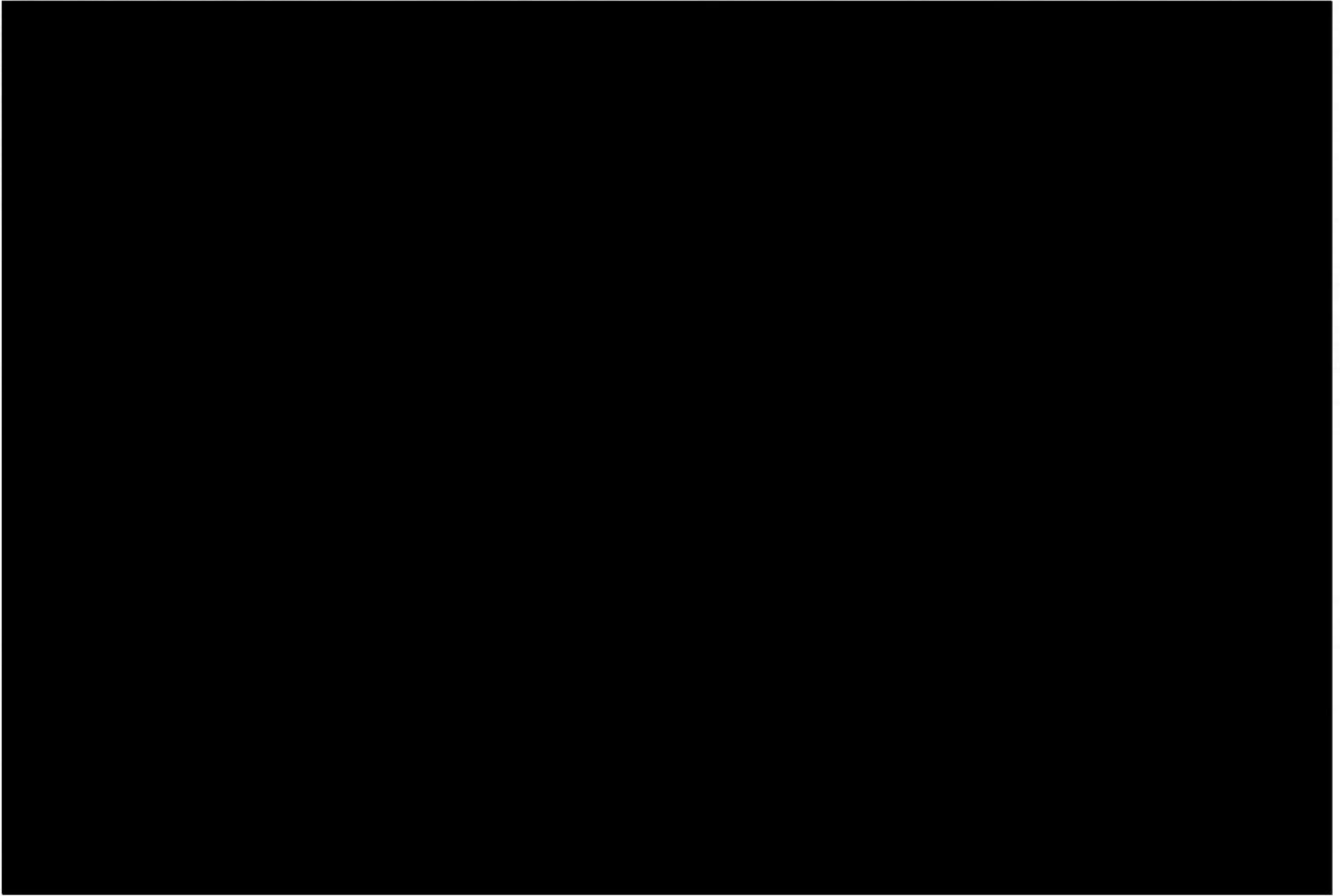


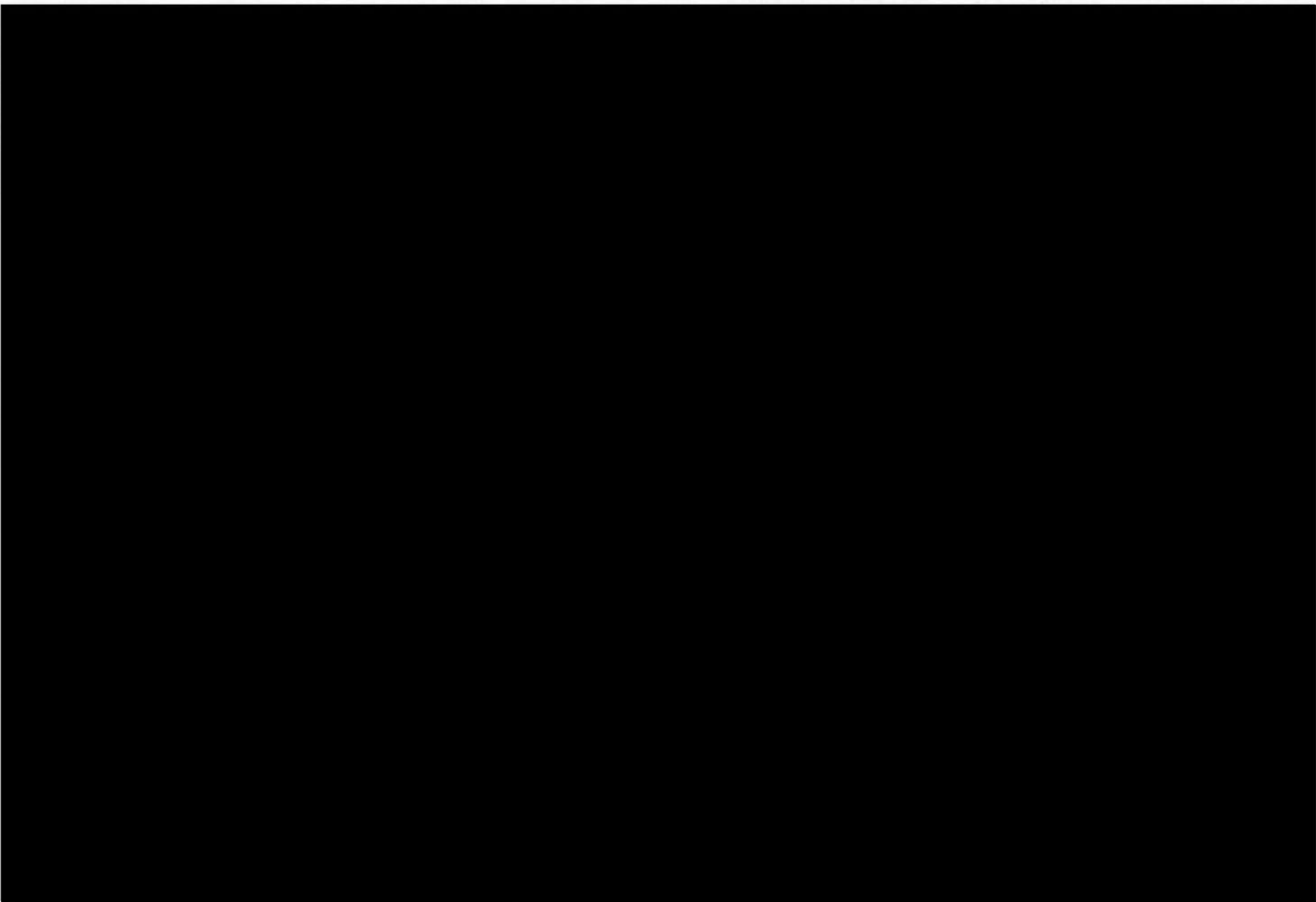


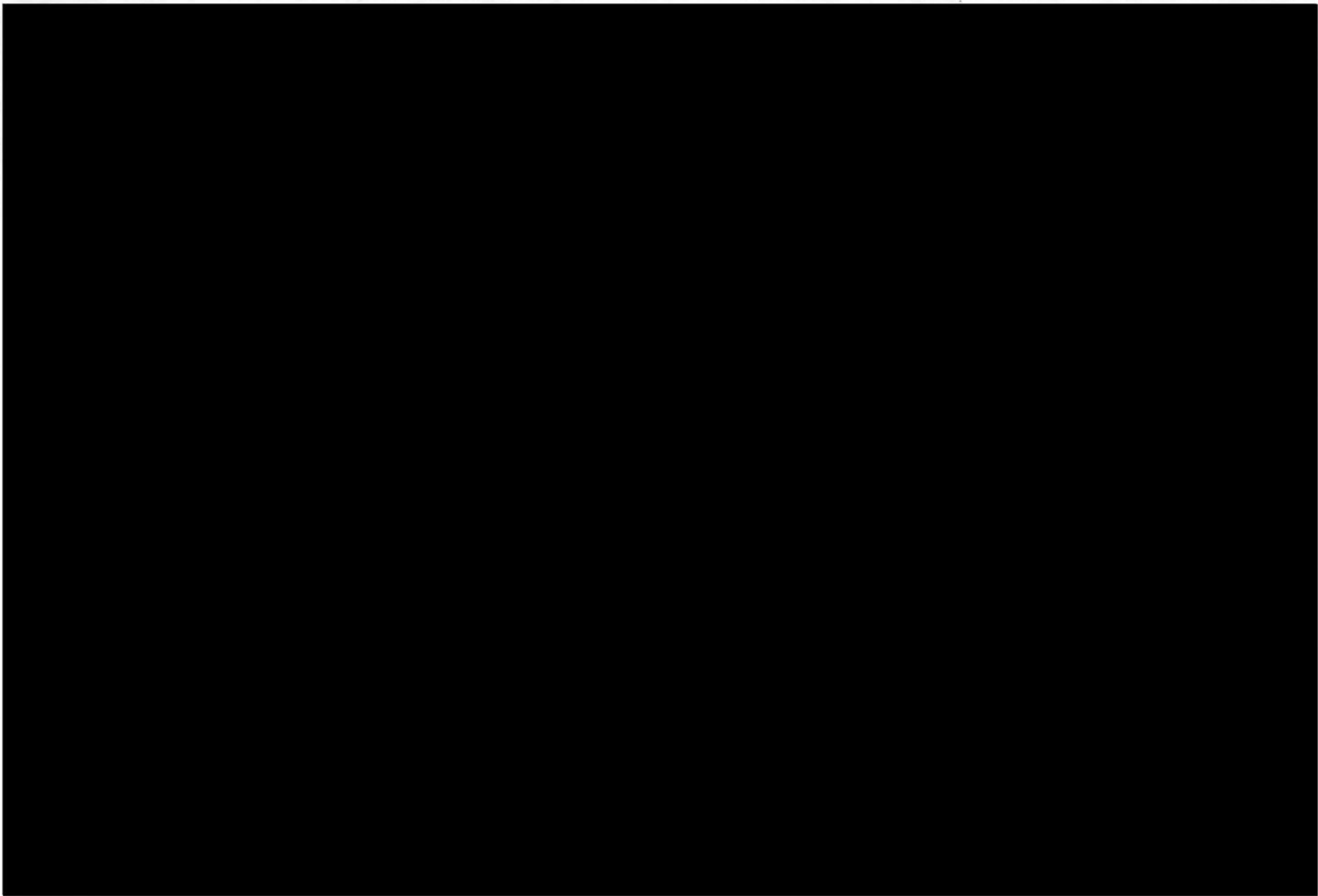


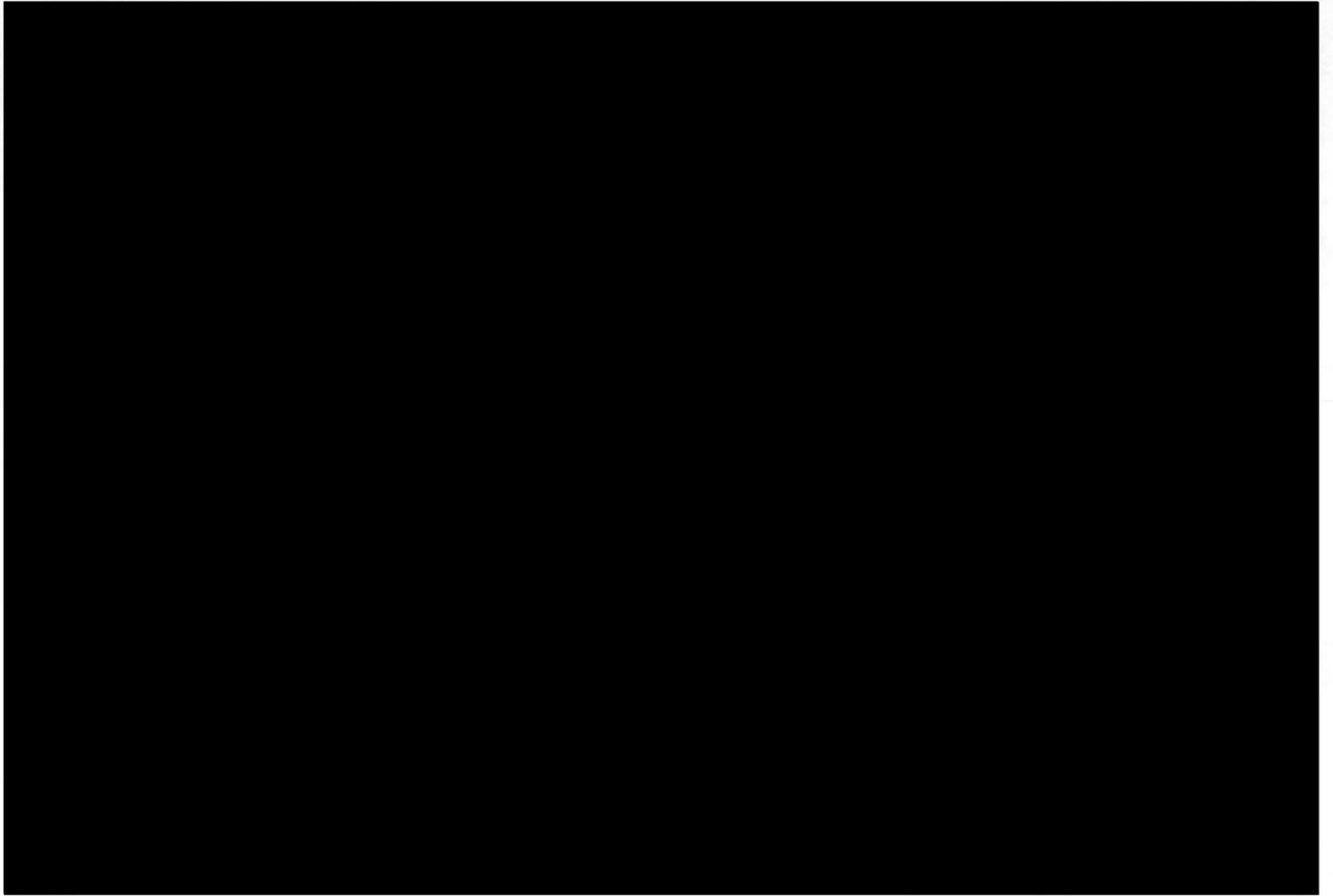




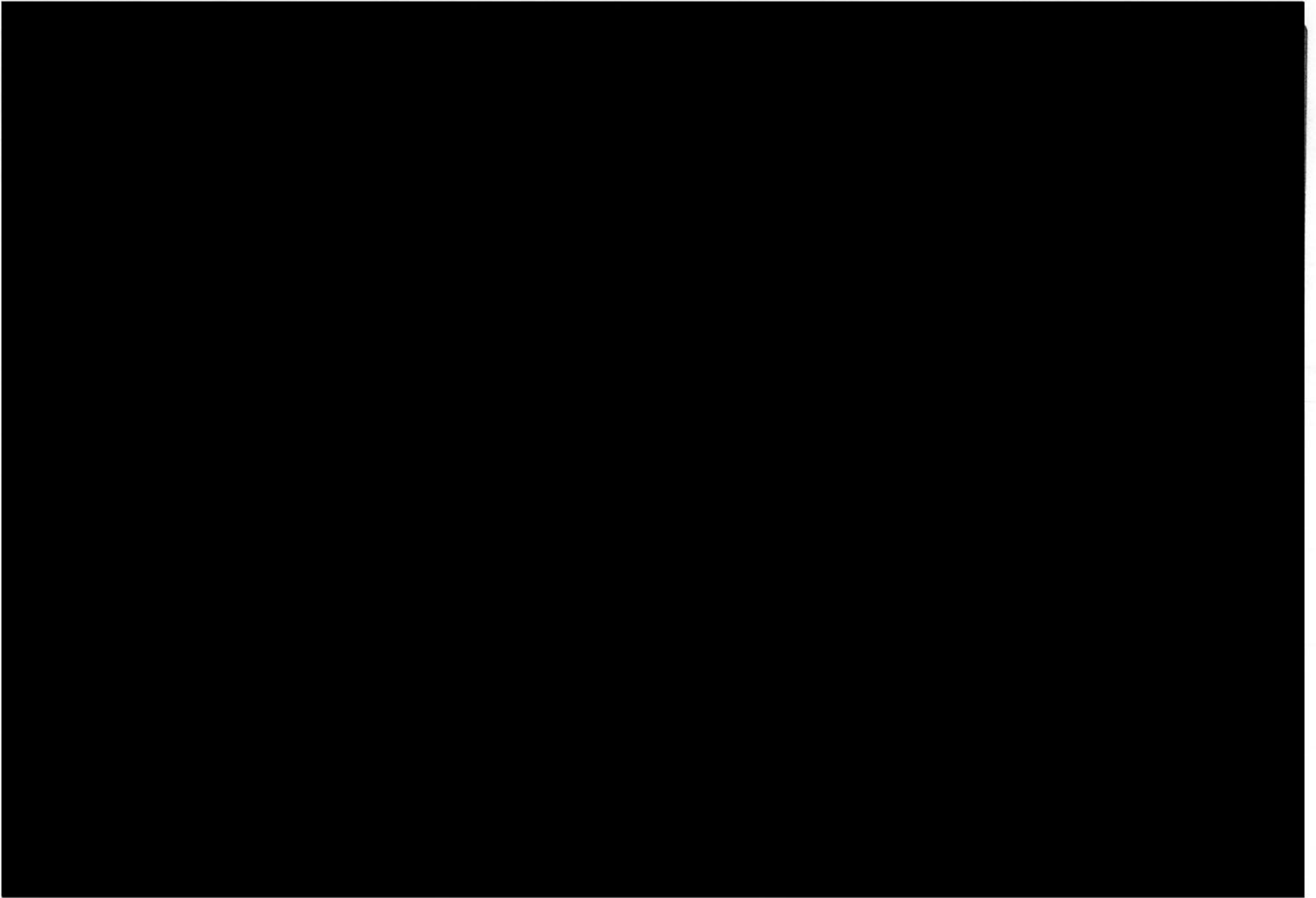


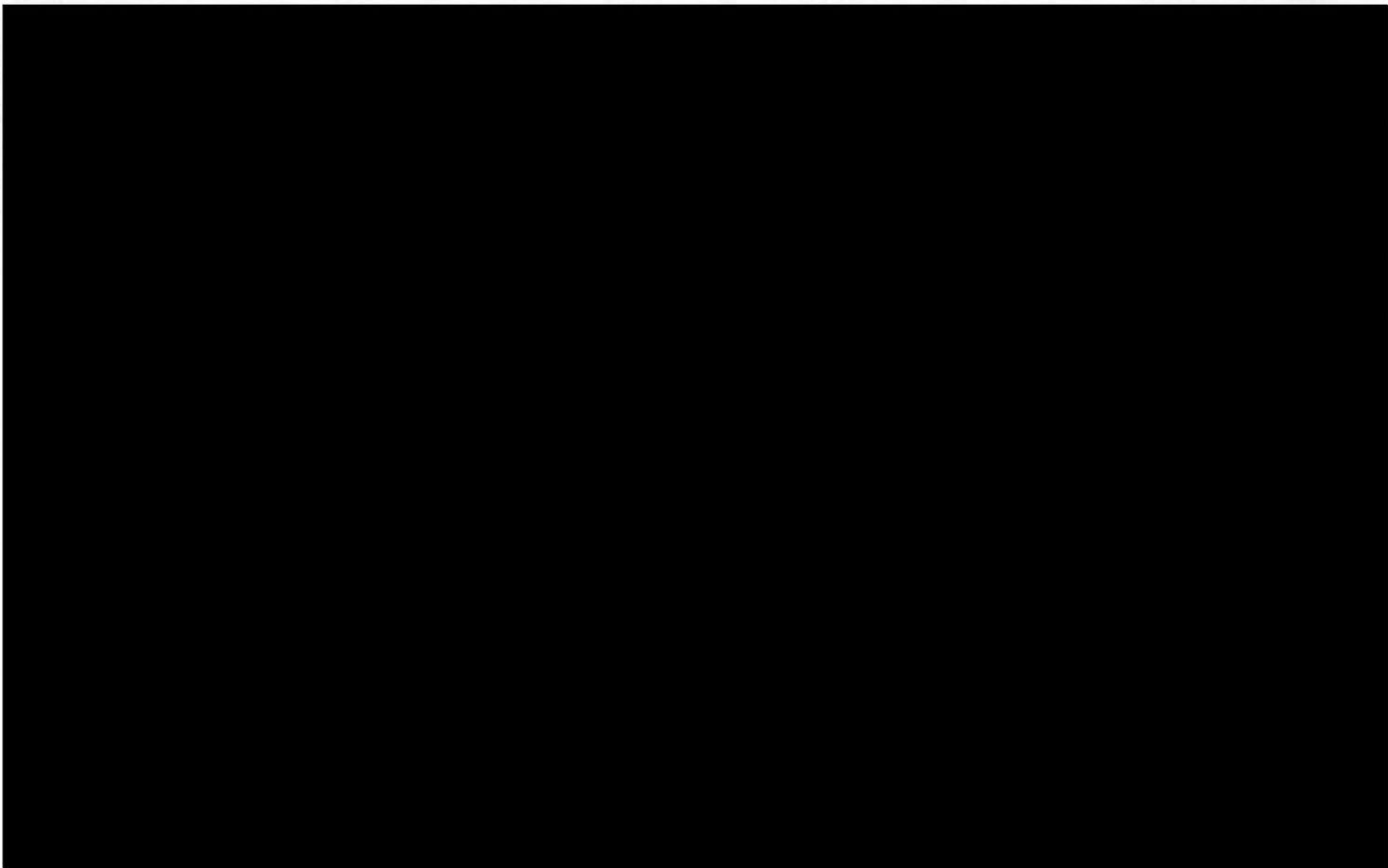






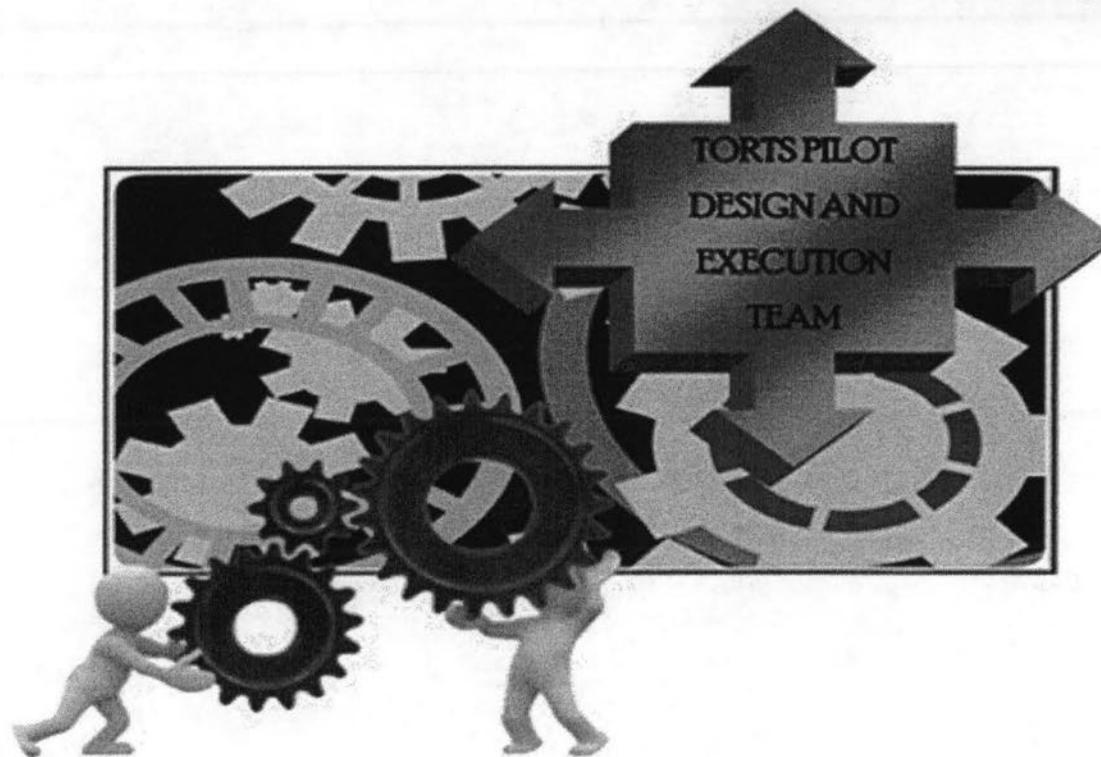






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# QUESTIONS?



