Manual M-11, Information Resources Management (Veterans Health Administration)

Chapter 11, Documentation (Paragraphs 11.01 through 11.05; Appendix 11A)

This document includes:

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DEPARTMENT OF VETERANS AFFAIRS

INFORMATION RESOURCES MANAGEMENT

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The Department of Veterans Affairs, Veterans Health Administration Manual M-11, "Medical Information Resources Management," is published for the information and compliance of all concerned.

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CHAPTER 11. DOCUMENTATION

11.01 PURPOSE

- a. This chapter establishes policy for all Decentralized Hospital Computer Program (DHCP) nationally-developed software package documentation. It may also apply to package documentation for non-DHCP automated information systems. This chapter defines package documentation, documentation standards, and management of documentation.
 - b. DHCP documentation standards have been established to:
- (1) Provide basic documentation structure that can be applied to every DHCP national package. For non-DHCP software packages, documentation must be available to support the product.
 - (2) Provide consistency in all DHCP documentation.
 - (3) Provide criteria by which documentation of a national package can be verified.
- (4) Ensure the highest standard of documentation in order to achieve the goal of providing optimal information to the targeted audiences.

11.02 POLICY

a. DHCP National Packages

- (1) Hard copy documentation shall be provided for all DHCP national packages.
- (2) National package documentation shall be provided in sufficient detail for users, programmers, and Information Resource Management (IRM) personnel to install, operate, and manage the national package. Documentation must provide clear, understandable materials that serve the software package users.
 - (3) Package documentation shall comply with the DHCP documentation standards (see App. 11A).
 - (4) Documentation shall reference the availability of on-line tools (e.g., help frames).
- (5) The National Center for Documentation(NCD) shall review all nationally-developed DHCP software packages for compliance with the documentation standards.
- b. **Non-DHCP Packages.** Documentation shall be provided in sufficient detail for users, programmers, and IRM personnel to install, operate, and manage the systems. Documentation must provide clear, understandable materials that serve the software package users.

11.03 DEFINITIONS

- a. **National Package**. A national package is DHCP software intended for nationwide distribution and implementation. Each national package is considered a component of DHCP and is assigned by the Director, Information Integration Service, Medical Information Resources Management Office (MIRMO), to an Information Systems Center (ISC) for development and maintenance.
- b. Non-DHCP Package. A software package, not developed by an ISC or end user, that may be for national use.

- c. Package Date. The date shown on package documentation (cover, title page, footer) shall be the date the Verification ISC certifies that external verification is complete. The date shall reflect the month and the year (e.g., July 1991).
- d. Package Documentation. Package documentation is the information that describes the functions, implementation, use, maintenance, and distribution of Veterans Health Administration (VHA) national packages.
- e. NCD. The NCD was established by the Director, MIRMO, to review all DHCP national software package documentation for compliance with the documentation standards. The NCD reproduces, assembles, and distributes all national DHCP software package documentation to the ISCs and the Department of Veterans Affairs (VA) health care facilities.
- f. **Sensitive Data/Text/images.** This is material that requires protection due to the risk and magnitude of loss or harm that could result from inadvertent or deliberate disclosure, alteration, denial, or destruction.
- (1) Improper use or disclosure of such material could adversely affect the ability of an agency to accomplish its mission such as proprietary data, records about individuals requiring protection under the Privacy Act of 1974, and data not releasable under the Freedom of Information Act (FOIA), and/or other confidentiality statutes.
- (2) This definition includes **sensitive information** as set forth in 15 United States Code (U.S.C.) 278g-3-(d) (4), as amended by Section 3 of the Computer Security Act of 1987, Public Law No. 100-235, 101 Stat. 1724, 1727 (1988).