# OGC Leadership Summit 2013

## Specialty Team Advising Research (STAR) Pilot



# STAR Pilot

- \* **Start Date:** September 17, 2012
- \* **Approved Staffing:** 8 FTEE staff attorneys, 1 FTEE legal assistant
- \* **Staffing at Start:** 7.22 FTEE attorney + legal assistant
- \* **Current staffing:** 7.9 FTEE attorney \* + legal assistant



# STAR Pilot

## Number of FTEEs in STAR:

<b>Supervisors:</b>	2
<b>Attorneys:</b>	9 (equivalent to 7.9 FTEE; combination of part-time)
<b>Paralegals:</b>	0
<b>Administrative Support:</b>	1 (acts as paralegal)

**“Research” as a specialty area shall include:**

- a. Agreements for basic to applied research & collaboration (e.g. animal research, grants to VA Nonprofit Corporations (NPCs))**
  - i. Research agreements, including:**
    - Cooperative Research and Development Agreements (CRADAs)
    - Material Transfer Agreements
    - Confidentiality Disclosure Agreements
    - Intellectual property (IP) licenses and agreements
  - ii. Advice to personnel (VA, NPC, sponsors) on agreements**
  - iii. Agreements that impact research and intellectual property issues, e.g., FAR contracts**
  - iv. Bayh-Dole issues**
  - v. Stevenson-Wydler and America Competes Act**

# STAR Pilot

# Jurisdiction

- vi. Research issues with university affiliates , e.g.,  
Cooperative Technology Administration Agreements  
(CTAAs)
- vii. Technology commercialization issues

**b. Institutional Review Boards**

- rights of research subjects
- informed consent
- HIPAA authorizations forms
- MOUs
- agreements to share IRB resources

**c. Research misconduct**

**d. Research oversight**

**e. Treatment of research injury**

**f. Research adverse events**

# STAR Pilot

# Jurisdiction

## **g. Intellectual property (IP)**

- Determination of Rights (DORs)
- representing agency before Commerce Department for any appeals
- IP licenses
- Actions before USPTO- limited to patent assignments, recordation of documents
- Establishing right of assignee to take action

## **h. VA NPCs**

- Drafting and revising bylaws and policies
- Creation/dissolution/merger
- Advising Boards of Directors, Officers, and Employees
- Attendance at NPC meetings
- Non research legal advice excluded., e.g. personnel, contracts, real property, etc.



# STAR Pilot

# Jurisdiction

## i. Training

- Providing training to OGC staff, researchers, and NPC staff
- Receiving training at CLEs, NAVREF, or other programs

## j. Identification of Government ethics issues in research and research agreements

### **Recent expansion of Jurisdiction:**

- \* Identification of ethics issues in Researcher Conflict of Interest form.
  - Alternate 450 – now required by VHA; reviewed with research documents
  - Cases referred to EST; STAR and EST then collaborate
- \* All patent matters transferred to STAR
  - All actions before USPTO
  - Defense of appeals at Commerce
  - Assistance to DOJ on infringement claims



# STAR Pilot

## Attorney Division of Work

Alabama	Alaska	Arizona	Florida	New York City/Long Island	Southern California	Connecticut	Washington, DC	Northern California	Central Office
Arkansas	Idaho	Louisiana	Puerto Rico	Delaware	Colorado	Massachusetts	West Virginia	Hawaii	
Georgia	Minnesota	New Mexico	Michigan	New Jersey	Ohio	Maine	Maryland	Iowa	
Missouri	Montana	Nevada		Pennsylvania	Utah	New Hampshire	Kansas	Illinois	
Mississippi	North Dakota	Oklahoma			Wyoming	Vermont	Indiana	Kentucky	
South Carolina	Oregon	Texas				Upstate New York	Virginia	Nebraska	
Tennessee	South Dakota					Rhode Island	North Carolina		
	Washington						Wisconsin		

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# STAR Performance Measures



# STAR Pilot

## 2010 – 2013 CRADA Hourly Statistics

Clinical Research Agreements					
Hours/Case by Month					
Totals Hours/ Case by Month	Calendar Year				
Month	2010	2011	2012	STAR 2012	STAR 2013
January	0	4.60	3.70		2.79
February	3.96	6.06	3.63		3.00
March	4.61	5.66	4.88		2.00
April	4.47	5.90	5.42		2.00
May	7.04	5.75	4.55		
June	3.91	7.27	3.85		
July	5.04	6.27	3.75		
August	3.20	4.27	3.97		
September	4.11	7.99	9.18	2.38	
October	4.58	4.76		3.04	
November	4.65	4.05		2.74	
December	4.61	3.79		2.55	
Average Hours:	4.18	5.53	4.18		

[Information provided by GC Raps Team, PMR reports, & Report Server]

# STAR Pilot

## Performance Measures

### Average Hours - Improvement

1. Reduce hours to complete Clinical Research Agreements from **7.01** to 6.65

Year	Avg. Hours Prior to STAR	Star 1 <sup>st</sup> Period	Star 2 <sup>nd</sup> Period
2010	4.18	36%	41%
2011	5.53	52%	56%
2012	8.85	70%	72%
OGC (GOAL)	6.65	60%	63%

**STAR 1st Qtr. Average Hours = 2.68**

**STAR 2nd Qtr. Average Hours = 2.45**



# STAR Pilot

## Performance Measures

### Performance Goal #1

#### Simplified Results

1. Reduce hours to complete Clinical Research Agreements from **7.01** to 6.65

Goal	Actual Performance
6.65 Hours/CRADA	2.56 Hours/CRADA



# STAR Pilot

## 2010 – 2013 CRADA Days to Complete Statistics

Clinical Research Agreements					
Totals Days/Case	Calendar Year				
Month	2010	2011	2012	STAR 2012	STAR 2013
January	21.83	29.05	9.60		3.00
February	20.89	36.09	9.83		3.00
March	24.04	24.38	7.35		2.00
April	22.71	15.21	10.49		3.00
May	18.76	14.81	7.93		
June	18.39	9.48	8.87		
July	18.74	14.03	6.67		
August	22.51	17.38	10.03		
September	30.31	19.52		1.00	
October	22.81	2.73		2.00	
November	30.87	4.59		3.00	
December	16.03	7.52		2.00	
Average Days	22.32	16.23	8.85	2.00	2.75

[Information provided by GC Raps Team, PMR reports, & Report Server]

OGC Leadership Summit 2013

# STAR Pilot

## Performance Measures

### Average Days Improvement

2. Reduce average days to process a clinical Research Agreement cases from 18.08 to 17.18

Year	Avg. Days Prior to STAR	STAR 1 <sup>st</sup> Period	STAR 2 <sup>nd</sup> Period
2010	22.32	91%	88%
2011	16.23	88%	83%
2012	8.85	77%	69%
OGC (GOAL)	17.18	88%	84%

**STAR 1st Qtr. Average Days = 2.00**

**STAR 2nd Qtr. Average Days = 2.75**

# STAR Pilot

## Performance Measures

### Performance Goal #2 Simplified Results

2. Reduce average days to process a clinical Research Agreement cases from 18.08 to 17.18

Goal	Actual Performance
17.16 Days/CRADA	2.38 Days/CRADA

## STAR Pilot Special Projects

- Determination of Rights (DORs) – new streamlined process
- Implementation of Law permitting billing of NPCs
- GCLaws conventions
- Confidentially Disclosure Agreements (CDA) FAQ
- MOU/MOA FAQ
- Contract Research Organizations (CRO) FAQ
- Updating CRADA Models
- Joint SharePoint site with client, Technology Transfer Program
- SOP for invoicing
- Renegotiate CTAAAs



## STAR Pilot GCLaws Case Count

- ★ CDA - 190
- ★ CRADA - 522
- ★ DOR - 55
- ★ NPC - 149
- ★ IP - 17
- ★ Copyright - 13
- ★ Research - 253
- ★ Ethics - 53

- ★ Training - 70
- ★ Meetings - 69
- ★ License - 8
- ★ VAIQ - 25
- ★ MOU - 65
- ★ Other - 202

**Total Cases: 1691**



# STAR Pilot Training for Team

1. STAR Kick-off Training
2. NAVREF attendance
3. Human Subject Protection (Part I-III)
4. Determination of Rights (DOR) Training
5. IP Principles in CRADAs
6. Role of VA Counsel vis-a-vis NPCs
7. Office of Research Oversight (ORO) Research Misconduct Training
8. American Inventors Act Webinar Series: Administrative Trial Final Rules
9. CRADA Fee training
10. CRADA Workshop Training (Part I-III)

# STAR Pilot Team Training - continued

10. Staff Huddles/Meeting - Weekly
11. VHA Tissue Bank Training
12. GCLaws Training
13. Administrative Training on SOPs
14. GCLaws Conventions Training
15. CRADA Billing Training
16. NPC Town Hall Meeting on Billing
17. Patent Webinar
18. Administrative Refresher
19. Overview of VA Intramural Funding Process

# STAR Pilot CRADA Billing

Month	Number of Invoices	Total Invoice Dollars	Total Checks Received	Outstanding Amount
January	13	\$ 3,445.00	\$ 1,935.00	\$ 1,510.00
February	12	\$ 3,450.00	\$ 1,290.00	\$ 2,160.00
March	22	\$ 8,630.00	\$ 4,025.00	\$ 4,605.00
April	21	\$ 7,440.00	\$ 645.00	\$ 6,795.00
Grand Totals:	68	\$22,965.00	\$7,895.00	\$15,070.00



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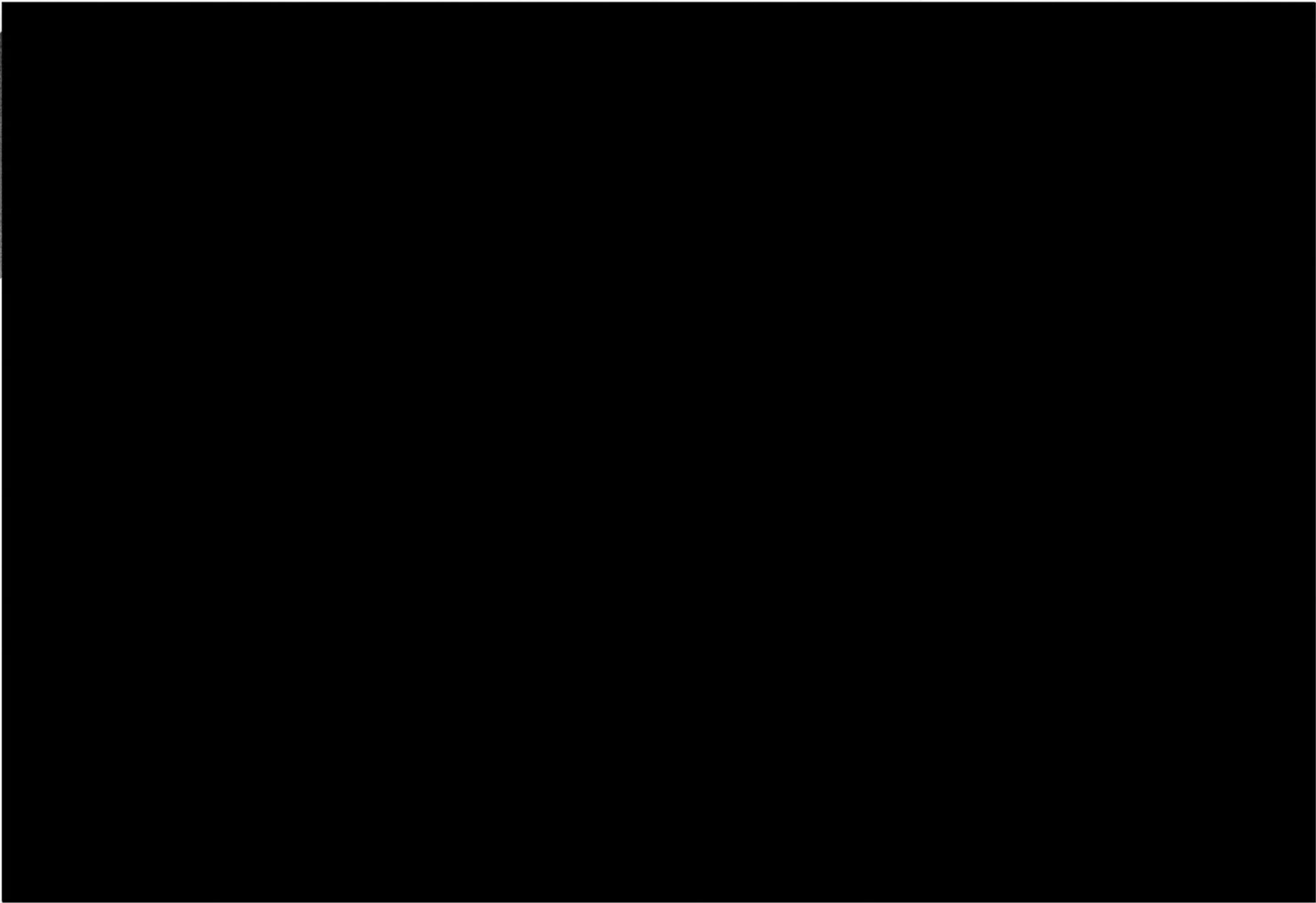
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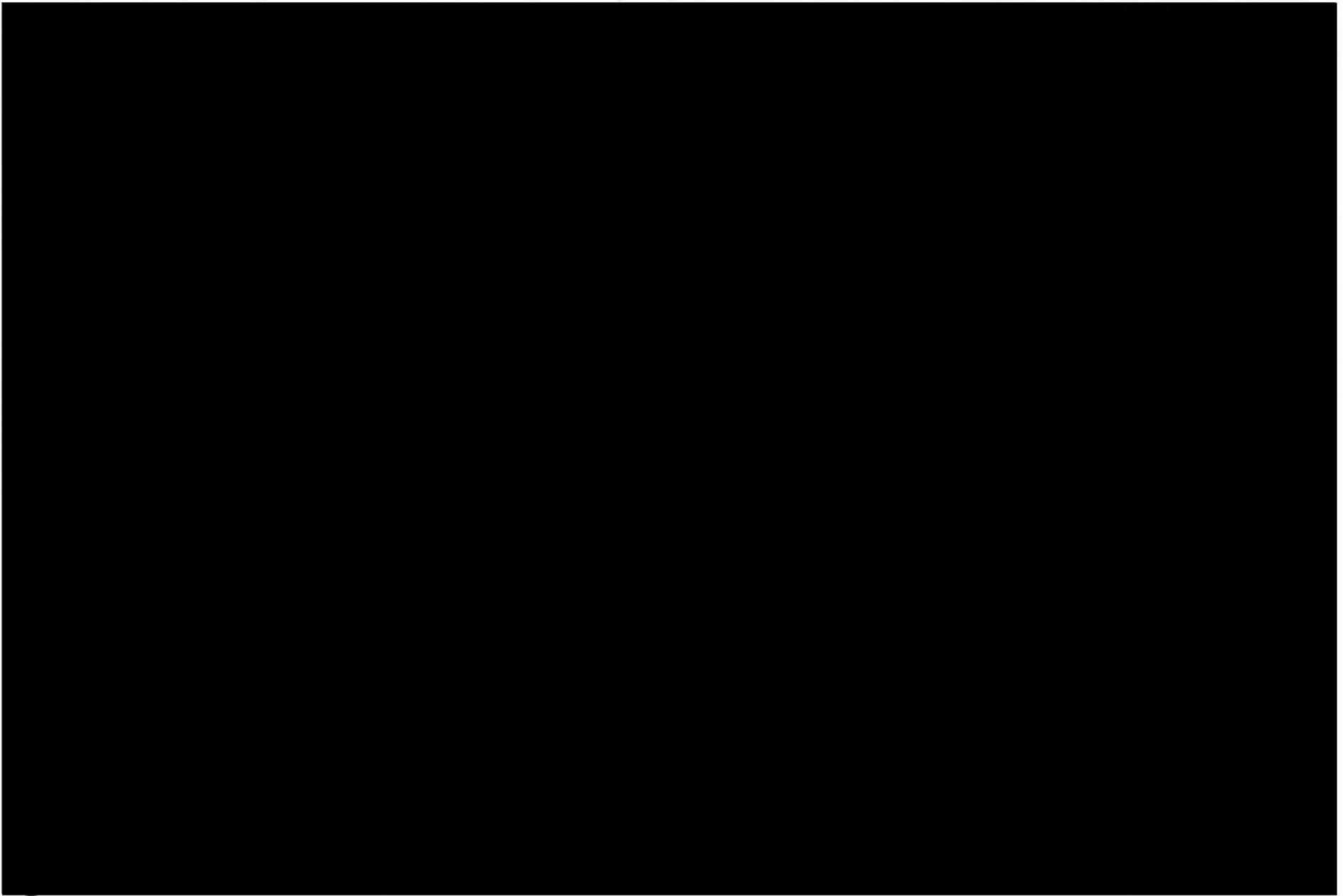


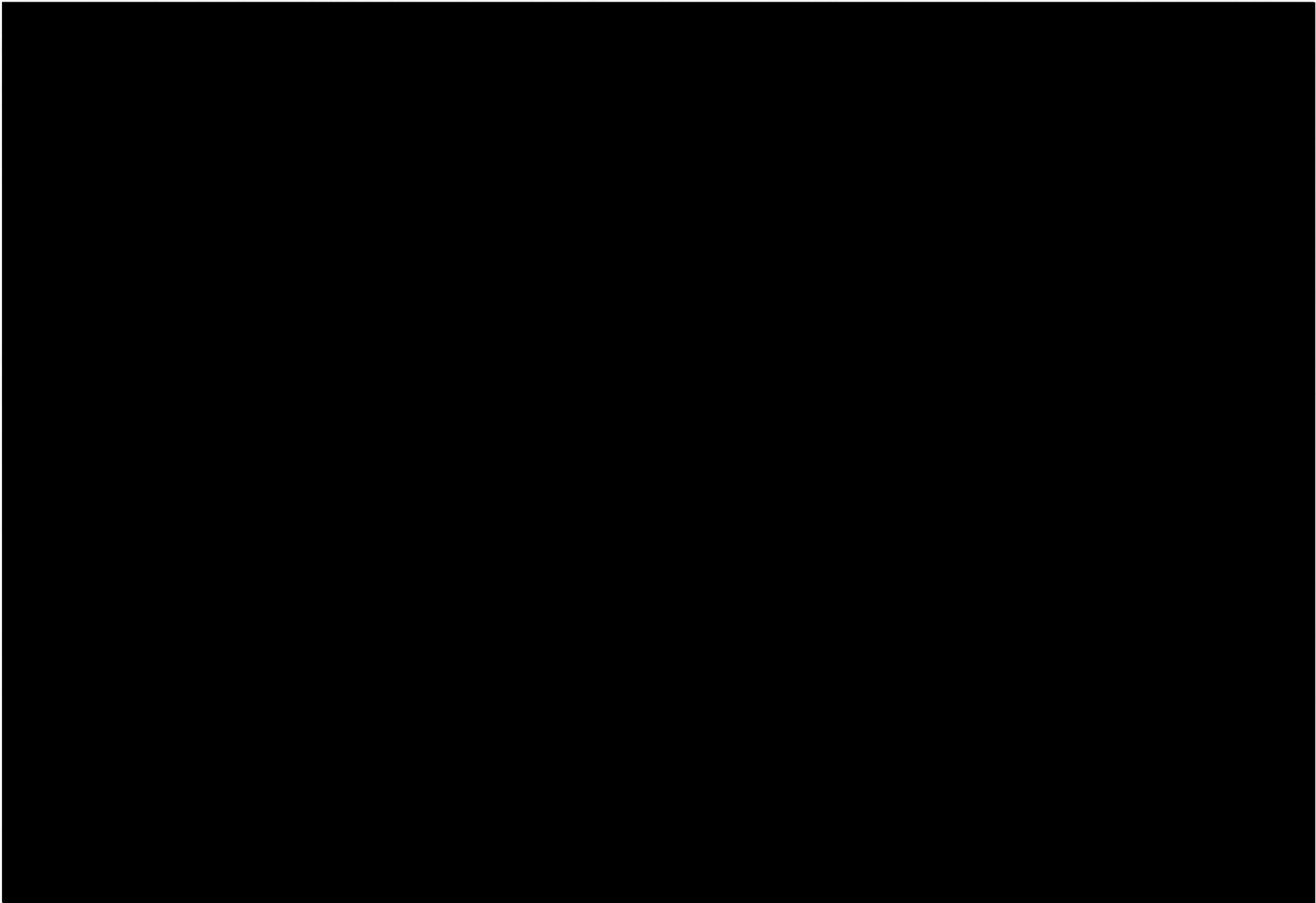
154

July 2013

OGC Leadership Summit 2013







OGC Leadership Summit 2013

# Survey Results



# STAR Pilot Supervisors' Survey Results

**Question:** The STAR Pilot has improved the quality of legal service in the area of Research Law.

**Agree  
or  
Strongly Agree**

**64%**

[27% Neither agreed nor disagreed]

# STAR Pilot

## Supervisors' Survey Results

**Question:** The STAR Pilot has improved the timeliness of legal service (i.e., average days to close a case or task) in the area of Research Law.

**67%**

**Agree  
or  
Strongly Agree**

[25% Neither agreed nor disagreed]



# STAR Pilot Supervisors' Survey Results

Question: The STAR Pilot has improved the efficiency of legal service (i.e., average hours per case or task) in the area of Research Law.

**Agree  
or  
Strongly Agree**

**55%**

[28% Neither agreed nor disagreed]

# STAR Pilot Supervisors' Survey Results

**Question:** The STAR Pilot has benefitted my  
Region or Staff Group.

**58%**

**Agree  
or  
Strongly Agree**

[26% Neither agreed nor disagreed]

# STAR Pilot

## Supervisors' Survey Results

**Question:** The number of FTE assigned to the STAR Team is commensurate with the Team's workload.

**Agree  
or  
Strongly Agree**

**58%**

[17% Neither agreed nor disagreed]

# STAR Pilot

## Supervisors' Survey Results

**Question:** The number of FTE assigned to the STAR is appropriate, given OGC's non-Research Law workload.

**58%**

**Agree  
or  
Strongly Agree**

[17% Neither agreed nor disagreed]

# STAR Pilot

## Supervisors' Survey Results

**Question:** The **percentage of involvement** of each employee assigned to the STAR is appropriate, given the participating OGC's non-Research Law workload.

**Agree  
or  
Strongly Agree**

**50%**

[30 % Neither agreed or disagreed]



# STAR Pilot

## Supervisors' Survey Results

**Question:** I have received **positive** feedback from **clients** about the STAR.

**Agree**  
**or**  
**Strongly Agree**

**30%**

[60% Neither agreed nor disagreed]

# STAR Pilot Supervisors' Survey Results

**Question:** The centralization of Research Law work to the STAR has **benefitted my Region or Staff Group.**

**50%**

**Agree  
or  
Strongly Agree**

[24% Neither agreed nor disagreed]

# STAR Pilot

## Supervisors' Survey Results

Please **describe any particular positive or negative** outcomes you have experienced in your Region or Staff Group related to the STAR.

Having our Region lost personnel to the STAR has caused a strain on the remaining work to be performed. Client satisfaction has also been affected.

This subject matter is such a unique boutique practice ideal for specialization. It is working well for us in the field and the comments from clients have been overwhelmingly positive. In my opinion the practices of the research pilot should be made permanent.

# STAR Pilot Supervisors' Survey Results

The Specialty Team model has degraded attorney morale - less satisfaction if practice limited to only certain areas. This is aggravated by less client contact and perception that ST's are priority areas of practice. There was no transparency in the selection of the ST attorney's.

The Pilot programs changed the distribution of work in our office in such a way that has negatively impacted office morale.



# STAR Pilot Supervisors' Survey Results

My experience has been entirely negative, except for the research pilot. Because of the pilots, my workload has increased dramatically and I have become a de facto member of the "personnel pilot." Nearly 100% of my workload is hearings, litigation, arbitrations. I see the gross disparity between my workload and that of those in my region on the torts team. In 16 years of working for the VA, I have never been so dissatisfied. I expect to leave the VA within the year largely because of this



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# Employee Survey Results



# **STAR Pilot Employee Survey Results**

**I understand what is expected of me  
as a participant in this pilot.**

**87%**

**Agree  
Or  
Strongly agree**

# **STAR Pilot Employee Survey Results**

**I understand the metrics and goals by which  
the pilot's effectiveness will be measured.**

**Agree  
Or  
Strongly agree**

**93%**

# **STAR Pilot Employee Survey Results**

**Compared to what you think it should be,  
how satisfied are you with relationships  
you have with your coworkers?**

**100%**

**Somewhat Satisfied  
Or  
Very Satisfied**



# **STAR Pilot Employee Survey Results**

**Compared to what you think it should be, how satisfied are you with the quality of direct supervision you receive?**

**Somewhat Satisfied  
Or  
Very Satisfied**

**80%**



# **STAR Pilot Employee Survey Results**

**Compared to what you think it should be,  
how satisfied are you with the quality of  
the work you are now doing?**

**87%**

**Somewhat Satisfied  
Or  
Very Satisfied**

# **STAR Pilot Employee Survey Results**

**Compared to what you think it could be, how satisfied are you with the feedback you receive from clients about your work?**

**86%**

**Somewhat Satisfied  
Or  
Very Satisfied**

# **STAR Pilot Employee Survey Results**

**Compared to what you think it should be, how satisfied are you with your current workload?**

**Somewhat Satisfied  
Or  
Very Satisfied**



# STAR Pilot Employee Survey Results

Please describe any particular positive or negative outcomes you have experienced related to your participation in the Pilot.

I have had nothing but positive results from being on the STAR. I am able to do different work, more challenging work and the workload seems appropriate. The ability to balance work and life by teleworking has helped my over all life. I love being on this team Most of the people are great.



# STAR Pilot

## Employee Survey Results

### Question: Continued....

The negative is that we need more training dollars and more FTE for the appropriate staff to carry the workload.

Add more FTE for additional attorneys. Add more training dollars. Have the ability and funding appropriated to meet 1 time a year for training purposes as a team. As a virtual team, this is important. the ability to get the technology to do our jobs effectively and efficiently, such as head sets or new laptops, blackberries, as needed. To have an OIT person assigned to our team specifically.



# STAR Pilot

## Employee Survey Results

Question: Continued.....

I believe that the STAR and EST teams have been a success. the work is being done quicker and more efficiently with practices being streamlined. It is helping the client get what they need quicker and they seem very satisfied. I am not sure that the whole billing of NPCs is appropriate and should be revisited. It does not seem like we need this or that the NPC like it...plus it is federal dollars going to another federal agency. That is a little strange, although I know DOD does this.

# STAR Pilot

## Employee Survey Results

Question: Continued.....

I am hoping that the teams go permanent. Comments from the local regional counsel offices seemed to be they are glad these two areas are off their plate, because they cause big interruptions in the daily functioning of the office. Thanks you for listening.

We must make OGC and "field" employees equal.

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# Discussion





# STAR Pilot Discussion

## **\* What were successes worth noting?**

- \* Team creation and cohesion**
- \* Workload balancing**
- \* Implementation of new NPC billing activity**
- \* Very high employee satisfaction and engagement**

# STAR Pilot Discussion

- **What were surprises?**

- **New task - review of researcher COI**
- **Volume of work**

- **What complaints were received?**

- **Occasional dropped ball (from client)**
- **Need to be fully staffed (from team member)**
- **More reliable IT (from team member)**



# QUESTIONS?



0 185

# OGC Leadership Summit 2013

## Super Collaborative Torts Pilot



# The Super Collaborative

- \* Region 1 Boston
- \* Region 2 Brooklyn
- \* Region 3 Baltimore
- \* Region 4 Philadelphia
- \* Region 6 St. Petersburg
- \* Region 10 Chicago
- \* Region 11 Detroit
- \* Region 14 Houston
- \* Region 16 Denver
- \* Region 21 Buffalo





# Super Collaborative Torts Pilot

## Testing Hypotheses

The Super Collaborative will improve efficiency in processing of tort claims through

- \* Specialization
- \* Adjudication of reconsideration cases within the collaborative
- \* Increase in settlement authority of Regional Counsels from \$150,000 to \$300,000

# The Super Collaborative SharePoint Site



Department of Veterans Affairs  
**Office of General Counsel**

Super Collaborative Tort Pilot

This Site: Super Collabr▼

OGC Areas of Law▼ OGC Offices▼ Specialty Teams▼ Work Groups▼ Research & Links▼ Employee Portal▼ Training Tech Help▼ 

Subject Matter Experts  
General Documents  
SOP  
Templates  
Conference Call Agendas and Summaries  
Tort Tracking  
Reassignments  
Reconsiderations  
State Law  
Facility POCs  
LTC Related  
Team Discussion  
People and Groups



Members



 Add new user

Links


-  VHA Facility Intranets

 Recycle Bin

6810189



# The Super Collaborative SharePoint Site



Department of Veterans Affairs  
**Office of General Counsel**

Super Collaborative Tort Pilot  
 ▶ Tort Tracking

This List: Tort Tracking

I Like It

OGC   Areas of Law ▼   OGC Offices ▼   **Specialty Teams ▼**   Work Groups ▼   Research & Links ▼   Employee Portal ▼   Training   Tech Help ▼   OI&T ▼

Subject Matter	Indicator	Goal	Value	Status
Experts	Region 01 Boston	13%	9.67%	●
General Documents	Region 02 Brooklyn	8%	10.57%	◆
SOP	Region 03 Baltimore	8%	7.55%	●
Templates	Region 04 Philadelphia	8%	11.78%	◆
Conference Call Agendas and Summaries	Region 06 St. Petersburg	17%	14.8%	●
<b>Tort Tracking</b>	Region 10 Chicago	13%	11.78%	●
Reassignments	Region 11 Detroit	8%	8.46%	▲
Reconsiderations	Region 14 Houston	13%	11.18%	●
State Law	Region 16 Denver	4%	4.83%	◆
Facility POCs	Region 21 Buffalo	8%	9.37%	◆
LTC Related				
Team Discussion				
People and Groups				

☐ Root Last Name, First Name   Case Number   Date Claim Recvd   Client Facility   Claim Type   Assigned Region

Assigned Region : Region 01 Boston (32)

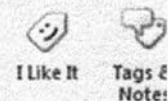
# The Super Collaborative SharePoint Site



Department of Veterans Affairs  
**Office of General Counsel**

Super Collaborative Tort Pilot  
› Reassignments › All Items ›

This List: Reassignment



OGC Areas of Law ▾ OGC Offices ▾ **Specialty Teams ▾** Work Groups ▾ Research & Links ▾ Employee Portal ▾ Training Tech Help ▾ OI&T ▾

	<input type="checkbox"/> Edit	Date	Region of Origin	Region of Assignment	Name	Type of Claim
Subject Matter Experts		5/17/2013	Region 4 Philadelphia	Region 1 Boston		Medical Malpractice
General Documents		5/14/2013	Region 4 Philadelphia	Region 6 St. Petersburg		Medical Malpractice
SOP		5/9/2013	Region 4 Philadelphia	Region 1 Boston		Medical Malpractice
Templates		5/9/2013	Region 4 Philadelphia	Region 1 Boston		Medical Malpractice
Conference Call Agendas and Summaries		5/6/2013	Region 2 Brooklyn	Region 1 Boston		Medical Malpractice
Tort Tracking		4/9/2013	Region 6 St. Petersburg	Region 1 Boston		Medical Malpractice
<b>Reassignments</b>		4/9/2013	Region 6 St. Petersburg	Region 11 Detroit		Personal Injury
Reconsiderations		4/9/2013	Region 6 St. Petersburg	Region 14 Houston		Medical Malpractice
State Law		4/4/2013	Region 6 St. Petersburg	Region 14 Houston		Medical Malpractice
Facility POCs		4/3/2013	Region 6 St. Petersburg	Region 1 Boston		Medical Malpractice
LTC Related		3/29/2013	Region 6 St. Petersburg	Region 1 Boston		Medical Malpractice
Team Discussion		3/25/2013	Region 4 Philadelphia	Region 1 Boston		Medical Malpractice
People and Groups		2/28/2013	Region 10 Chicago	Region 14 Houston		Medical Malpractice
		2/22/2013	Region 10 Chicago	Region 14 Houston		Medical Malpractice
		2/7/2013	Region 6 St. Petersburg	Region 2 Brooklyn		PD/PI
Recycle Bin		2/5/2013	Region 6 St. Petersburg	Region 4 Philadelphia		Medical Malpractice

# The Super Collaborative SharePoint Site



Department of Veterans Affairs  
**Office of General Counsel**

Super Collaborative Tort Pilot  
 > Reconsiderations >  
 All Items >

This List: Reconsiderati



OGC Areas of Law > OGC Offices > Specialty Teams > Work Groups > Research & Links > Employee Portal > Training Tech Help > OI&T >

Subject Matter Experts	<input type="checkbox"/> Edit	Date	Region of Origin	Region of Assignment	Name	Type of Claim	Disposition
General Documents		5/14/2013	Region 10 Chicago	Region 2 Brooklyn		Medical Malpractice	Pending
SOP		5/14/2013	Region 4 Philadelphia	Region 1 Boston		Medical Malpractice	Pending
Templates		5/10/2013	Region 16 Denver	Region 21 Buffalo		Personal Injury	Pending
Conference Call Agendas and Summaries		5/10/2013	Region 11 Detroit	Region 16 Denver		Medical Malpractice	Pending
Tort Tracking		5/8/2013	Region 1 Boston	Region 14 Houston		Medical Malpractice	Pending
Reassignments		5/8/2013	Region 6 St. Petersburg	Region 11 Detroit		Property Damage	Pending
<b>Reconsiderations</b>		5/7/2013	Region 21 Buffalo	Region 10 Chicago		Medical Malpractice	Pending
State Law		5/7/2013	Region 14 Houston	Region 6 St. Petersburg		Medical Malpractice	Pending
Facility POCs		5/6/2013	Region 6 St. Petersburg	Region 4 Philadelphia		Property Damage	Pending
LTC Related		5/2/2013	Region 6 St. Petersburg	Region 3 Baltimore		Medical Malpractice	Pending
Team Discussion		4/30/2013	Region 11 Detroit	Region 2 Brooklyn		Personal Injury	Pending
People and Groups		4/30/2013	Region 14 Houston	Region 1 Boston		Medical Malpractice	Pending
		4/29/2013	Region 6 St. Petersburg	Region 21 Buffalo		Medical Malpractice	Pending
		4/29/2013	Region 1 Boston	Region 16 Denver		Personal Injury	Pending
		4/25/2013	Region 11 Detroit	Region 14 Houston		Medical Malpractice	Pending
		4/25/2013	Region 2 Brooklyn	Region 11 Detroit		Medical Malpractice	Pending



## Super Collaborative Torts Pilot Methodology – FTEE Allocations

A multi-factorial formula that considers  
- separately for MM, PI, and PD - each  
region's:

- \* “available” FTEE
- \* average volume
- \* average hours to approval, and
- \* total “available” hours (1300)



# Super Collaborative Torts Pilot Methodology Cont'd

- \* Once we determine resource demand for MM, PI, and PD, we compute total demand and remaining capacity.
- \* As any of the factors change, so will capacity.



# Calculations – May 2012

Region	FTE as of 5/1/2012 (Excludes RC, ARC, Supply Fund Attorney, and AO)	Region % of Overall SC FTE	Total FTE to Process SC MM	Region FTE to Process SC MM	Total FTE to Process SC PI	Region FTE to Process SC PI	Total FTE to Process SC PD	Region FTE Process SC PD	Per Region FTE to SC	Per Region FTE to SC (Rounded)	Combined Tort Capacity: Excess/ Shortage	Goal % of Tort Cases	with add'l 10%
BOS	10	0.07		1.79		0.25		0.17	2.21	2	(6.60)	0.064516	0.070968
NYN	14.5	0.11		2.82		0.39		0.27	3.48	3	0.07	0.096774	0.106452
BAL	10	0.07		1.79		0.25		0.17	2.21	2	14.41	0.064516	0.070968
PHI	14	0.10		2.56		0.36		0.24	3.16	3	39.81	0.096774	0.106452
BAY	24.5	0.18		4.61		0.64		0.44	5.69	6	(82.82)	0.193548	0.212903
CHI	16	0.12		3.07		0.43		0.29	3.79	4	16.28	0.129032	0.141935
DET	12.5	0.09		2.30		0.32		0.22	2.84	3	41.94	0.096774	0.106452
HOU	18	0.13		3.33		0.47		0.32	4.12	4	19.18	0.129032	0.141935
DEN	8	0.06		1.54		0.21		0.15	1.90	2	(43.69)	0.064516	0.070968
BUF	9.6	0.07		1.79		0.25		0.17	2.21	2	(6.02)	0.064516	0.070968
									0.00				
<b>Totals</b>	<b>137.1</b>	<b>1.00</b>	<b>25.60</b>	<b>25.60</b>	<b>3.58</b>	<b>3.57</b>	<b>2.43</b>	<b>2.44</b>	<b>31.61</b>	<b>31</b>	<b>(7.44)</b>	<b>1.00</b>	<b>1.10</b>
			(Total # of SC Med Mals Claims (Annual) x (Hours to Close)/ (Hours Per FTE)		(Total # of SC PI Claims (Annual) x (Hours to Close)/ (Hours Per FTE)		(Total # of SC PD Claims (Annual) x (Hours to Close)/ (Hours Per FTE)						

3 Year Average of SC Claims

3 YR Average SC Tort Processing Time:

38.54

Med Malpractice

676

Personal Injury

175

Property Damage

258

1109

196

# Recalculated in April 2013

Region	FTE as of 08/31/2012 (Excludes RC, ARC, Supply Fund Attorney, EST Member, and AO)	Region % of Overall SC FTE	Total FTE to Process SC MM	Region FTE to Process SC MM	Total FTE to Process SC PI	Region FTE to Process SC-PI	Total FTE to Process SC PD	Region FTE to Process SC-PD	Per Region FTE to SC	Per Region FTE to SC (Rounded)	Combined Tort Capacity: Excess/ Shortage	Goal % of Tort Cases	with add'l 10%
BOS	16.5	0.12		2.20		0.36		0.28	2.84	3	47.71	0.13	0.14
NYN	12.4	0.09		1.65		0.27		0.21	2.13	2	0.35	0.08	0.09
BAL	10	0.07		1.28		0.21		0.16	1.65	2	44.01	0.08	0.09
PHI	13	0.09		1.65		0.27		0.21	2.13	2	34.04	0.08	0.09
BAY	22	0.16		2.93		0.49		0.37	3.79	4	(38.12)	0.17	0.19
CHI	16	0.11		2.02		0.33		0.26	2.61	3	35.23	0.13	0.14
DET	11.5	0.08		1.47		0.24		0.19	1.90	2	31.49	0.08	0.09
HOU	19	0.14		2.57		0.43		0.33	3.33	3	16.72	0.13	0.14
DEN	9	0.06		1.10		0.18		0.14	1.42	1	(0.14)	0.04	0.04
BUF	10.8	0.08		1.47		0.24		0.19	1.90	2	(55.05)	0.08	0.09
									0.00				
Totals	140.2	1.00	18.34	18.34	3.04	3.02	2.33	2.34	23.70	24	116.24	1.00	1.1
			(Total # of SC Med Mals Claims (Annual) x (Hours to Close)/ (Hours Per FTE)		(Total # of SC PI Claims (Annual) x (Hours to Close)/ (Hours Per FTE)		(Total # of SC PD Claims (Annual) x (Hours to Close)/ (Hours Per FTE)						

3 Year Average of SC Claims

Average SC Tort Processing Time:

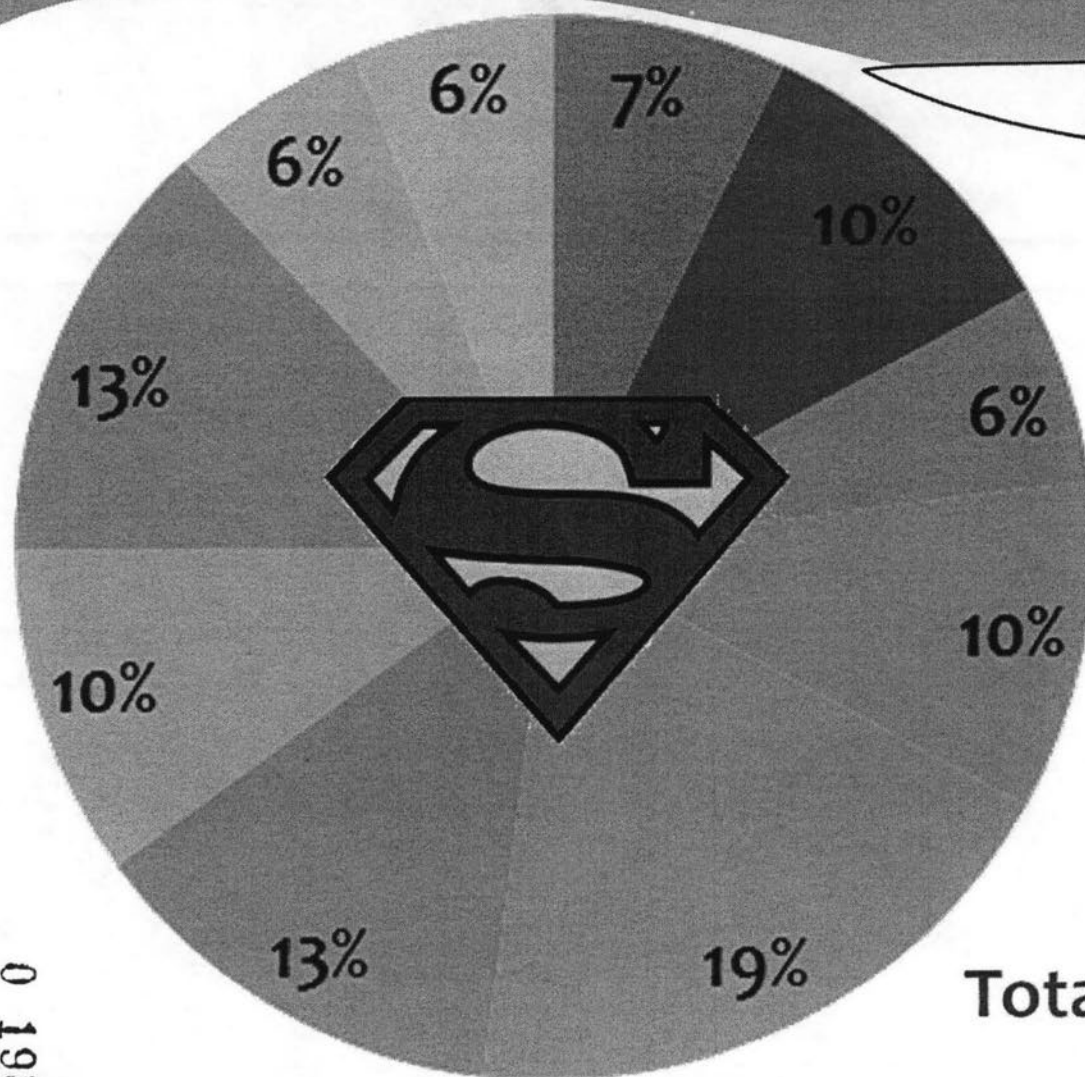
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Med Malpractice  
Personal Injury  
Property Damage

664  
183  
205  
1052

Q 197

## Region FTEE Contributions (May 2012)



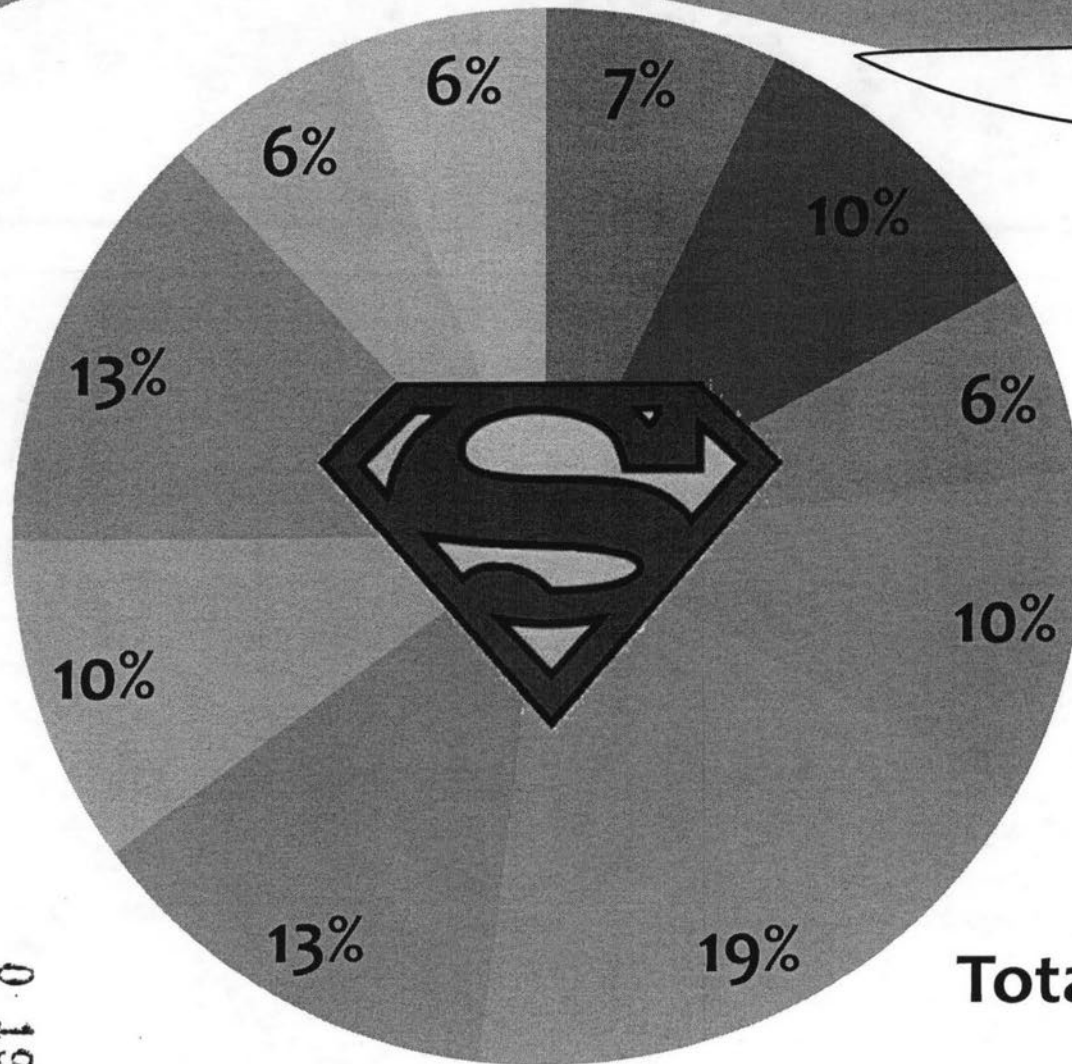
- Region 1 Boston
- Region 2 Brooklyn
- Region 3 Baltimore
- Region 4 Philadelphia
- Region 6 St. Petersburg
- Region 10 Chicago
- Region 11 Detroit
- Region 14 Houston
- Region 16 Denver
- Region 21 Buffalo