11.04 RESPONSIBILITIES

- a. The Director, Information Integration Service, MIRMO, has overall authority for documentation policy and standards.
- b. The Director, MIRMO, has designated the Birmingham ISC as Directorate for National Documentation. The ISC Director is responsible for the NCD.
- c. Each Development ISC is responsible for the preparation of documentation for its assigned national packages.
- d. The Documentation Standards and Conventions Committee (DSCC) provides the following functions:
- (1) Recommends conventions and guidelines to be followed in all DHCP national package documentation;
 - (2) Reviews and recommends revisions to the documentation policy and standards:
 - Recommends formulation of style, guidelines, and reference materials; and
- (4) Reviews other federal documentation standards for inclusion in the DHCP documentation standards.
 - e. The NCD Coordinator performs the following functions:
- (1) Provides final approval of all package documentation for adherence to the DHCP documentation standards;

- (2) Ensures that documentation is consistent with the DHCP series of package documentation;
- (3) Notifies the Development ISC and the Verification ISC on the status of compliance with the national standards;
 - (4) Participates in the DSCC (see Ch. 1);
- (5) Manages the reproduction, inspection, assembling, and distribution of package documentation and all other documentation as directed by MIRMO; and
 - (6) Maintains a master copy of all NCD-approved documentation.

11.05 PROCEDURES

a. Updates to Standards

- (1) When changes to the documentation standards are proposed, they will be forwarded to the DSCC via electronic mail on FORUM.
- (2) The DSCC will forward the proposed new standard to the DOCUMENTORS mail group on FORUM at least 30 days prior to voting on the standard.
- (a) After the DSCC votes to accept the standard, it will be forwarded to the ISC Directors Council by the Directorate for National Documentation.
- (b) Within 30 days, the ISC Directors Council will notify the Chairperson of the DSCC of the Council's recommendation.
- (c) The Directorate for National Documentation will forward all recommendations with the Directorate's concurrence and/or comments to the Director, Information Integration Service, MIRMO.
- (d) A formal response (approval/disapproval) will be issued by the Director, Information Integration Service, MIRMO, and sent to the ISC Directors and the Chairperson of the DSCC.
- (3) The standard becomes effective on the date of approval by the Director, Information Integration Service, MIRMO (see 11.05e). After approval, the standard will be made available on FORUM.
- b. **Documentation Preparation.** Documentation offers, as appropriate, procedures, examples, exceptions, warnings, and tips.
- (1) The wide variety of targeted audiences must be considered. Audiences include the health care facility user community, applications coordinators, and technical personnel at health care facilities and ISCs.
- (2) Documentation produced for the DHCP national packages may be considered as part of the official reference library.
- (3) A representative user group associated with the national package will assist in documentation preparation and is expected to review the documentation.

c. Documentation Review and Approval

(1) National package documentation, both hard copy and electronic media, shall be subject to verification by the Development ISC.

- (a) The final review of package documentation is performed as part of the external verification process.
- (b) The Verification ISC will review the software package documentation for technical and functional accuracy, clarity of presentation, and completeness.
- (2) Concurrent with the verification process, the NCD shall receive a copy of the documentation and shall perform a final review of the documentation for punctuation, grammar, and compliance with the documentation standards.
- (3) The NCD shall review the documentation and shall send written notification to the Development ISC and the Verification ISC. The NCD shall specify whether or not standards have been met, and note any deficiencies. Notification will be completed prior to submission of the verification letter.
- (4) Appeals for exemption from the VHA documentation standards that remain unresolved between the Development ISC and the Verification ISC and/or NCD shall be referred to the Director, Information Integration Service, MIRMO, for review and resolution. The Director, Information Integration Service, MIRMO, will consult with the DSCC, as appropriate.
- (a) Appeals for exemptions from the documentation standards applied for during the development process, shall be referred to the DSCC.
- (b) Unresolved appeals between the documenter and/or developer and the DSCC will be referred to the Director, Information Integration Service, MIRMO, for review and resolution.
- (5) The NCD shall send a letter of final approval to the Development ISC after compliance has been met and/or exemptions have been approved by the Director, Information Integration Service, MIRMO.

d. Reproduction and Distribution

- (1) The NCD shall be responsible for the reproduction, inspection, assembling, and distribution of the completed documentation for the Development ISC.
 - (a) The route of distribution will be determined by the Development ISC.
 - (b) The NCD shall send 20 copies of the documentation to the FOIA ISC.
- (2) The NCD shall retain a master copy of all documentation approved and reproduced by the NCD. If additional copies are desired by individual sites, a written request should be made to their respective ISCs, who will then formally request additional copies and determine the route of distribution.
- (3) Updates, changes, or deletions to package documentation that are reproduced and distributed by the Development ISC (e.g., updated release notes, errata sheets) shall be supplied to the NCD for filing with the master copy.
- e. **Effective Date.** Package documentation submitted to the NCD for review and approval during the 6-month period after the effective date of new standards may comply with either the old or new standards. After the 6-month grace period, compliance with the new documentation standards will be mandatory.