**Total 31 FTEE**



## Region FTEE Contributions (May 2012)

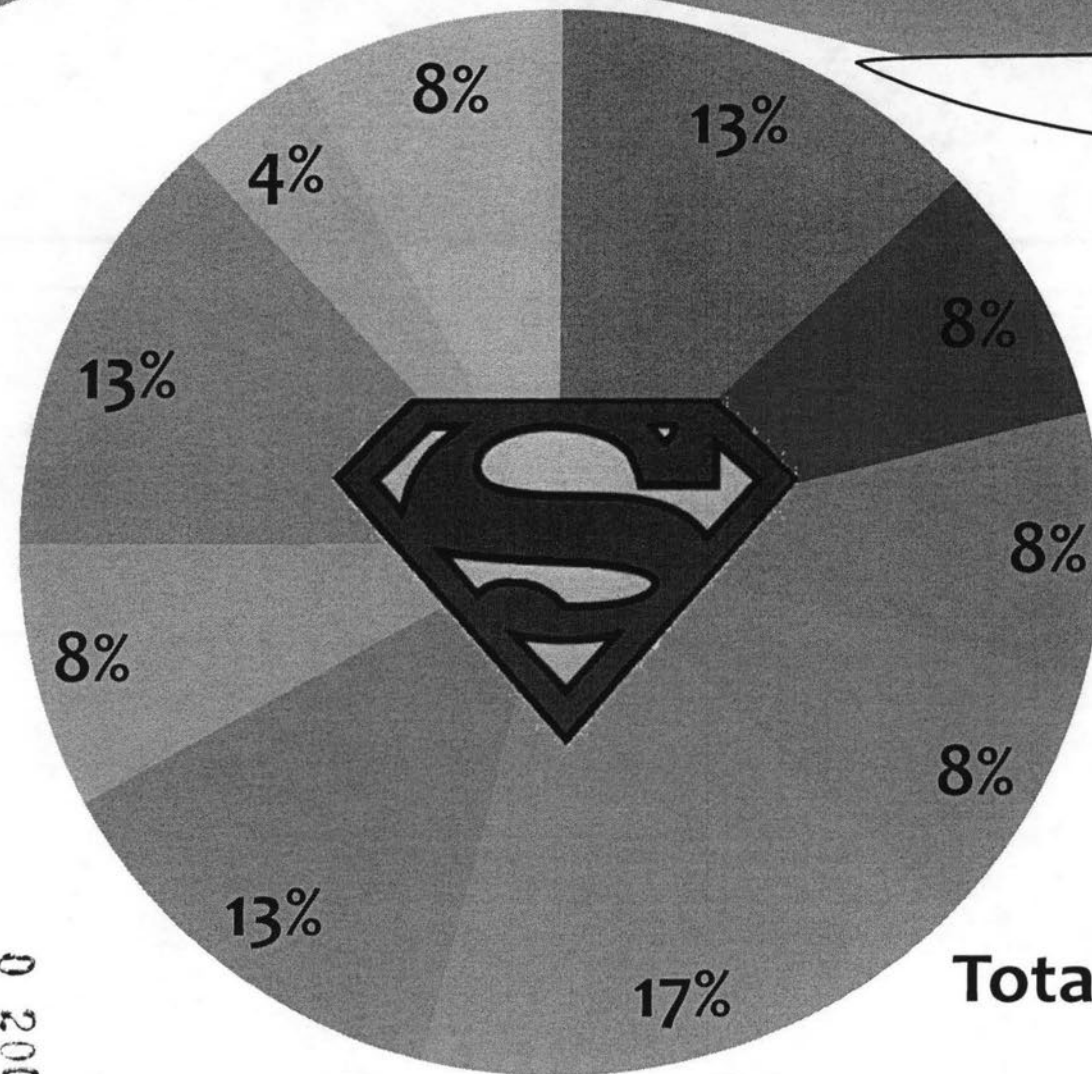
- Region 1 Boston
- Region 2 Brooklyn
- Region 3 Baltimore
- Region 4 Philadelphia
- Region 6 St. Petersburg
- Region 10 Chicago
- Region 11 Detroit
- Region 14 Houston
- Region 16 Denver
- Region 21 Buffalo



**Total 31 FTEE**



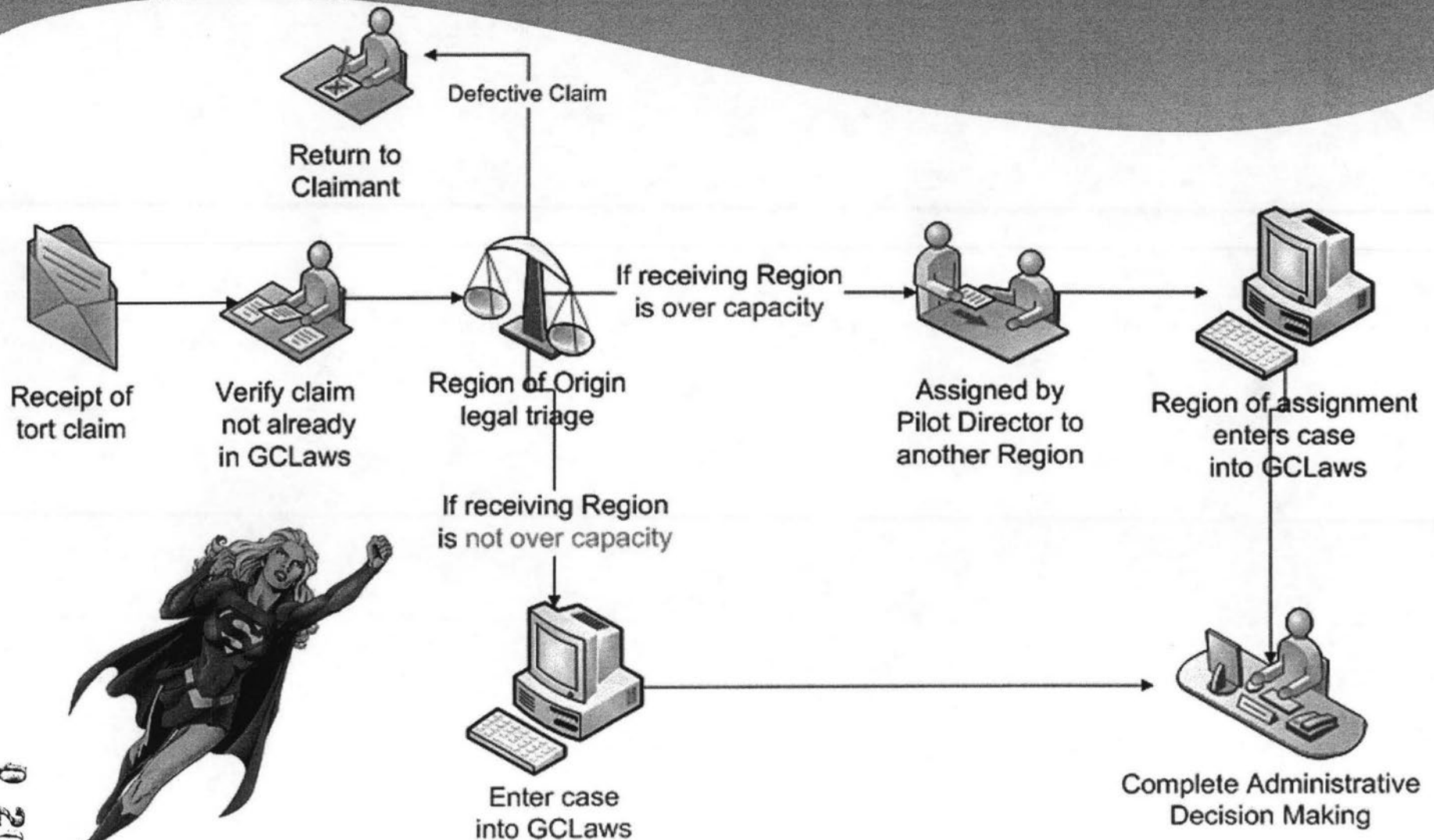
## Region FTEE Contributions (April 2013)



- Region 1 Boston
- Region 2 Brooklyn
- Region 3 Baltimore
- Region 4 Philadelphia
- Region 6 St. Petersburg
- Region 10 Chicago
- Region 11 Detroit
- Region 14 Houston
- Region 16 Denver
- Region 21 Buffalo

**Total 24 FTEE**

# The Super Collaborative Process



## Pending Cases

- \* Due to mass tort filings, staffing shortages, etc. some Regions were overwhelmed and had significant backlogs.
- \* To address that issue we decided that rather than reassigning the old cases it was more efficient to allow the SMEs to continue working on those cases and reassign all of the new cases that came into the overloaded Region.

## Reconsideration Process

- \* Denial letters – Reconsideration requests are to be addressed to the Torts Director
- \* Torts Director will assign on a rotational basis to the Regional Counsel of a region other than the region that generated the denial
- \* Courtesy - When the RC reconsidering the claim will be reversing the denial, the RC of the Region that originally decided the case will be notified of that determination.



## Litigation Cases

Where the claim has been adjudicated outside the Region of origin:

- Adjudicating Region will send letter of transmittal and litigation report to the United States Attorney and will notify 021 and the Region of origin.
- Thereafter the Region of origin will have primarily responsibility for assisting the US Attorney.
- The SME that was assigned the administrative decision making will assist the Region of origin



# Supervision

Regional Counsels and Assistant Regional Counsels are responsible for all phases of supervision of the torts staff within their region.



OGC Leadership Summit 2013

# Performance Measures



# Super Collaborative Torts Pilot Performance Measures

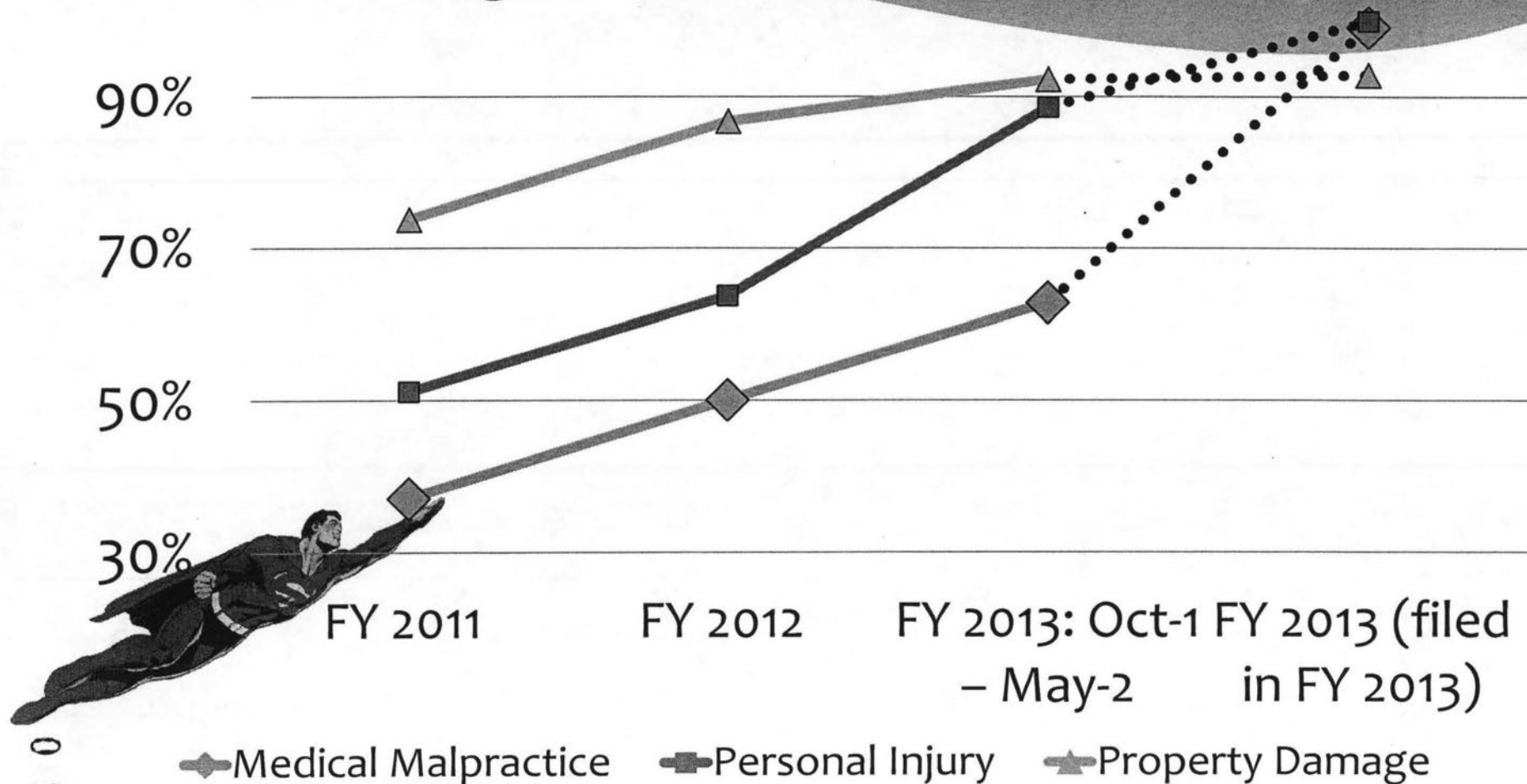
**Equal/ Over \$2500 Adjudicated (IR Approved) Within 180 Days**

	FY 2011	FY 2012	FY 2013 (Oct. 1 – to May 2)	FY 2013 (filed in FY 2013)
Medical Malpractice	244/ 658 <b>(37.08%)</b>	370/ 739 <b>(50.07%)</b>	266/423 <b>(62.88%)</b>	122/123 <b>(99.19%)</b>
Personal Injury	69/ 135 <b>(51.11%)</b>	123/ 193 <b>(63.73%)</b>	93/105 <b>(88.57%)</b>	49/49 <b>(100%)</b>
Property Damage	45/ 61 <b>(73.77%)</b>	72/ 83 <b>(86.75%)</b>	36/39 <b>(92.31%)</b>	26/28 <b>(92.86%)</b>



# Super Collaborative Torts Pilot Performance Measures

## Percentage of Cases Closed w/in 180 Days



# Super Collaborative Torts Pilot Performance Measures

Average Hours to Close a Case Over \$2500

	FY 2011	FY 2012	FY 2013 (Oct. 1 – to May 2)	FY 2013 (filed in FY 2013)
<b>Total</b>	36.1	33.6	38.1	<b>26.6</b>
<b>Medical Malpractice</b>	39.9	37.7	43.8	<b>33.3</b>
<b>Personal Injury</b>	26.9	25.6	23.6	<b>18.7</b>
<b>Property Damage</b>	17.9	17.8	16.3	<b>13.4</b>



# Super Collaborative Torts Pilot Performance Measures

**Total Admin. Decision-Making Tasks Over \$2500 Closed**

	FY 2011	FY 2012	FY 2013 (Oct. 1 – to May 2)	FY 2013 (projected for full FY 2013)
<b>Medical Malpractice</b>	779	835	447	768
<b>Personal Injury</b>	159	214	113	194
<b>Property Damage</b>	72	96	41	84

# Super Collaborative Torts Pilot Performance Measures

## Medical Malpractice Cases Pending at Beginning of the Fiscal Year

	FY 2010 (Oct. 1)	FY 2011 (Oct. 1)	FY 2012 (Oct. 1)	FY 2013 (Oct. 1)	May 2, 2013
* Admin. DC	711	730	630	288	264
* Lit. Asst.	172	217	256	321	174

# Super Collaborative Torts Pilot Performance Measures

## Personal Injury Cases Pending at Beginning of the Fiscal Year

	FY 2010 (Oct. 1)	FY 2011 (Oct. 1)	FY 2012 (Oct. 1)	FY 2013 (Oct. 1)	May 2, 2013
* Admin. DC	134	119	125	52	62
* Lit. Asst.	74	38	30	46	53



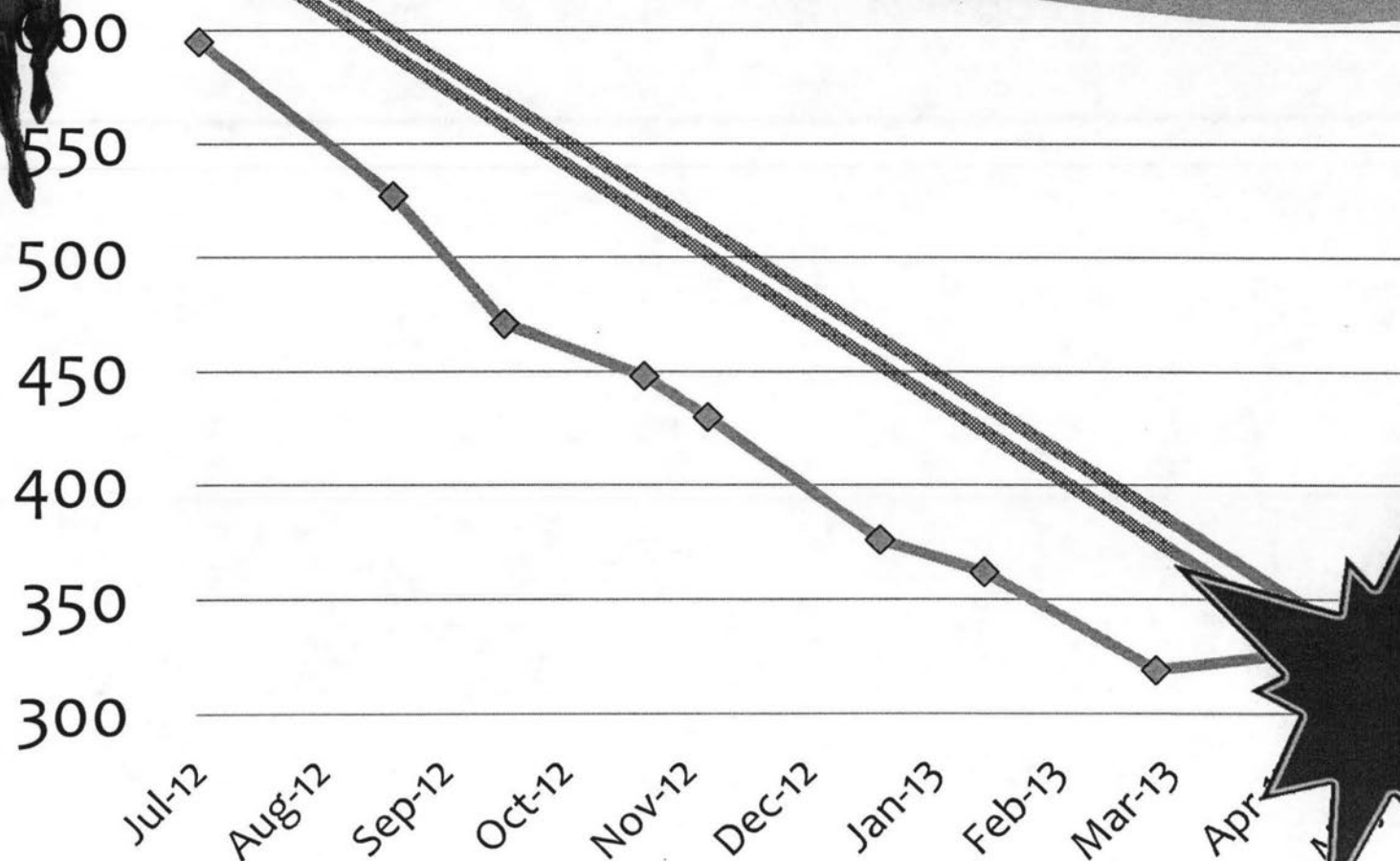
# Super Collaborative Torts Pilot Performance Measures

## Property Damage Cases Pending at Beginning of the Fiscal Year

	FY 2010 (Oct. 1)	FY 2011 (Oct. 1)	FY 2012 (Oct. 1)	FY 2013 (Oct. 1)	May 2, 2013
* Admin. DC	83	83	70	38	31
* Lit. Asst.	4	3	2	2	2

# Super Collaborative Torts Pilot Performance Measures

## Super Collaborative Pending Cases





# Super Collaborative Torts Pilot Performance Measures

## Reconsiderations

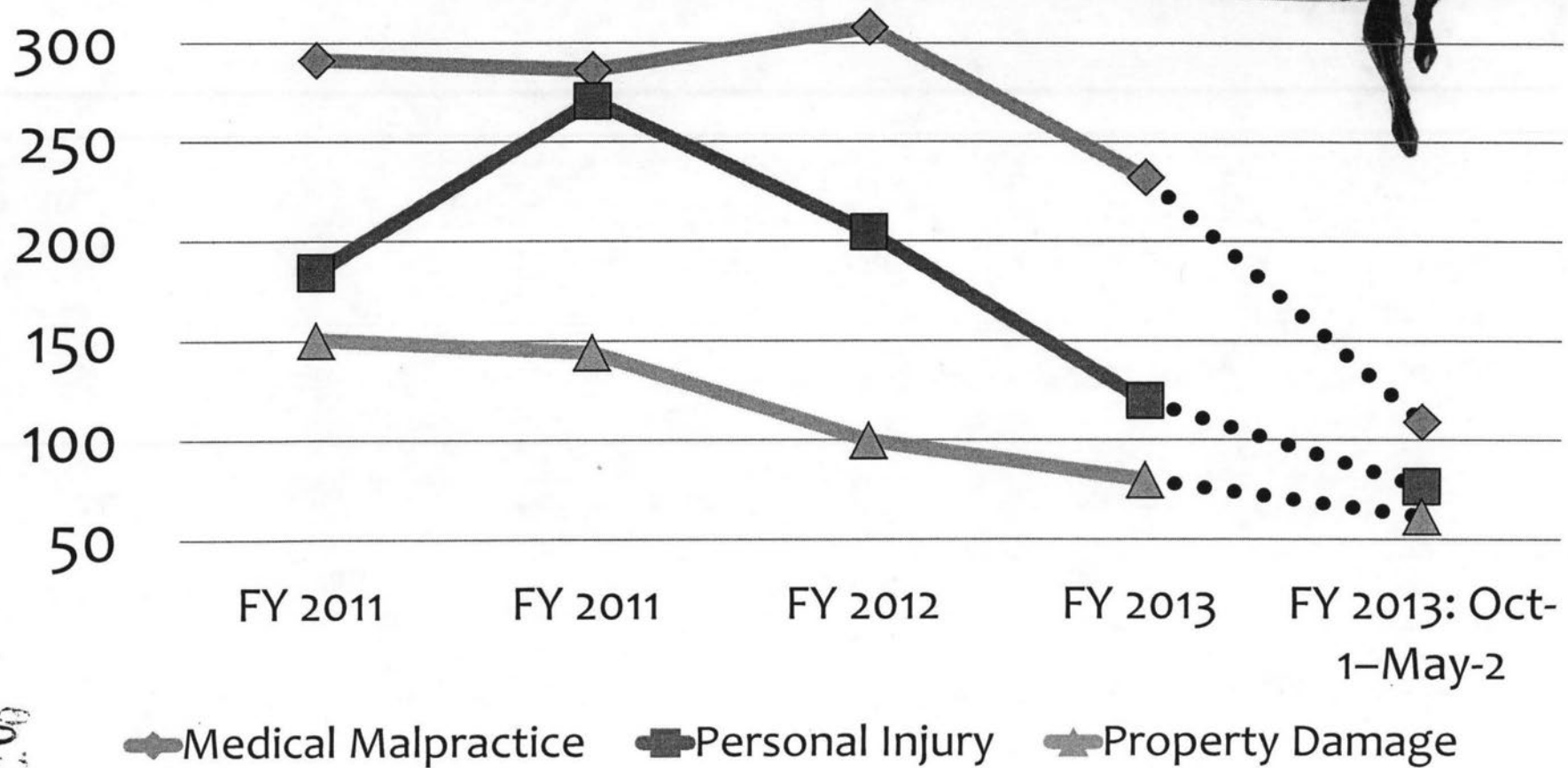
	July 1, 2012 to May 2, 2013	Avg. Days to Adjudicate
Total Received	141	
Adjudicated	65	94
Denied	54	90.6
Settled	11	110.1

## **Super Collaborative Torts Pilot Performance Measures**

**Settlements between \$150,000 and \$300,000  
from July 1, 2012 – May 2, 2013**

	<b>Cases</b>	<b>Total</b>
<b>Medical Malpractice</b>	<b>6</b>	<b>\$1,337,500</b>

# Super Collaborative Torts Pilot Performance Measures Days to IR Approval



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# Super Collaborative Torts Pilot Performance Measures

**Equal/ Over \$2500 Average Day to IR Approval**

	<b>FY 2011</b>	<b>FY 2012</b>	<b>FY 2013</b>	<b>FY 2013 (Oct. 1 – to May 2)</b>
<b>Medical Malpractice</b>	286.5	308.0	231.9	109.1
<b>Personal Injury</b>	270.7	204.4	119.7	76.4
<b>Property Damage</b>	144.0	99.7	79.8	61.5



# Super Collaborative Torts Pilot Performance Measures

## Number of FTEEs in Pilot

	July 2012	April 2013
Attorneys	28	*23
Paralegals	3	*3
	31	*26 (24)



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# Survey Results



# Super Collaborative Torts Pilot Supervisors' Survey Results

## **Positive:**

- \* Elimination of backlog of cases over 180 days
- \* Streamlined process

## **Negative:**

- \* No labor cases to SMEs does not allow flexibility to management team in assigning work
- \* Labor Attorneys feel the brunt of all Pilots
- \* Client dissatisfaction – “your attorneys are not working my cases anymore”
- \* SME dissatisfaction- we are sacrificing quality for number crunching and miss the variety of work

# Super Collaborative Torts Pilot Employee Survey Results

## **Positive:**

- Effectively reduced backlog
- Huge efficiencies obtained by RCs doing recons
- Streamlined the process
- SME conference calls very productive

## **Negative:**

- Scrutiny of productivity numbers makes me feel like a widget counter
- Work not being done with the same degree of quality
- Labor attorney have quite a load to bear
- Non pilot attorneys feel left behind

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# Discussion





# Super Collaborative Torts Pilot

## What were successes worth noting?

- \* Spirit of camaraderie among 10 Regions
- \* Reduction of pending cases and time to complete cases.
- \* Projecting 30% plus increase in closed tort cases.
- \* Quality has improved as SMEs are seeing other Regions' work product.
- \* Red, yellow, green tort tracking spreadsheet is a great visual tool and resource for all members of the collaborative to quickly check status of individual claims as well as the claims by region.
- \* Elimination of backlog

# Super Collaborative Torts Pilot

## What were surprises?

- \* SME concept worked better than expected.
- \* Paralegals often proved more adept at learning and perfecting pilot efficiencies than some attorneys.
- \* Number of claims that had to be re-distributed to other regions was far fewer than expected.
- \* Difference in the quality and the procedures used to complete tort claims amongst regions.
- \* Number of requests for reconsideration.

# Super Collaborative Torts Pilot

## What complaints were received?

- \* Monitoring of the hours per case metric
- \* Complaints that SMEs were not sufficiently involved in “big picture”; resolved in part by ARC-run SME meetings.
- \* Staff members not doing torts had to shoulder the burden in personnel cases and all other areas
  - \* Resulting in disgruntlement, fatigue, and burn-out
  - \* Especially problematic for out-stationed offices staffed with part time staff.
- \* SMEs did not like the emphasis on numbers vs. quality.
- \* Clients did not appreciate working with new people in unfamiliar locations – This resolved with time.

# Super Collaborative Torts Pilot

## What did not work well?

- \* Although time spent adjudicating reconsiderations decreased dramatically, quantity of reconsiderations without additional qualified staff for processing is overwhelming
  - \* Reassignment of cases caused an increased burden on management.
  - \* If the Pilot becomes permanent recommend assigning reconsideration to SMEs
- \* Initial communications regarding pilot roles with clientele.
- \* Precluding SMEs from handling personnel actions severely limited the options of the RC and ARC to assign and effectively handle personnel actions
- \* Assignment of other health care matters to non-SMEs resulted in adequate but lower-quality responses to our clients on those matters, as well as an increased workload on the non-SMEs.



# Super Collaborative Torts Pilot

## What changes were made after pilot began?

- \* FTEE allocations were reduced
- \* Requests for expert opinions sent out almost immediately leading to reductions in time.
- \* Our .5 SME handles few tort cases after our allotment was switched from 3.0 to 2.0.
- \* Personnel case assignments and other work had to be distributed and redistributed to a shrunken staff upheaval
- \* Coordinating and facilitating between clients and SMEs to increase their comfort level with National Team concept and practices.
- \* Personnel case assignments and other work had to be distributed and redistributed, often times to staff not physically located at the client where the action was pending

# QUESTIONS?



0 229

# OGC Leadership Summit 2013 Tort Pilot #1





# **Tort Pilot #1 Overview**

**Fully reflective of OGC as a National Law Firm**

- Totally Integrated Tort Review Process**
- Involves Subject Matter Experts (SMEs) in SG-I and Regions**



# Special Features of Tort Pilot #1

- **Matrix Management**—RCs/ARCs involved to manage employees while Pilot staff manage the product.
- **Highly Specialized for Knowledge Capture**—Torts specialists review & decide as well as investigate.
- **Interview of claimant expected in every case, except where valid reason for no interview existed.**
- **Economical**--Less SES/GS-15 involvement--resulting in organizational efficiencies and cost savings.

# Structure of Tort Pilot #1

- Settlement authority of \$225,000 delegated to 021(B)

## Pilot Leader (GS-15)

- Transfer of cases among constituent Regions to balance workload on an as-needed basis
- Reconsiderations handled within Pilot
  - review time is reduced
  - utilization of SG I SMEs throughout process ensures product quality and consistency
- Initial case triage by SG I Pilot SMEs
  - assign Complexity Rating Factor for cases
  - allows balancing of SME workload
  - early identification of appropriate medical specialties for MAOs

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# Performance Measures





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# Performance Measures Initial Claims





# Tort Pilot #1

## Performance Measures

**Claims Over \$2500 Adjudicated (IR Approved) Within 180 Days**

	FY 2011	FY 2012	FY 2013 (Oct. 1 – to May 2)	FY 2013 Pilot Only
<b>Medical Malpractice</b>	328/543 (60.41%)	334/472 (70.76%)	239/306 (78.10%)	62/63 (98.41%)
<b>Personal Injury</b>	71/94 (75.53%)	74/94 (78.72%)	59/63 (93.65%)	23/23 (100%)
<b>Property Damage</b>	53/72 (73.61%)	58/63 (92.06%)	26/26 (100%)	16/16 (100%)

# Tort Pilot #1

## Performance Measures

Average Hours to Close a Case Over \$2500

	FY 2011	FY 2012	FY 2013 (Oct. 1 – to May 2)	FY 2013 Pilot Only
<b>Total</b>	31.1	34.1	33.1	26.30
<b>Medical Malpractice</b>	36.1	39.4	37.3	33.27
<b>Personal Injury</b>	17.8	21.6	20.6	17.05
<b>Property Damage</b>	12.9	12.0	12.5	12.31



# Tort Pilot #1

## Performance Measures

Total Admin. Decision-Making Tasks Over \$2500 Closed

	FY 2011	FY 2012	FY 2013 (Oct. 1 – to May 2)	FY 2013 (projected for full FY 2013)
<b>Total</b>	722	711	420	721
<b>Medical Malpractice</b>	548	540	327	561
<b>Personal Injury</b>	93	97	67	115
<b>Property Damage</b>	97	74	26	45

# Tort Pilot #1

## Performance Measures

Medical Malpractice Cases Pending at Beginning of the Fiscal Year

	FY 2010 (Oct. 1)	FY 2011 (Oct. 1)	FY 2012 (Oct. 1)	FY 2013 (Oct. 1)	May 2, 2013
<b>Admin. DM</b>	435	410	340	195	269
<b>Lit. Asst.</b>	58	79	86	97	103



# Tort Pilot #1

## Performance Measures

### Personal Injury Cases Pending at Beginning of the Fiscal Year

	FY 2010 (Oct. 1)	FY 2011 (Oct. 1)	FY 2012 (Oct. 1)	FY 2013 (Oct. 1)	May 2, 2013
<b>Admin. DM</b>	79	51	52	20	45
<b>Lit. Asst.</b>	13	12	8	12	19

# Tort Pilot #1

## Performance Measures

### Property Damage Cases Pending at Beginning of the Fiscal Year

	FY 2010 (Oct. 1)	FY 2011 (Oct. 1)	FY 2012 (Oct. 1)	FY 2013 (Oct. 1)	May 2, 2013
Admin. DC	59	61	42	29	20
Lit. Asst.	0	0	0	1	0

# Tort Pilot #1

## Performance Measures

Reconsideration Requests Closed

Over \$2500

	FY 2010	FY 2011	FY 2012	FY 2013 National	FY 2013 Pilot I (Oct. 1 – to May 2)	AVG. Hrs to Close a Recon
<b>Total</b>	423	450	596	237	13	4.37
<b>Medical Malpractice</b>	381	415	535	206	9	5.03
<b>Non-Med Mal.</b>	42	35	61	31	4	2.90



# Tort Pilot #1

## Performance Measures

### Claims Over \$2500 - Average Days to IR Approval

	FY 2010	FY 2011	FY 2012	FY 2013	FY 2013 Pilot Only
<b>Medical Malpractice</b>	194.7	248.4	249.1	206.5	137.6
<b>Personal Injury</b>	176.3	173.5	177.5	132.1	89.6
<b>Property Damage</b>	132.6	143.5	100.6	95.8	86.6



# Tort Pilot #1

## Performance Measures

### Number of FTEEs in Pilot

RCs	.55
ARCs	1
Attorneys	22
Paralegals	5
Administrative Support	0
Total	28.55

OGC Leadership Summit 2013

# Discussion



## Tort Pilot #1 Successes

- Efficient and Veteran Centric (mandatory claimant interview; timeliness of decisions; settlement where appropriate; also, paperless processing improved efficiency, reduced data loss concerns, and saved money.
- Improved Quality, Accuracy and Uniformity of Product.
- Reduced reconsideration rates and reduced reversals upon reconsideration, along with rapid response to claimants.
- SG I SME involvement/review throughout.

# Successes (contd.)

## VERY LOW RATE OF CHALLENGES

**From July 1, 2012 to May 2, 2013:**

- **Only 17 requests for reconsideration (filed by 15 individuals) [Report 586]**
- **Reconsideration request rate of 4% (420 Pilot Closures)**
- **No reversals of initial denials [Report 589]**
- **Only 3 cases have entered litigation after denial [Report 589] Less than 1 percent!**



## Successes (contd.)

### **Efficiency of Resolution for Reconsiderations:**

- **Process- request directed back to 021B Pilot Leader, assigned to SGI SME who did not previously handle, decision again by 021B. (This is like other Government agencies.)**
- **Initial decision process streamlines reconsideration average hours spent on Reconsiderations – 4.37 hours for cases over \$2500. [Report 588]**
- **No SES involvement in reconsiderations - organizational efficiencies**

# Successes (Contd.)

## Monetary Efficiencies through Achievement of Appropriate Settlements

- **34 Settlements 10/1/12 – 5/2/13—6 Med Mal; 4 Non-Med-Mal Personal Injury; 24 NMM Property Damage [Report 137]**
- **Settlement rate of 8% of claims (420 closures) [Report 582]**

# Other Successes Achieved

- RCs/ARCs time commitment to torts reduced.
- Triage system assists managers in achieving equity in assignments.
- Seamless process for transfer of case to 021 when settlement in excess of Pilot/Agency authority is needed from 021/Department of Justice.
- Fully electronic record, memos, recorded statements, exhibits—Practically paperless!
- Successes confirm that ATTORNEY SPECIALIZATION WORKS!

# Tort Pilot #1 Successes

- \* Timely completion of Tort Claim Investigations
- \* Uniform and quality product produced
- \* Deeper legal analysis and evaluation of damages
- \* Specialization



# Tort Pilot #1 Surprises

- **Resistance to altering traditional regional assignment processes**
- **Very low reconsideration rate**
- **General agreement that attorney specialization works**
- **Assignment of Complexity Rating Factor assisted managers in addressing under-performing employees.**

## **Tort Pilot #1 –What didn't work well?**

- 75% SME model--difficult to maintain**
- National staffing issues--Unfilled vacancies in Regions required staffing model shifts**
- Inconsistent communication of SME production expectations**
- Varied SME/VAMC performance issues carried over from pre-Pilot**
- Technology failures (inability to review scanned documents and e-mail and GCLAWS failures)**

# **Tort Pilot #1 Summary**

- **Totally Integrated OGC Tort Review Process provides greater efficiencies, consistencies, cost savings and improves quality.**
- **Specialization is more efficient.**
- **Integrated model requiring SME involvement from SG-I and Regions succeeds!**

# QUESTIONS?







Department of Veterans Affairs  
**Office of General Counsel**

2013 Leadership Summit » PresentationsTuesday-ppt All Documents

Type	Name	Modified	Modified By
	General Counsels Presentation	5/17/2013 5:08 PM	
	Objective E1	5/17/2013 5:33 PM	
	Objective E2	5/13/2013 8:41 AM	
	Objective E3	5/13/2013 8:42 AM	
	Objective E4	5/13/2013 8:43 AM	
	Objective E5	5/17/2013 4:47 PM	
	Objective E6	5/17/2013 8:48 AM	
	Objective E7	5/15/2013 2:27 PM	
	Objective E8	5/16/2013 1:14 PM	
	Objective E9	5/13/2013 9:31 AM	

Add document

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0 256



# OGC Leadership Summit 2013

Sustaining Excellence in the  
Midst of Change

  
General Counsel



# Our Objectives This Week

- \* Adopt a Refreshed Strategic Enabling Goal
- \* Review Progress of Specialty Team Pilots
- \* Plan Other Pilot Programs and/or Other Business-Process Improvements
- \* Identify Strategic Imperatives

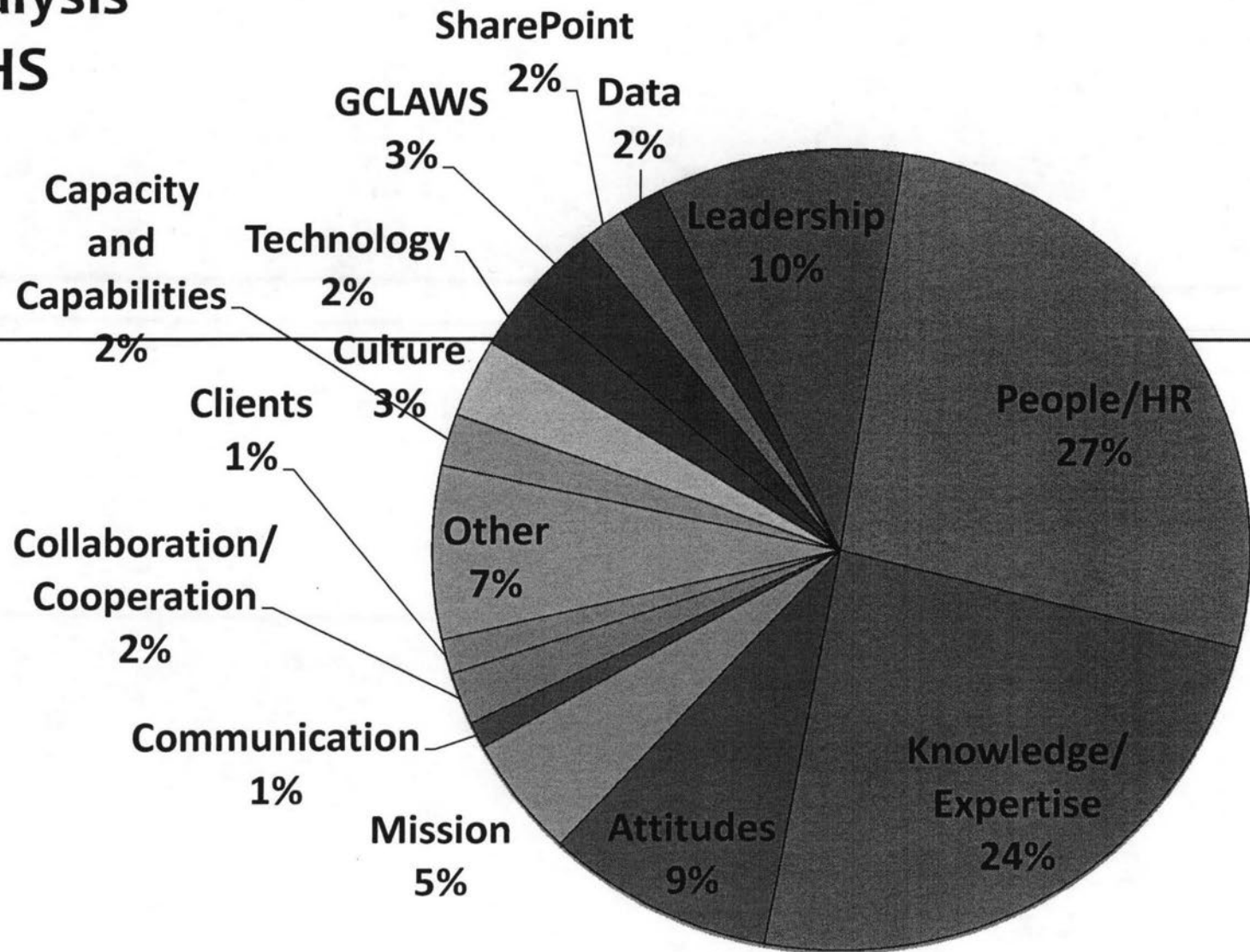
# What's SWOT Got To Do With It?

Strengths & Weaknesses  
Opportunities & Threats



# OGC Leadership Summit 2012

## SWOT Analysis STRENGTHS



# Our Greatest Strength: The People

*Knowledgeable, Committed  
Passionate, Innovative, Energized*



# Environment of Stability & Longevity

Deputy GCs

GCs

Yankees

Managers

Cubs

Managers

## Since 1977

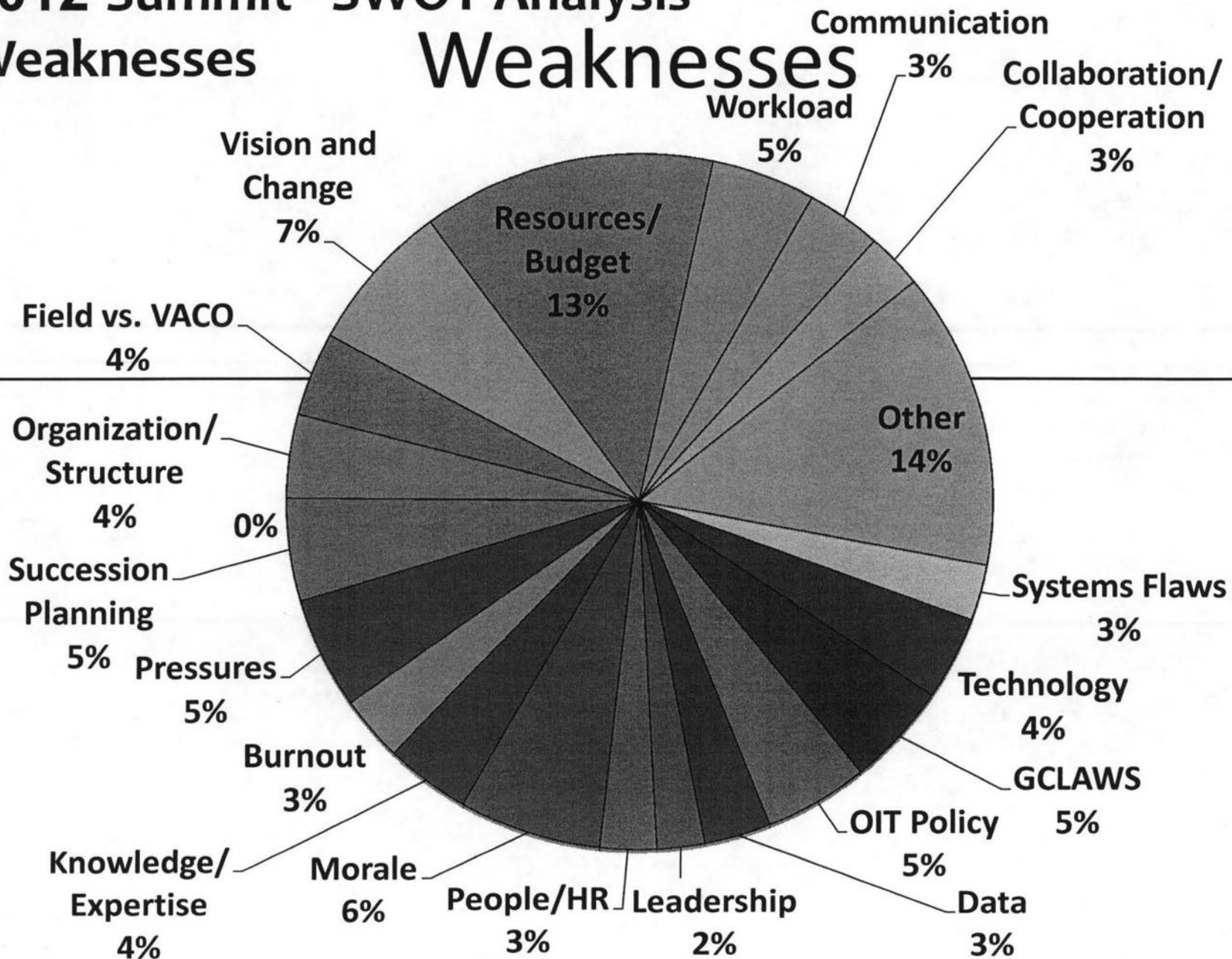
- \* 10 GCs (Avg. 42 months)

- \* Only 2 Dep. GCs (Avg. 18 years)

# 2012 Summit - SWOT Analysis

## Weaknesses

## Weaknesses

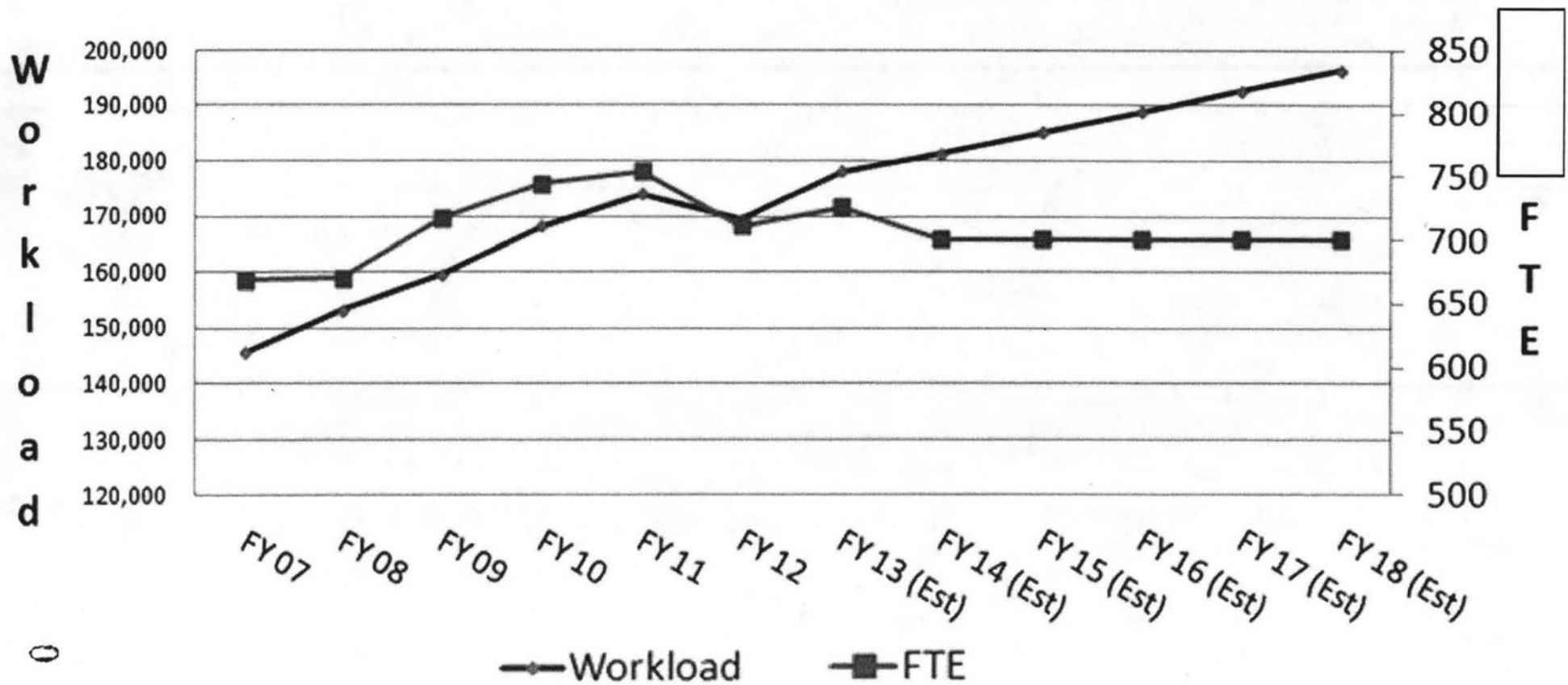




# Greatest Weakness?

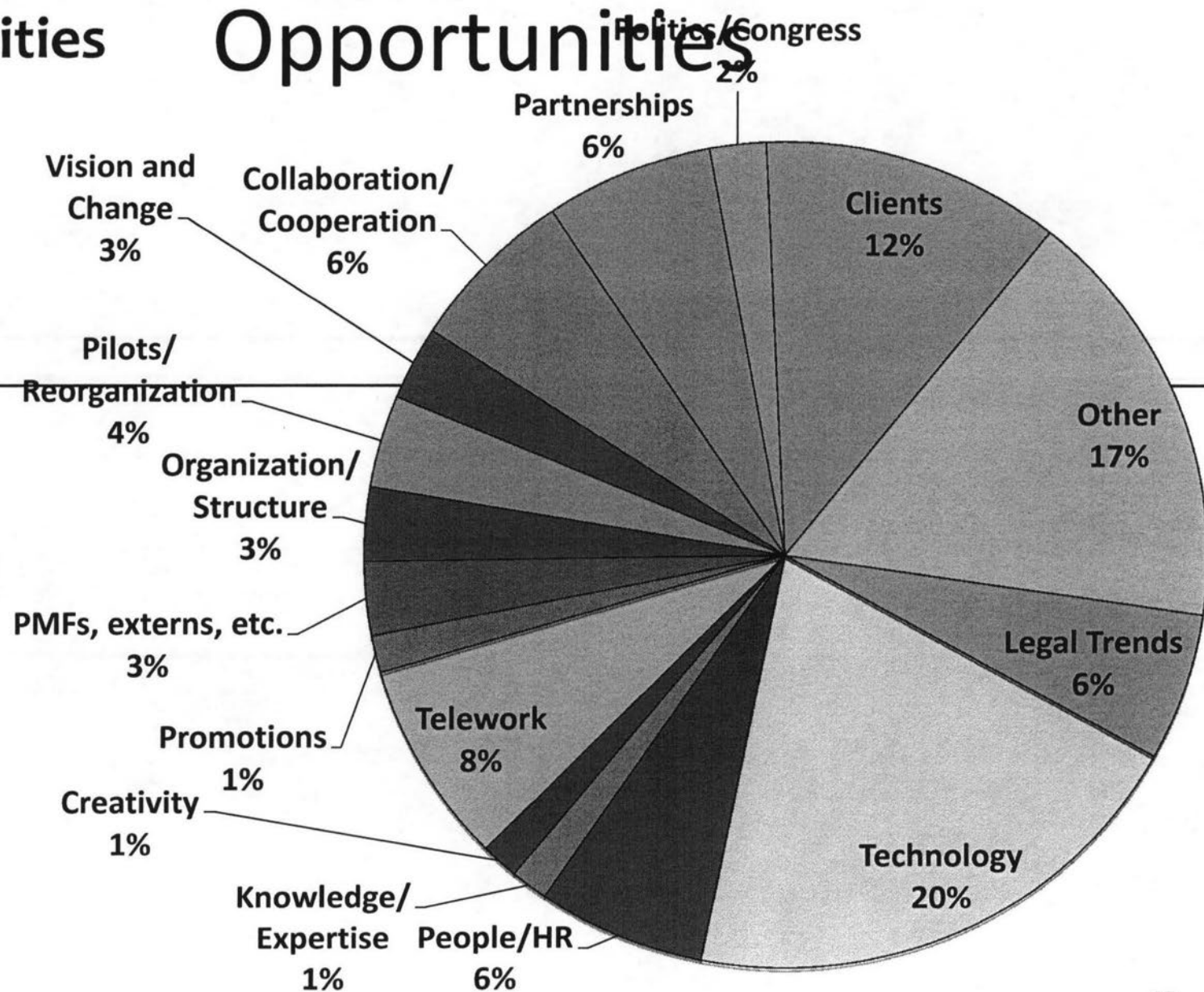
## Workload Outpacing Resources

OGC Workload vs. FTE: FY 2007 to FY 2018 (estimated)



# 2012 Summit- SWOT Analysis

## Opportunities Opportunities

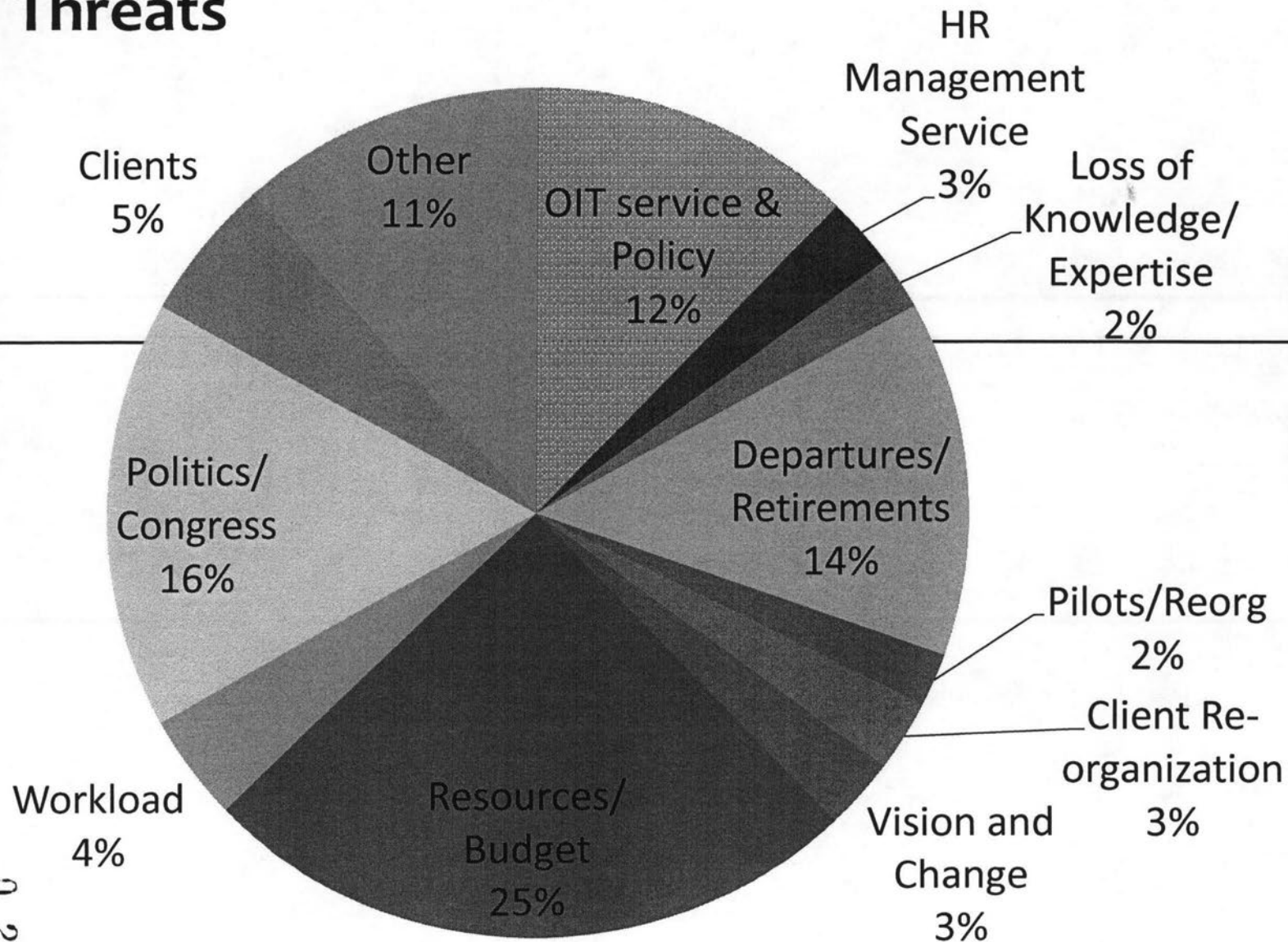


# Opportunities

- \* Technology:
- \* Virtual Teams
- \* Training Clients
- \* Training OGC Staff

# 2012 Summit - SWOT Analysis

## Threats





# Greatest Threats

Resources/Political Climate

Departures

*Rules of Engagement*

Leadership Summit

# Leadership Summit ROE

- \* Respect Everyone & Everyone's Views
- \* Welcome Differing Opinions
- \* Challenge Assumptions
- \* Beware the "Musts," the "Always," and the "Onlys"\*



*\*As in:*

*“We must do it this way,” or*

*“We’ve always done it this way  
before,” or*

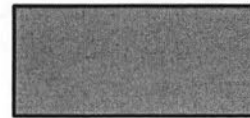
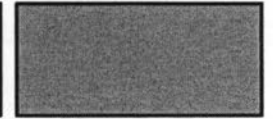
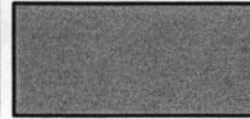
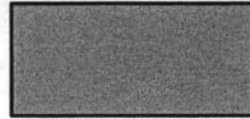
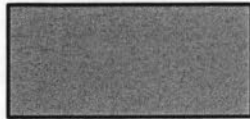
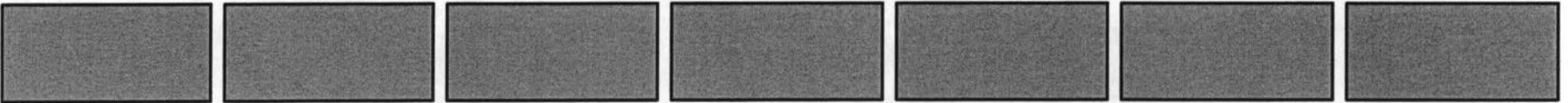
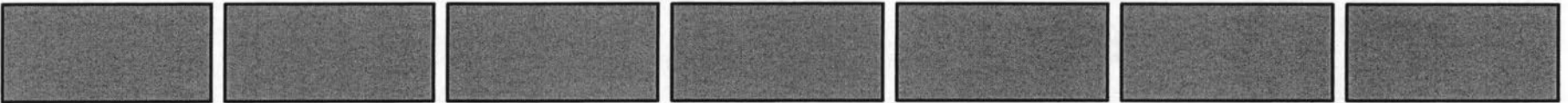
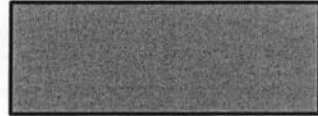
*“The only problem with what you  
are saying is ...”*



# Future of OGC: As I see it



# The Org Chart



Maintain Ability to “Reach out & Touch Clients”





# With the Team Behind You





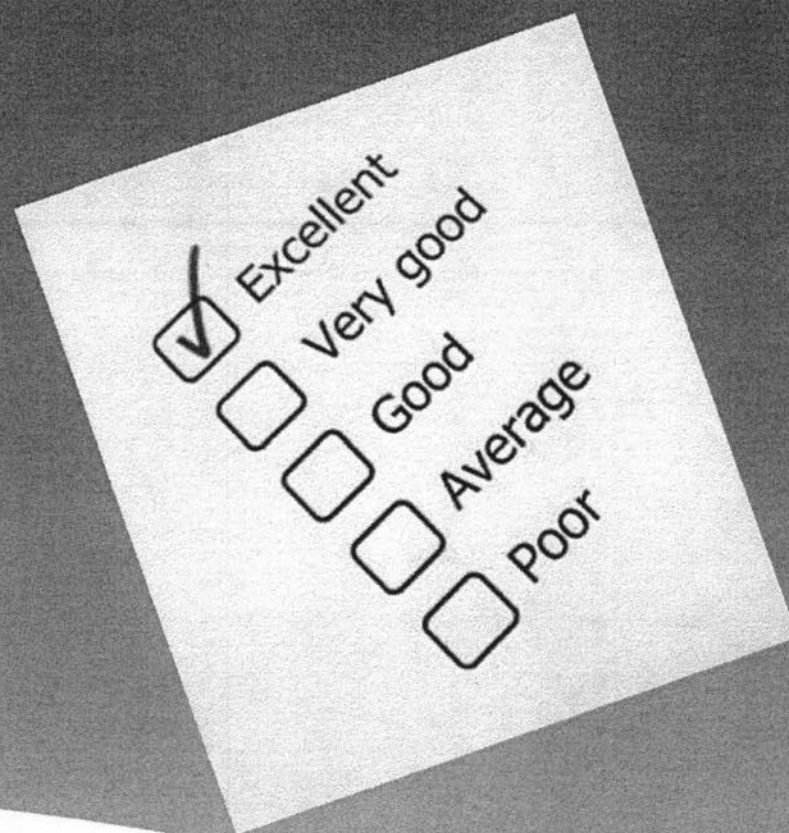
# Attract, Develop & Retain Leaders



# Attract, Develop & Retain Talented Staff



# Maintain Extraordinary Client Service



A tilted white card with a checklist of service quality levels. The card is placed on a dark grey background. The checklist consists of five items, each with a square checkbox to its left. The first item, 'Excellent', has its checkbox checked with a black checkmark. The other four items, 'Very good', 'Good', 'Average', and 'Poor', have empty checkboxes.

<input checked="" type="checkbox"/>	Excellent
<input type="checkbox"/>	Very good
<input type="checkbox"/>	Good
<input type="checkbox"/>	Average
<input type="checkbox"/>	Poor



# Respect Everyone





# Value Diversity



# Encourage Excellence



# Celebrate Excellence





# Communicate, Cooperate, Collaborate

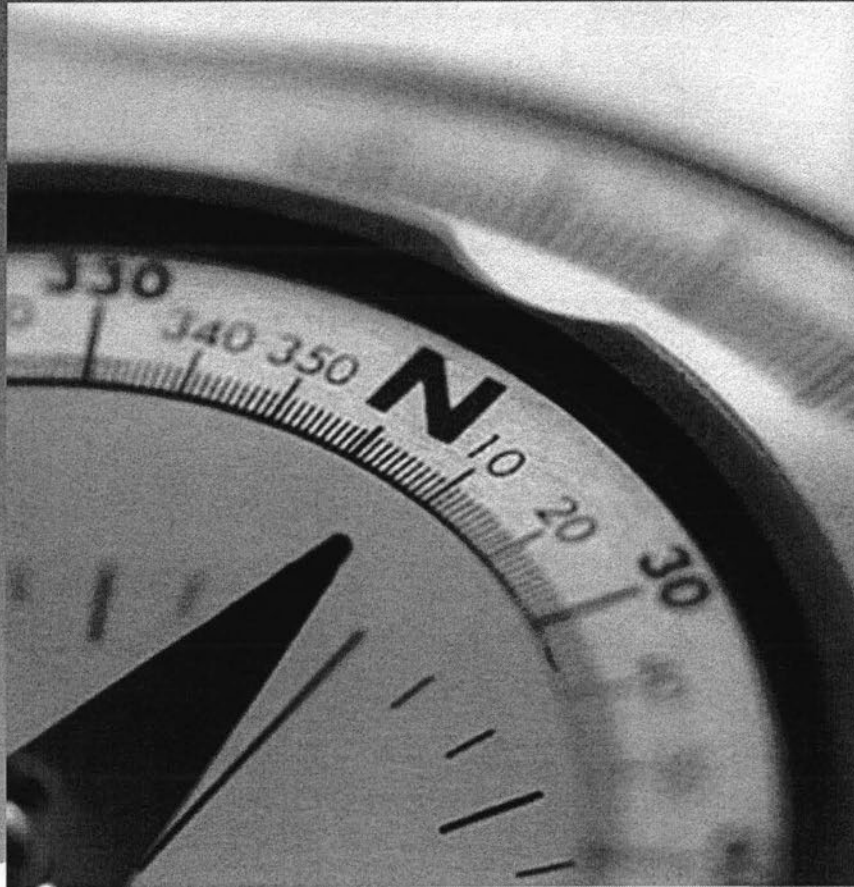




# Always Do the Right Thing



Use the I-CARE Values As A Guide



**Integrity**  
**Commitment**  
**Advocacy**  
**Respect**  
**Excellence**

# Be a Unified National Law Firm





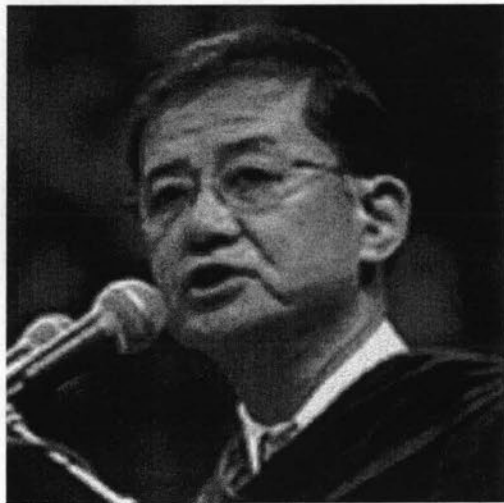
## **We Will:**

- \* Adopt a Refreshed Strategic Enabling Goal
- \* Review Progress of Specialty Team Pilots
- \* Plan Other Pilot Programs and/or Other Business-Process Improvements
- \* Identify Strategic Imperatives



# Secretary Shinseki

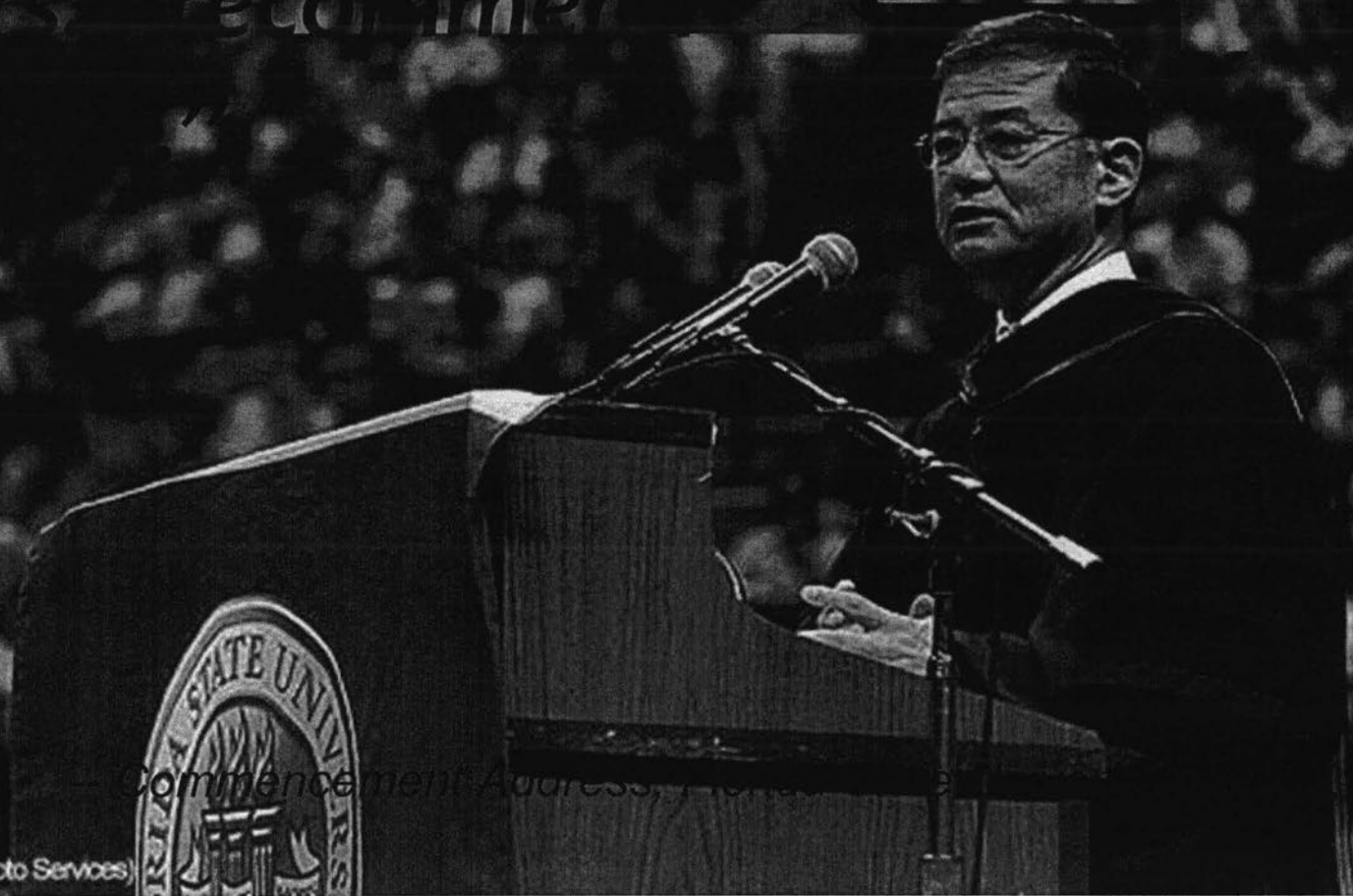
*“Decide how to better achieve your mission, serve your organization, and care for its Clients.”*



*“I'm not suggesting change for the sake of change But all good organizations must be able to adjust to changing environments.”*

-- Commencement Address, Florida State University, May 5, 2013

"Education is the great equalizer,  
even in nature. Change is a fact.  
You can either lead change or follow  
others' recommendations  
you can't."



Commencement Address, 1985

(Photo by Bill Law/FSU Photo Services)

# OGC Leadership Summit 2013

Enabling Goal Objective E1





# 2013 Enabling Goal

As VA's unified national law firm, OGC will provide seamless, integrated services to support ~~client organizations'~~ the Department's goals and missions ~~desired outcomes~~ through –

- ~~flexible, scalable~~ policies, practices, and infrastructure;
- effective communication and collaboration with clients and colleagues;
- sound, transparent internal governance;
- inspired and inspiring leadership of a diverse, competent and engaged workforce; and
- consistent and innovative use of technology.



## **Enabling Goal Objective E#1 – Challenge Statement**

Our challenge is to position ourselves to be able to allocate resources to workload, and to make adjustments as resource availability and workload demands require.

## **Enabling Goal Objective E#1 – Desired “To Be” State**

OGC will become more streamlined and efficient, and will achieve consistency in providing high-quality legal services throughout the national law firm.

## Enabling Goal Objective E#1 – OGC's Current State

The historic geographic boundaries of the Regions, the PSG subject-matter structure, and funding limitations that are expected to continue despite increasing workload demands, limit our capability and require us to achieve greater flexibility.

## Enabling Goal Objective E#1 –

Ensure that our policies, practices, and infrastructure are sufficiently flexible to permit us to provide timely, responsive, and high-quality legal service despite fluctuating resources and workload.



# Enabling Goal Objective E#1 – Strategies

**Legal Service Team Pilots** - to test and evaluate alternative staffing models and business processes

*Performance measures* – improved operating efficiency

See schedules for wrapping up pilots, recommendations to PGT and GC, and installation of new (or return to prior) structures.

# Enabling Goal Objective E#1 – Strategies

**National GCLAWS Data Warehouse** – to create one, inclusive database designed to facilitate cross-organizational access to case files and other data

*Performance Measures (depending on resource availability)*

- \* FY 2013: Concept of new national GCLAWS data warehouse approved
- \* FY 2014: Development and testing of new data warehouse
- \* FY 2015: Implementation of new national data warehouse across the law firm

# Enabling Goal Objective E#1 – Strategies

- \* **Client Training** - to identify, and offer training on, activities that should be performed by clients
- \* *Performance measures* - Identify five time-consuming activities to transition to clients, and provide content for TMS-based client training modules. Develop a client communications and training plan.
  - \* FY 2013: Identify 5 activities
  - \* FY2014: Complete 2 training modules
  - \* FY 2015: All 5 modules complete

# Enabling Goal Objective E#1 – Strategies

**Service Delivery Model** - to prioritize legal services, including litigation assistance, and to determine which services should continue if demand outpaces resources

*Performance measures* - Convene OGC workgroup to identify, prioritize, and make recommendations on legal services



# Enabling Goal Objective E#1 – Strategies

## Service Delivery Model (cont.)

- \* 10/1/ 13 – Identify/Convene workgroup
- \* 4/1/14 - Initial report to the MAC
- \* 6/1/14 - Interim report to all OGC Managers
- \* 7/1/14 - Final report to the MAC
- \* 8/1/14 - Final Workgroup report to senior leadership
- \* 10/1/14 - *Client communication*

# Enabling Goal Objective E#1 – Strategies

**Reduce Litigation:** to develop strategies for reducing litigation (and the litigation assistance/representation time and effort it entails) by

1. *Closing more tort claims permanently at the administrative level (e.g., through settlement of cases with litigative risk; review by 021 prior to denial as “not amenable to administrative resolution.”)*

*Performance Measure:* Achieve a 5-percent reduction from the 3-year average hours spent on litigation assistance in tort cases.

# Enabling Goal Objective E#1 – Strategies

## Reduce litigation (cont.)

2. *Assess whether and how litigation can be reduced before the GAO and the Civilian Board of Contract Appeals.*

*Performance measure – Convene a workgroup to conduct the assessment*

- \* 7/1/13 – Identify members of the workgroup*
- \* 8/1/13 – Convene workgroup*
- \* 11/1/13 - Initial workgroup report due to the MAC.*
- \* 2/1/14- Interim workgroup report vetted to all OGC Managers*
- \* 3/1/14- Draft “Final” workgroup report due to the MAC*
- \* 4/1/14 - Final Workgroup report forwarded to OGC senior leadership*

# Enabling Goal Objective E#1 – Strategies

## Reduce unnecessary litigation (cont.)

3. *Closing EEO cases at the administrative level expeditiously*

*Performance Measure – 95% of EEO cases are evaluated for an MSJ by both a staff person and a supervisor.*



# QUESTIONS?



# OGC Leadership Summit 2013

Enabling Goal Objective E.2



# Enabling Goal Objective E.2

## Challenge Statement

Improve communication and collaboration with clients to ensure:

- OGC understands clients' goals and objectives
- Clients understand how, when and where to access legal service



## **Enabling Goal Objective E.2**

### **Desired “To Be” State**

OGC will be embraced by and interact with clients as a valued member of the operational team for matters with immediate or future legal implications.

OGC will be a 21<sup>st</sup> Century High-Performing Diverse Law Firm that provides timely and efficient legal services to clients for all priority cases and issues.



# Enabling Goal Objective E.2

## OGC's Current State

**This Objective is designed to mitigate or improve:**

- Personal interactions between OGC and Client for collaboration
- OGC understanding of priority legal services desired by clients
- Client uncertainties regarding available legal services and OGC points of contact
- Client uncertainties of OGC office that provides legal services

# Enabling Goal Objective E.2

## OGC's Current State

**This Objective is designed to mitigate or improve (cont'd):**

- Client understanding of how and when to request legal services
- OGC/Client understanding of client authorization for legal service request
- Alignment of OGC workload forecasting analyses with client forecasting data

# Enabling Goal Objective E.2

## Strategies

### **OGC/Client Engagement**

- seek additional opportunities to engage personally and regularly with the client
- proactively provide clients with information regarding available resources
- develop an understanding with clients regarding when and in what manner to request legal service

**OGC Program Liaisons** – provide client with principal point of contact for legal issues associated with priority programs

# Enabling Goal Objective E.2

## Strategies continued

### **OGC Client Website and Newsletter**

- solicit client input and provide information regarding available legal services and recent developments
- develop section on recurring issues and include hyperlink when appropriate

**Service Level Agreements** – to customize legal service delivery for centralized/consolidated client entities, e.g. CPACs and SAOs, that do not align neatly with OGC's Regions



# Enabling Goal Objective E.2

## Strategies continued

**Client Satisfaction Survey** – to ensure ongoing legal services facilitate client goals and outcomes

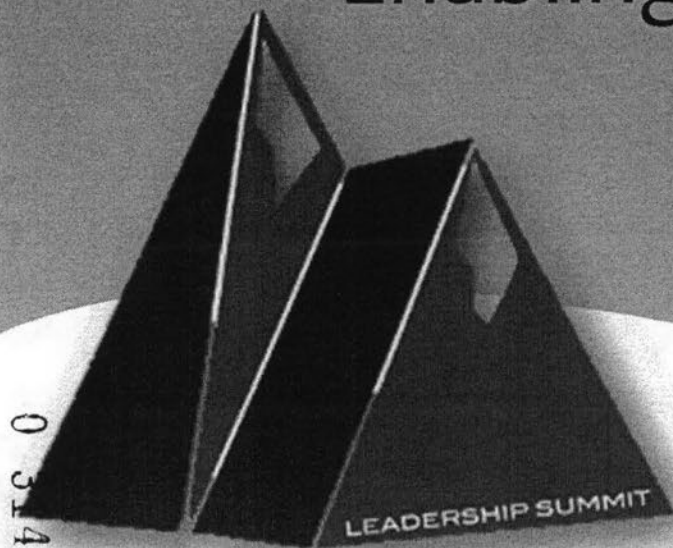
**Client Forecasting Data** – to align OGC's workload forecasting analyses with client organizations' forecasts of data that might have downstream impact on OGC workload

# QUESTIONS?



# OGC Leadership Summit 2013

Enabling Goal Objective E#3





## Enabling Goal Objective E# 3

### Updated Objective

- \* Improve communication, collaboration, *and knowledge management* within OGC to facilitate the delivery of seamless, integrated legal support and optimize productivity.



# Enabling Goal Objective E# 3

## Challenge Statement

\*Promote better service to our clients by increasing our responsiveness to each other and improving the quality, value, and ability to find existing information within the organization.

# Enabling Goal Objective E# 3

## Desired “To Be” State

- \* When met, this objective will create a workplace where:
- \* Lead counsel for a project or legal question involving two or more offices is clearly identified and progress is able to be monitored, resulting in assurance that our clients’ needs are being addressed and greater client satisfaction.
- \* Knowledge is shared among the Regions and Staff Groups through small group interactions, in-person training, video conference or other technology, fostering cross-organizational interaction and understanding, enhancing the ability to work collaboratively, and overcoming geographical separation.
- \* Information created by one part of the organization is available to the entire law firm via searchable media after ensuring its accuracy, eliminating repetitive work on recurring issues.

# Enabling Goal Objective E# – OGC's Current State

- \*Staff Groups are perceived as not responsive to inquiries from the Regions or from other Staff Groups
- \*Fundamental lack of understanding about what is done in the Regions versus the Staff Groups
- \*Already a geographically dispersed organization, we are becoming even more so with the wide acceptance of telework. There is an eroding sense of community.
- \* Technology & Budget Limitations

# Enabling Goal Objective E# – Strategies

\*Greater collaboration with IT. We need a technology reality check – what are the capabilities of our current platforms – can they get us where we need to go? If not, do we actually have any alternatives? If not, we need to deal with this reality and find ways to work around it.

\*Improving engagement and understanding between offices ie. small group sessions.

\*Reinvigorate (re-invent with existing OGC technology) cross-training, new attorney orientation, and leadership development programs.



# Enabling Goal Objective E# – Strategies continued

- \*Spread/encourage the use of existing OGC technology that promotes collaboration and builds relationships – ie. live meeting, Movi cameras, VTEL, SharePoint.
- \*Endorse and promote adherence to 2007 Lead Agent Memo as a starting point for coordinating work among us.
- \*Prioritize the use of SharePoint as a knowledge management tool – develop an approach that ensures the information is vetted (for quality and accuracy) and incorporates feedback from users (value/ranking system).

# QUESTIONS?



# OGC Leadership Summit 2013

Enabling Goal Objective E4





# Enabling Goal Objective E4 – Challenge Statement

Objective E4 will address the transparency and data used in resource allocation. It will ensure OGC uses a transparent, objective, and data-driven decision making process to allocate resources.



## Enabling Goal Objective E4 – Desired “To Be” State

The “To Be” state is: An organization that allocates resources predictably, transparently, and objectively based on the needs of the agency; all in the law firm will understand who makes resource decisions and how.

**Objective E.4** – Mandate transparent, data-driven models to allocate resources fairly and effectively.

# Enabling Goal Objective E4 – OGC's Current State

- ✓ Weakness: Perception that resources are not allocated effectively, transparently, and equitably across the law firm
- ✓ Challenge: Allocate limited resources among RCs and PSGs
- ✓ Risks: Data will be vital; failing to document work in GCLAWS will affect the quality of the decision
- ✓ Opportunities: Objective data-driven model will:
  - ✓ Allocate resources seamlessly, transparently, and effectively
  - ✓ Allow all to see and understand resource allocation
  - ✓ Show the impact of resource constraints on the delivery of legal services to VA clients
  - ✓ Contribute to healthy organizational climate

# Enabling Goal Objective E4 – Strategies

- SharePoint-based Resource Allocation Dashboards - to facilitate resource requests from all PSGs and the Regions, clarify decision-making processes, and improve visibility of available resources
- Expanded use of workload forecast data - to support resource allocation decisions and predict future resource needs
- Forecast data should include all available data from VA's long range strategic planning offices

## Enabling Goal Objective E4 – Strategies continued

- One transparent resource allocation process that distributes resources
- Establish and communicate to clients OGC-wide criteria to evaluate and prioritize scalable services so that when resources are insufficient, local managers will know what services to reduce or eliminate



# QUESTIONS?



# OGC Leadership Summit 2013

Enabling Goal Objective E.5



## Enabling Goal Objective E.5 – Challenge Statement

Objective E.5: Expand opportunities for telework and other flexibilities, inter-office collaborations, and input into work processes and governance in order to enhance employee engagement for all members of a diverse workforce, ensure continuity of operations, save costs, and increase employee retention and morale.



## Enabling Goal Objective E.5 – Desired “To Be” State

- \* The “To Be” state is one with expanded teleworking opportunities and enhanced flexitime and flexitour options designed to improve employee job satisfaction, work/life balance, and employee retention.
- \* The “To Be” state would also include improved organization and search capabilities for OGC’s SharePoint site, as well as a request process for expanded Westlaw access for case-by-case situations.



## Enabling Goal Objective E.5 – OGC's Current State

- \* Survey results indicate that a significant majority (71 %) of OGC leadership favors options for supervisory telecommuting. Telework has been proven to be an invaluable tool for maintaining continuity of operations when normal office operations are affected.
- \*The MAC has recommended that the OGC Handbook be revised to allow DAGC and ARC telecommuting, subject to the approval of the AGC/RC. The MAC listed specific factors that should be considered when determining whether telecommuting should be approved.
- \*Three basic tours of duty built around an extended “core” time of 9:00 a.m. to 3:30 p.m.

## Enabling Goal Objective E.5 – OGC's Current State *(cont.)*

- \* Survey results indicate dissatisfaction with SharePoint's organization and search capability which lacks a "Google-like" search engine.

- \* Limited Westlaw library that utilizes a one-size-fits-all approach.

# Enabling Goal Objective E.5 – Strategies

- \* Expand teleworking options as a means for continuity of operations in the event of unexpected circumstances affecting office operations.
- \* Classify first-line supervisors' positions as eligible for telework.
- \* Identify and provide suitable IT resources to support telework.
- \* Expand availability of virtual resources.
- \* Make OGC-oriented training available for supervisors regarding teleworking employees.

## Enabling Goal Objective E.5 – Strategies (cont.)

- \* Alter established core hours to allow for more flexibility with starting and ending times.
- \* Offer employees an option for a ten-hour workday (“4-4-10”).



## Enabling Goal Objective E.5 – Strategies (cont.)

- \* Reorganize SharePoint to make it easier to use.
- \* Add a “Google-like” search capability.
- \* Add a user-counter to SharePoint to track usage.
- \* Increase SharePoint usage by 5% for both FY 13 and FY 14.
- \* Create SharePoint-based request for expanded Westlaw access for specific attorneys/paralegals on a case-by-case basis.

# QUESTIONS?



# OGC Leadership Summit 2013

Enabling Goal Objective E.6





## **Enabling Goal Objective E.6 – Challenge Statement**

Prioritize professional development, training, mentoring, and knowledge sharing throughout OGC to improve employee competence and organizational performance at all levels



## Enabling Goal Objective E.6 – Desired “To Be” State

OGC will have:

- ✓ An on-the-job training library on SharePoint that provides comprehensive resources addressing functional competencies and selected substantive law areas
- ✓ Effective and targeted training and development activities available for all OGC components
- ✓ A Knowledge Management Plan that ensures that Knowledge Management activities support the specific needs of all OGC components
- ✓ OGC will have an active national mentoring program and a widespread informal local mentoring system with local supervisory support

## Enabling Goal Objective E.6 – OGC's Current State

- Lack of centralized, updated resource for OGC managers, mentors, and staff to assist in job effectiveness
- Lack of a training plan to align OGC's training initiatives with required employee competencies and performance goals
- Lack of a delineated plan to ensure OGC's knowledge management activities address the specific needs of all OGC components
- Insufficient mentoring opportunities for employees interested in pursuing professional development

# Enabling Goal Objective E.6 – Strategies

- \* On-the-Job Training (OJT) Library - to develop and maintain a comprehensive online library of resources for OGC's managers, mentors, and front-line staff
- \* Comprehensive Training Plan – to provide a strategic framework to align OGC's national training and development initiatives with required employee competencies and organizational performance goals

## Enabling Goal Objective E.6 – Strategies continued

- \* Knowledge Management Plan – to provide a strategic framework to align OGC's knowledge management activities with required employee competencies and organizational performance goals
- \* Global Mentoring Initiative – to develop and maintain transparent and tangible Local, Regional, and National commitment from OGC leaders to their employee's professional development



# OJT LIBRARY

## PERFORMANCE MEASURES

- \* Expand OJT resources available on SharePoint and evaluate the effectiveness of those resources
  - FY13: Comprehensive library of resources for 50% of OGC functional competencies and certain selected substantive law areas not included within the core competencies, measure the effectiveness of the library through SharePoint use data and user evaluations
  - FY14: Comprehensive library of resources for 70% of OGC functional competencies and certain selected substantive law areas not included within the core competencies, measure the effectiveness of the library through SharePoint use data and user evaluations
  - FY15: Comprehensive library of resources for 90% of OGC functional competencies and certain selected substantive law areas not included within the core competencies, measure the effectiveness of the library through SharePoint use data and user evaluations

# COMPREHENSIVE TRAINING PLAN

## PERFORMANCE MEASURES

- \* Ensure that training and development activities support OGC's organizational performance goals by:
  - Targeting the training needs of all OGC components
  - Developing and implementing training and professional development activities to meet the needs of those components, and
  - Evaluating the impact of the training upon OGC's ability to reach targeted performance goals
- FY13: Training/development activities target specific needs of 80% of OGC components
- FY14: Training/development activities target specific needs of 100% of OGC components

# KNOWLEDGE MANAGEMENT PLAN

## PERFORMANCE MEASURES

- \* Ensure that KM activities provide comprehensive support for the specific needs of all OGC components
  - FY13: KM activities target specific needs of 80% of OGC components
  - FY14: KM activities target specific needs of 100% of OGC components

# GLOBAL MENTORING INITIATIVE

## PERFORMANCE MEASURES

- \* Develop a multi-tiered approach to OGC's employee professional development that begins with informal local mentoring and local supervisory support for professional development activities and encourages employees to engage in local, regional and national development opportunities
  - FY13: 60% of OGC employees involved in an informal local or national mentoring program, 70% of supervisors serve as mentors, either locally or nationally
  - FY14: 70% of OGC employees involved in an informal local or national mentoring program, 75% of supervisors serve as mentors, either locally or nationally
  - FY15: 80% of OGC employees involved in an informal local or national mentoring program, 80% of supervisors serve as mentors, either locally or nationally



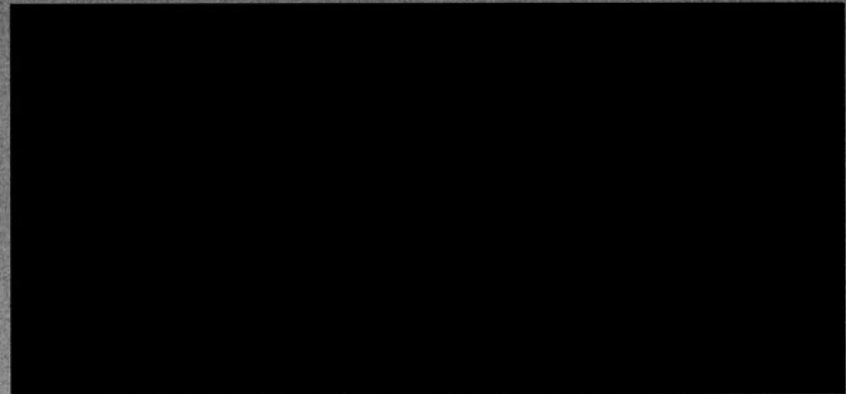
# QUESTIONS?



# OGC Leadership Summit 2013

## Enabling Goal Objective E#7

Team:



## Enabling Goal Objective E# 7 Statement

Design, execute, and measure a comprehensive and detailed staffing plan that will tell us how many people we need, in each job series, to fulfill our law firm's present and future (projected) demand for legal services within our defined quality and service time targets.



# Enabling Goal Objective E# 7

## Desired “Future” State



OGC will have clearly defined:

- The knowledge and skill sets necessary to succeed
- Grade, salary and benefits of each employee
- Career trajectories
- Work unit distribution based on fluctuating demand, mission, and service time targets
- Methodology for replacing staff
- What is a unified national law firm



# Enabling Goal Objective E# 7

## OGC's Current State

### Weaknesses:

- No current comprehensive workforce or staffing plan
- Hiring is reactive to external forces, e.g. client needs
- Current and future organizational structure is in a state of flux
- No clearly defined levels of legal services (i.e. no gap analysis)
- OGC does not operate as unified national law firm

# Enabling Goal Objective E# 7

## OGC's Current State

### Challenges:

- Design and execution is dependent on the desired time frame (e.g. 1-year vs. a 5-year deliverable)
- Budget uncertainty
- Meeting current needs of clients
- Predicting future needs of clients
- Current demands meet or exceed capacity and future projections show increased demand

# Enabling Goal Objective E# 7

## Strategies

1. Clarity of the organization's strategic direction and a clear understanding of the legal services to be provided (*E1 flows into E7*)
2. Align workforce requirements directly with the overall organization's strategic plans/direction
3. Understand the characteristics, capabilities, and distribution of the current workforce.

# Enabling Goal Objective E# 7

## Strategies continued

4. Promulgate guidance for the utilization of support staff
  - Eliminate aberrant type/individual positions/PDs
  - Define existing positions, e.g. program vs. representational paralegals
  - clarify promotion track
5. Identify optimal ratios (attorney/support, supervisor/staff, SES/staff) and recommend strategies for achieving and sustaining them



## Enabling Goal Objective E# 7

### Strategies continued

6. Identify external barriers to accomplishing workforce goals (e.g. budget)
7. Utilize Planning, Programming, Budgeting & Evaluation (PPBE) process to forecast future workload and staffing needs
8. Collaborate with clients to ensure workforce is adaptive to client needs present and future (*E2 flows into E7*)

## Enabling Goal Objective E# 7

### Strategies continued

9. Fully measure the potential efficiencies and consider impact of adopting pilots
10. Ensure workforce plan is aligned with performance standards

# Enabling Goal Objective E# 7

## Strategies continued

### Succession Planning

- Additional development will be required
- Use *recursive* process of workforce planning
- A comprehensive and detailed workforce plan would include tools that will identify - and plan for the development of - people needed to fill key positions in our law firm.

# QUESTIONS?

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# OGC Leadership Summit 2013

Enabling Goal Objective E.8



## Enabling Goal Objective E.8

### Challenge Statement

How do we provide OGC's workforce with the best tools available so they can effectively and efficiently meet the evolving legal needs of the Department?

Objective E.8: Ensure that OGC has the technology tools and skills to effectively meet our clients' evolving legal needs.

## Enabling Goal Objective E.8

### Desired “To Be” State (1 of 3)

- \* Every OGC employee should have the appropriate technology tools for performing his or her role in meeting our clients’ legal needs.
- \* Appropriate tools are those that serve a legitimate purpose in providing timely, accurate, high quality legal services.
- \* OGC’s case management software, GCLAWS, will be easy to use for tracking time and storing case files and will serve as a law-office-wide, nationwide, knowledge management tool.

## Enabling Goal Objective E.8

### Desired “To Be” State (2 of 3)

- \* OGC will have a comprehensive e-discovery strategy, including technology, training, and inter-organizational collaboration, to ensure that every OGC office can comply with e-discovery.
- \* Because all employees will have access to GCLAWS throughout our law firm, we will develop greater consistency in our use of it and in the legal services that we provide.



## Enabling Goal Objective E.8

### Desired “To Be” State (3 of 3)

- \* Employees will receive training to allow them to maximize their efficiency in using these technology tools.
- \* OGC’s technology tools will be compatible with the needs and technical abilities of our clients and external stakeholders.

# Enabling Goal Objective E.8

## OGC's Current State

- \* OGC Employees often do not have access to the best technology hardware and software to perform their duties.
- \* When technology tools are provided, training is not offered to instruct employees in how to use those tools.
- \* OI&T fails to recognize OGC's unique needs as a national law office.
- \* We have identified many problems with GCLAWS that could be corrected if OI&T gave OGC the developers we need to address these problems.

# Enabling Goal Objective E.8

## Strategies

### 1. Identify OGC's unique technology needs as a national law firm

- \* Define and implement improvements to GCLAWS for optimal time and case management.
- \* Consider industry standards for hardware and software for law offices.
- \* Look to other Federal counsel for best practices in use of technology.
- \* Obtain technology tools that are compatible with those of other VA offices and non-VA offices with which we regularly work (e.g., Dept. of Justice).
- \* Survey OGC employees to learn which technology tools are needed for providing timely and effective legal services, asking them to evaluate specific software and also giving the opportunity to identify additional software.

## Enabling Goal Objective E.8

### Strategies continued

2. Acquire dedicated tech support for OGC software development and maintenance.
3. Acquire and maintain technology systems that enable inter-organizational and intra-organizational collaboration.
4. Ensure that OGC maintains video conferencing systems needed for litigation representation.
5. Acquire access to other VA databases when necessary to support OGC services (e.g., VBA claim status, Electronic medical records including images) and ensure that training is offered to those given access.



## Enabling Goal Objective E.8

### Strategies continued

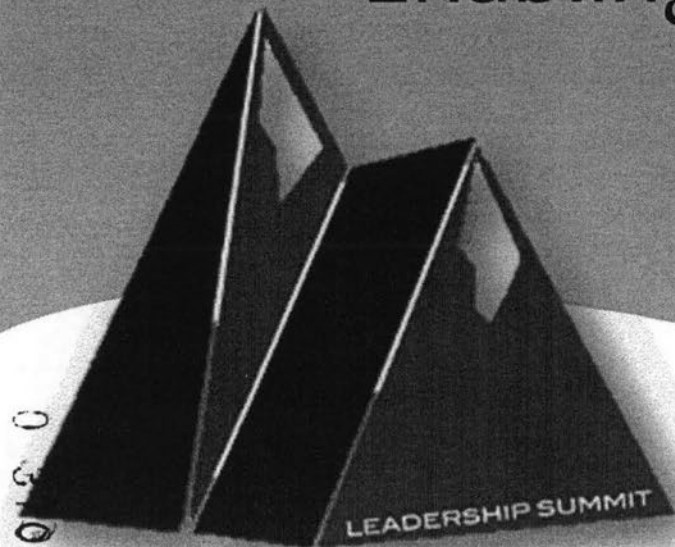
5. Develop comprehensive e-discovery strategy, including technology, training, and inter-organizational collaboration, to ensure that every OGC office can comply with e-discovery.
6. Acquire only those technology tools that are necessary to effectively meet our clients' evolving legal needs.
7. Evaluate the competency of OGC employees on using available technology and provide training as needed to ensure effective use.

# QUESTIONS?



# OGC Leadership Summit 2013

Enabling Goal Objective E9





# Enabling Goal Objective E9 – Problem Statement

**What is an organization's culture?** Our collective vision of the organization, our structure and processes, the terms we use to describe one another and the ways we interact

**The problem?** OGC's current organizational culture fosters distrust and disrespect among people and groups and impedes fulfillment of the "unified national law firm" vision

**What do we propose?** Several strategies to improve trust and respect among attorneys and non-attorneys, supervisors and subordinates, and the Staff Groups and Regional Counsel offices, enabling us to operate as a truly unified national law firm.



## Enabling Goal Objective E9- Objective Statement

- \* Fully realize the “unified national law firm” vision by ensuring that our processes, policies and terminology support a culture of mutual trust and respect.
- \* Obtain and retain employee ENGAGEMENT at all levels – a fully engaged workforce is critical for the future success of OGC.

## **Enabling Goal Objective E9 – Desired “To Be” State**

**In a truly unified national law firm –**

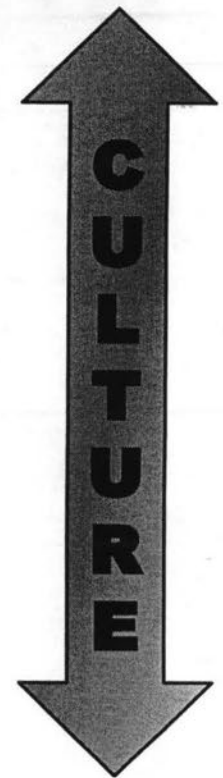
- \* all employees are valued and engaged, and have opportunities to grow
- \* Partners trust and respect one another as peers
- \* all employees feel a part of and share in the firm’s vision of itself; they identify as members of the larger team
- \* people understand and appreciate each other’s roles in the organization’s success

## Enabling Goal Objective E9 – Desired “To Be” State - continued

- \* Address the “elephant in the room” – share information on whether there will be further reorganization of OGC and what it will be.
- \* Be transparent – even about decisions not to decide yet - to reduce some of the uncertainty and even anxiety that some are feeling.
- \* If there is to be further change, add details and implementation of it to the Plan.

# Enabling Goal Objective E9– “Vertical Integration” Strategies

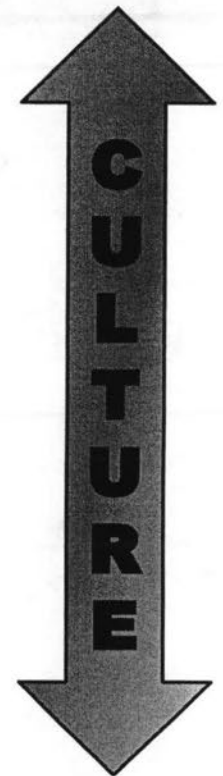
- \* Define career paths/career ladders for all OGC personnel – legal assistants, paralegals, and attorneys – so all have a meaningful opportunity to develop and grow
- \* Define complexities within legal practice areas to better define career ladder goals for support staff
- \* Establish GS-15 non-supervisory Senior Attorney positions, available to all who qualify, whether in VACO or elsewhere





# Enabling Goal Objective E9– “Vertical Integration” Strategies

- \* Include non-supervisors and non-attorneys in decision-making involving their work processes and work lives
- \* Expand opportunities for all staff members to engage with senior leadership
- \* More “liberal” use of QSIs as meaningful reward for outstanding performers within OGC.
- \* Define optimal staffing ratios for attorney/support combinations
- \* Make respective and inclusive communication choices: it sometimes matters who’s on the “To” and “cc” lines, and “please” and “thank you” don’t cost a thing



# Enabling Goal Objective E9 – “Horizontal Integration” Strategies

- \* Use language that unites rather than divides:
  - \* Both the Regions and the Staff Groups are **OGC**
  - \* Senior Attorney should mean the same thing wherever it's used
  - \* Equal partners should have equal titles: Assistant General Counsel, Waco Region ≈ Assistant General Counsel, Veterans Court Litigation
- \* Rotate responsibility for leading Partners' Calls among all Partners: facilitate meaningful discussion of topics of mutual interest
- \* Prioritize meaningful cross-training at all levels: allocate training and travel dollars to bring people together to learn from each other and work together on real problems



# Enabling Goal Objective E9 – More “Horizontal Integration” Strategies

- \* Establish a second DGC position: either one DGC for VACO and one for Regions, or a DGC for Legal Policy and a DGC for Management & Operations with all RCs and AGCs reporting to both
- \* Make Partners’ performance goals interdependent, e.g. pair 2 peers with interdependent goals or establish OGC-wide goals applicable to all
- \* Prioritize shared decision-making: establish an OGC Resource Allocation Committee





# QUESTIONS?



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**OGC Leadership Summit 2013**  
**2013 Enabling Goal and Objectives (as ratified)**

As VA's unified national law firm, OGC will provide seamless, integrated services to support the Department's goals and missions desired outcomes through –

- flexible, scalable policies, practices, and infrastructure;
- effective communication and collaboration with clients and colleagues;
- sound, transparent internal governance;
- inspired and inspiring leadership of a diverse, competent and engaged workforce; and
- technology tools and skills to effectively meet our clients' evolving legal needs.

**Enabling Goal Objective E.1** - Ensure that our policies, practices, and infrastructure are sufficiently flexible to permit us to provide timely, responsive, and high-quality legal service despite fluctuating resources and workload.

**Enabling Goal Objective E.2** - Improve communication and collaboration with clients to ensure that we understand their goals and objectives and they understand how, when and from whom to access legal service.

**Enabling Goal Objective E.3** - Improve communication, collaboration, and knowledge management within OGC to facilitate the delivery of seamless, integrated legal support and optimize productivity.

**Enabling Goal Objective E.4** - Mandate transparent and data-informed decisions to allocate resources fairly and effectively.

**Enabling Goal Objective E.5** - Expand opportunities for telework and other flexibilities, inter-office collaborations, and input into work processes and governance to enhance employee engagement for all members of a diverse workforce, ensure continuity of operations, save costs, and increase employee retention and morale, as consistent with the Telework Enhancement Act and other initiatives.

**Enabling Goal Objective E.6** - Prioritize professional development, training, mentoring, and knowledge sharing throughout OGC to improve employee competence and organizational performance at all levels.

**Enabling Goal Objective E. 7** - Design, execute, and measure a comprehensive and detailed staffing plan that will tell us how many people we need, in each job series, to fulfill our law firm's present and future (projected) demand for legal services within our defined quality and service time targets.

**Enabling Goal Objective E.8** - Ensure that OGC has the technology tools and skills to effectively meet our clients' evolving legal needs.

**Enabling Goal Objective E.9** - Fully realize the "unified national law firm" vision by ensuring that our processes, policies and terminology support a culture of mutual trust, respect, and collaboration

## OGC Leadership Summit 2013

### 2013 Enabling Goal

As VA's unified national law firm, OGC will provide seamless, integrated services to support client organizations' the Department's goals and missions desired outcomes through –

- flexible, scalable policies, practices, and infrastructure;
- effective communication and collaboration with clients and colleagues;
- sound, transparent internal governance;
- inspired and inspiring leadership of a diverse, competent and engaged workforce; and
- technology tools and skills to effectively meet our clients' evolving legal needs.

**Enabling Goal Objective E.1** - Ensure that our policies, practices, and infrastructure are sufficiently flexible to permit us to provide timely, responsive, and high-quality legal service despite fluctuating resources and workload.

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**Enabling Goal Objective E.5** - Expand opportunities for telework and other flexibilities, inter-office collaborations, and input into work processes and governance to enhance employee engagement for all members of a diverse workforce, ensure continuity of operations, save costs, and increase employee retention and morale , as consistent with the Telework Enhancement Act and other initiatives.

**Enabling Goal Objective E.6** - Prioritize professional development, training, mentoring, and knowledge sharing throughout OGC to improve employee competence and organizational performance at all levels.

**Enabling Goal Objective E. 7** - Design, execute, and measure a comprehensive and detailed staffing plan that will tell us how many people we need, in each job series, to fulfill our law firm's present and future (projected) demand for legal services within our defined quality and service time targets.

**Enabling Goal Objective E.8** - Ensure that OGC has the technology tools and skills to effectively meet our clients' evolving legal needs.

**Enabling Goal Objective E.9** - Fully realize the "unified national law firm" vision by ensuring that our processes, policies and terminology support a culture of mutual trust, respect, and collaboration

**Department of Veterans Affairs  
Office of General Counsel  
2013 Leadership Summit**

May 21-23, 2013  
Alexandria, VA

**The State of OGC – Where We Are Now, How We Got Here and Where We  
Are Headed**

*Will Gunn, General Counsel  
Jack Thompson, Deputy General Counsel  
Michael Hogan, Assistant General Counsel, Staff Group 6  
Tuesday, May 21, 2013*

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For each of the following items, please circle below  
to indicate the degree to which you agree or disagree.

---

1. The information presented helped me understand the General Counsel's vision for our organization.

Strongly Disagree      Disagree      Neutral      Agree      Strongly Agree

---

2. The information presented will enable me to communicate about the General Counsel's vision to members of my staff.

Strongly Disagree      Disagree      Neutral      Agree      Strongly Agree

---

3. The information presented helped to frame the other discussions on the agenda for this week.

Strongly Disagree      Disagree      Neutral      Agree      Strongly Agree

---

Please answer the following questions.

4. How did we do?
5. How could we improve this session, if at all, to meet your needs?
6. Any other comments?

**Department of Veterans Affairs  
Office of General Counsel  
2013 Leadership Summit**

May 21-23, 2013  
Alexandria, VA

**Enabling Goal Objectives**  
*Enabling Goal Objective Workgroups*  
Tuesday, May 21, 2013

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For each of the following items, please circle below  
to indicate the degree to which you agree or disagree.

---

1. The information presented helped me to understand the proposed Objectives.

Strongly Disagree      Disagree      Neutral      Agree      Strongly Agree

---

2. The process used to refine and present the Objectives was helpful.

Strongly Disagree      Disagree      Neutral      Agree      Strongly Agree

---

3. I learned enough about the Objectives to be able to communicate them effectively to staff members in my Region or Staff Group.

Strongly Disagree      Disagree      Neutral      Agree      Strongly Agree

---

Please answer the following questions.

4. How did we do?
5. How could we improve this session, if at all, to meet your needs?
6. Any other comments?



**Department of Veterans Affairs  
Office of General Counsel  
2013 Leadership Summit**

May 21-23, 2013  
Alexandria, VA

**Torts Pilot Updates**

*Torts PDET, Torts Pilot #1, Super Collaborative, Virtual Collaborative*  
Wednesday, May 22, 2013

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For each of the following items, please circle below  
to indicate the degree to which you agree or disagree.

---

1. The information presented helped me to understand the goals, challenges, and progress associated with the Torts Pilots.

Strongly Disagree      Disagree      Neutral      Agree      Strongly Agree

---

2. The slide templates used to guide the presentations were helpful.

Strongly Disagree      Disagree      Neutral      Agree      Strongly Agree

---

3. I learned something about the status of the Torts Pilots that will be useful for me to discuss with staff members in my Region or Staff Group.

Strongly Disagree      Disagree      Neutral      Agree      Strongly Agree

---

Please answer the following questions.

4. How did we do?
5. How could we improve this session, if at all, to meet your needs?
6. Any other comments?

**Department of Veterans Affairs  
Office of General Counsel  
2013 Leadership Summit**

May 21-23, 2013  
Alexandria, VA

**EST and STAR Updates**

*EST and STAR Leaders*  
Wednesday, May 22, 2013

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For each of the following items, please circle below  
to indicate the degree to which you agree or disagree.

---

1. The information presented helped me to understand the goals, challenges, and progress associated with the Ethics and Research Pilots.

Strongly Disagree      Disagree      Neutral      Agree      Strongly Agree

---

2. The slide templates used to guide the presentations were helpful.

Strongly Disagree      Disagree      Neutral      Agree      Strongly Agree

---

3. I learned something about the status of the Ethics and Research Pilots that will be useful for me to discuss with staff members in my Region or Staff Group.

Strongly Disagree      Disagree      Neutral      Agree      Strongly Agree

---

Please answer the following questions.

4. How did we do?
5. How could we improve this session, if at all, to meet your needs?
6. Any other comments?

**Department of Veterans Affairs  
Office of General Counsel  
2013 Leadership Summit**

*May 21-23, 2013  
Alexandria, VA*

**Staff Group II and VII Break-Outs**

*022 and 027 Leaders  
Wednesday, May 22, 2013*

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For each of the following items, please circle below  
to indicate the degree to which you agree or disagree.

---

1. This session allowed us to discuss pending issues and develop strategies to address them.

Strongly Disagree      Disagree      Neutral      Agree      Strongly Agree

---

2. I learned something during this session that will be useful for me to discuss with members of my staff.

Strongly Disagree      Disagree      Neutral      Agree      Strongly Agree

---

Please answer the following questions.

4. How did we do?
5. How could we improve this session, if at all, to meet your needs?
6. Any other comments?

**Department of Veterans Affairs  
Office of General Counsel  
2013 Leadership Summit**

May 21-23, 2013  
Alexandria, VA

**Legal Specialty Teams: Emerging Themes and Strategic Imperatives**

*NCOD Facilitators*  
Wednesday, May 22, 2013

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For each of the following items, please circle below  
to indicate the degree to which you agree or disagree.

---

1. The information presented was useful to help identify challenges and experiences common among the ongoing pilots.

Strongly Disagree      Disagree      Neutral      Agree      Strongly Agree

---

2. The information presented was useful to help identify things OGC will need to do in the future.

Strongly Disagree      Disagree      Neutral      Agree      Strongly Agree

---

3. I learned something during this session that will be useful for me to discuss with staff members in my Region or Staff Group.

Strongly Disagree      Disagree      Neutral      Agree      Strongly Agree

---

Please answer the following questions.

5. How did we do?
6. How could we improve this session, if at all, to meet your needs?
7. Any other comments?



**Department of Veterans Affairs  
Office of General Counsel  
2013 Leadership Summit**

May 21-23, 2013  
Alexandria, VA

**SES Performance Management Issues**



Wednesday, May 22, 2013

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For each of the following items, please circle below  
to indicate the degree to which you agree or disagree.

---

1. This conversation helped me to understand the process by which the PRB and PRC reviewed the FY 2012 SES ratings.

Strongly Disagree      Disagree      Neutral      Agree      Strongly Agree

---

2. I will use the information I learned during this session in preparing my FY13 self-appraisal.

Strongly Disagree      Disagree      Neutral      Agree      Strongly Agree

---

Please answer the following questions.

5. How did we do?
6. How could we improve this session, if at all, to meet your needs?
7. Any other comments?

**Department of Veterans Affairs  
Office of General Counsel  
2013 Leadership Summit**

*May 21-23, 2013  
Alexandria, VA*

**Planning for Our Future:  
How Can We Sustain Excellence in an Increasingly  
Resource-Constrained Environment?**



*Self-Selected Breakout Groups  
Thursday, May 24, 2013*

---

For each of the following items, please circle below  
to indicate the degree to which you agree or disagree.

---

1. This discussion was beneficial.

Strongly Disagree      Disagree      Neutral      Agree      Strongly Agree

---

2. I learned something during this session that I will discuss with staff members  
within my Region or Staff Group.

Strongly Disagree      Disagree      Neutral      Agree      Strongly Agree

---

Please answer the following questions.

5. How did we do?

6. How could we improve this session, if at all, to meet your needs?

7. Any other comments?

**Department of Veterans Affairs  
Office of General Counsel  
2013 Leadership Summit**

May 21-23, 2013  
Alexandria, VA

**The Overall Experience**

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For each of the following items, please circle below  
to indicate the degree to which you agree or disagree.

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1. The 2013 OGC Leadership Summit enabled us to meaningfully discuss OGC's future.

Strongly Disagree      Disagree      Neutral      Agree      Strongly Agree

---

2. I feel that OGC Senior Leadership valued my participation in this program.

Strongly Disagree      Disagree      Neutral      Agree      Strongly Agree

---

3. I feel that OGC Senior Leaders were transparent and honest about the organization's needs and goals during this session.

Strongly Disagree      Disagree      Neutral      Agree      Strongly Agree

---

Please answer the following questions.

4. How would you change the OGC Leadership Summit to meet your leadership development needs?

5. How would you change the OGC Leadership Summit to better facilitate effective strategic planning, change leadership, or change management?

6. Any other comments?



## Office of General Counsel 2013 Leadership Summit

Meeting Date	May 21-23, 2013		
Location	Hilton Alexandria Old Town, 1767 King Street, Alexandria VA		
Purpose / Objectives:	<ul style="list-style-type: none"><li>• To execute a refreshed OGC Strategic Plan Enabling Goal</li><li>• To review the progress of the Ethics, Research, and Torts Specialty Team Pilots</li><li>• To plan other pilot programs and/or other business-process improvements to enhance OGC's overall operating efficiency and resource allocation flexibility</li></ul>		
Tuesday, 5/21			
8:00-8:30	Introductions/"One Thing"	All Participants	Salon A/B
8:30-9:50	The State of OGC – Where We Are Now, How We Got Here, and Where We Are Headed		Salon A/B
9:50-10:10	Break and BlackBerry Check		
10:10-10:40	Enabling Goal Objective E1 - Summary and Recommendations	Workgroup E1	Salon A/B
10:40-11:10	Enabling Goal Objective E2 - Summary and Recommendations	Workgroup E2	Salon A/B
11:10-11:40	Enabling Goal Objective E3 - Summary and Recommendations	Workgroup E3	Salon A/B
11:40-12:10	Enabling Goal Objective E4 - Summary and Recommendations	Workgroup E4	Salon A/B
12:10-1:10	Lunch and BlackBerry Check		
1:10-1:40	Enabling Goal Objective E5 - Summary and Recommendations	Workgroup E5	Salon A/B
1:40-2:10	Enabling Goal Objective E6 - Summary and Recommendations	Workgroup E6	Salon A/B
2:10-2:40	Enabling Goal Objective E7 - Summary and Recommendations	Workgroup E7	Salon A/B
2:40-3:00	Break and BlackBerry Check		
3:00-3:30	Enabling Goal Objective E8 - Summary and Recommendations	Workgroup E8	Salon A/B
3:30-4:00	Other Objectives/Strategies - Summary and Recommendations	Workgroup E9	Salon A/B
4:00-5:00	Discussion and Ratification of Enabling Goal		Salon A/B





## Office of General Counsel 2013 Leadership Summit

Wednesday, 5/22

8:00-8:30	The Pilots: Where We Are Now, What Comes Next		Salon A/B
8:30-1:45	Groups II and VII Break-Out		Jefferson Room
8:30-9:15	Torts Pilots – Review of Expectations	Torts PDET	Salon A/B
9:15-10:00	Torts Pilot # 1 – Update	Torts Pilot #1	Salon A/B
10:00-10:20	Break and BlackBerry Check		
10:20-11:05	Super Collaborative Torts Pilot – Update	Super Collaborative	Salon A/B
11:05-11:50	Virtual Collaborative Torts Pilot – Update	Virtual Collaborative	Salon A/B
11:50-12:50	Lunch and BlackBerry Check		
12:50-1:20	STAR - Update		Salon A/B
1:20-1:50	EST - Update		Salon A/B
1:50-2:10	Break and BlackBerry Check		
2:10-4:00	Legal Specialty Teams: Emerging Themes and Strategic Imperatives	NCOD Facilitators	Salon A/B
4:00-5:00	SES Performance Management Issues (non-SES attendees are excused)		Salon A/B
6:00	Optional Social Event		TBA



**Office of General Counsel  
2013 Leadership Summit**

Thursday, 5/23

8:00-8:45	Planning for Our Future: How Can We Sustain Excellence in an Increasingly Resource-Constrained Environment?		Salon A/B
8:45-10:45	Break-Out Sessions by Product Category of Greatest Interest: <ul style="list-style-type: none"><li>• Benefits</li><li>• Business Law</li><li>• Torts</li><li>• Employment Law</li><li>• Health Law</li><li>• Other Specialized Legal Services</li></ul>	All Summit Participants	Salon A/B, Jefferson Room
10:45-11:05	Break and BlackBerry Check		
11:05-12:00	Closing Remarks		Salon A/B
Noon	Adjourn*		
1:00-5:00	Optional Meeting Opportunity for Pilot Teams*		Salon A/B, Jefferson Room

\*Note: hotel check-out time is noon on Thursday 5/23

## TRAVEL INSTRUCTIONS FOR THE MAY 2013 OGC LEADERSHIP SUMMIT

**Location:** Hilton Alexandria Old Town, 1767 King Street, Alexandria VA (adjacent to the King Street Metro station)

### Session dates/times:

Tuesday, May 21 - 8:00 a.m. – 5:00 p.m.

Wednesday, May 22 - 8:00 a.m. – 5:00 p.m.

Thursday, May 23 - 8:00 a.m. – noon

- The meeting room will be available for our use Thursday afternoon for who may want to use that time to converse and collaborate with colleagues. However, please note that our hotel lodging room block covers Monday evening through Thursday morning only, and that OGC does not have funding to support additional nights' lodging or per diem. Please plan your departure accordingly.

**Dress code:** Business casual

### Hotel reservations:

Please use this link to access the hotel's online reservation system:

[http://www.hilton.com/en/hi/groups/personalized/D/DCAOTHF-MOG-20130520/index.html?WT.mc\\_id=POG](http://www.hilton.com/en/hi/groups/personalized/D/DCAOTHF-MOG-20130520/index.html?WT.mc_id=POG)

- **In the system, please specify that you will be checking in on 5/20 and checking out on 5/23, and the site will automatically adjust the room rate to the GSA rate of \$224/night.** Reservations must be made no later than 4/29 to lock in the GSA rate.
- Please note that the system currently defaults to a 5/24 check out date. We are working with the hotel to correct that error, but it is also very easy for participants to manually adjust the dates to show check-out on 5/23.
- If you experience difficulty with the reservation link, please let me know immediately so I can trouble-shoot through my hotel contact.
- Should you choose to extend your stay for personal reasons, please be aware that OGC cannot fund any extra nights and that the Hilton may or may not be able to honor the government rate for days outside our reserved room block.

### Long-distance travel:

Plan to arrive in DC on Monday 5/20 and to depart DC no earlier than 2:00 p.m. on Thursday, 5/23.

- Please plan all aspects of your travel – including transportation to and from airports, airport parking, bag fees, etc. – to minimize costs to the full extent possible.

- Please choose the most cost-effective flights, which may require that you select non-government contract fares.
- Those participants who will be flying into DC should plan flights in and out of Washington National/Ronald Reagan Airport (DCA), which is a short and inexpensive Metro ride away from the hotel.
- Because this is only a three-day event and dress is business casual, there should be no need for participants to incur expenses associated with overweight or additional bags.
- If flights into DCA from your origination point are considerably more expensive than flights into Dulles or BWI, please choose the less expensive flight but also opt for cost-effective transportation from the airport to the hotel. If possible, coordinate with colleagues who may be arriving at the same airport so you can share a taxi, or arrange for shared-van service through Washington Flyer.
- If you choose to travel by rail, please note that some Amtrak service goes through the King Street Amtrak station, but that most terminates at Union Station. It's a relatively easy Metro trip from Union Station to the King Street Metro station.

#### **Local travel:**

Parking at the hotel is limited and expensive. If at all possible, please travel to the hotel by Metro or Virginia Railway Express, both of which serve the King Street station directly across the street from the hotel.

#### **After-hours social events:**

- We are planning an optional social event for Wednesday evening, May 22, in the Alexandria area. We are also considering a very informal gathering in the hotel on Tuesday evening, May 21. More information about those events will be provided in the coming weeks. \
- There are no mandatory after-hours events planned.

#### **Refreshments during Summit sessions:**

The new VA-wide conference policy prohibits us from contracting for refreshments, including coffee, at government expense, especially for meetings attended by local personnel who are not eligible for government per diem. There will be water available in the meeting rooms, but no refreshments other than those that participants choose to bring in themselves. We've built break times into the agenda to afford participants time to buy food and/or drinks at the Starbucks in the hotel lobby or at one of the various other coffee and snack shops in the area.

#### **Lunches and dinners near the Summit site:**

The hotel is located on King Street, within a few short blocks of several cafes and restaurants. For dinners further afield, the King Street Trolley offers free transportation to many of Old Town Alexandria's fine dining establishments