DECENTRALIZED HOSPITAL COMPUTER PROGRAM (DHCP) DOCUMENTATION STANDARDS

1. PURPOSE

Documentation standards have been established to:

- a. Provide a basic documentation structure that can be applied to every national software package;
- b. Provide consistency in all documentation; and
- c. Provide criteria by which documentation of a national package can be verified.

2. CONTENT

- a. **Documentation.** Documentation can be produced in a modular format (i.e., chapters or sections can stand alone).
 - (1) Each module must comply with the documentation standards.
 - (2) The four mandatory components of software documentation consist of:
 - (a) An installation guide and/or release notes,
 - (b) A technical manual,
 - (c) A package security guide, and
 - (d) A user manual.
 - b. Installation Guide and/or Release Notes
- (1) **Definition.** Installation guides provide information necessary to install the package. Release notes describe new features and functions of a subsequent release of a package.
 - (a) The installation guide and/or release notes may consist of one or two separate documents.
- (b) For the initial distribution of a national package, the installation guide is mandatory while release notes are optional.
- (c) For all subsequent distributions of a national package, both an installation guide and release notes are mandatory.
 - (2) Installation Guide (Mandatory). In preparing the mandatory installation guide:
 - (a) Identify the package by name, version number, and package date;
- (b) Provide an instructional guide for installing the software. Describe issues that should be considered prior to initialization and how the Chief, Information Resources Management (IRM) Service, may prepare for the initialization;

- (c) Describe the installation process in logical steps and include a statement recommending where the software should be loaded (e.g., "initially load software into a test account and then finally into the production account");
 - (d) Provide guidance and suggestions for system configuration and global placement;
 - 1. List any reference material that may be required during the installation process.
- 2. List items that the Chief, IRM Service, should produce from the system after installation of the national package; and
 - (e) Describe the resources required for the national package.
 - 1. Include:
 - a. Central Processing Unit (CPU) capacity,
 - b. disk space,
 - c. unique devices, and
 - d. other pertinent resources.
 - 2. Provide a formula for sizing, if applicable.
 - (3) Release Notes (Mandatory for subsequent releases). In preparing release notes:
 - (a) Identify the national package by name, version number, and package date; and
- (b) Describe any modifications and enhancements to the national package software since prior release. **NOTE**: This information is needed in advance of loading the software.

c. Technical Manual

- (1) Technical documentation should provide sufficient information about the package programs for programmers and IRM technical personnel to operate and maintain the software without additional assistance from package developers. The Chief, IRM Service, shall notify the Automated Data Processing Security Officer (ADPSO) when new technical manuals arrive at the facility.
- (2) While extensive on-line documentation is encouraged to supplement the technical manual, the hard copy technical manual must contain, at a minimum, the mandatory sections listed below:
- (a) Title Page (Mandatory). In preparing a Title Page include the name of the national software package, the version number, the package date, the name of the Development ISC, and the logo "Department of Veterans Affairs Decentralized Hospital Computer Program."
- (b) **Preface (Mandatory).** In preparing a Preface, supply a brief statement identifying the document in terms of its purpose, scope, and targeted audience.
- (c) Table of Contents (Mandatory). In preparing a Table of Contents, provide a table of contents with page references to major chapters and/or sections of the manual.

- (d) Introduction (Mandatory). In preparing an Introduction, include an overview that describes the package. The introduction should convey to the reader the major function(s) and purpose(s) of the package, and how the software accomplishes the objective(s).
- (e) Orientation (Optional). In preparing an orientation, address package-specific notations or directions (e.g., symbols used to indicate terminal dialogues or user responses).
- (f) Implementation and Maintenance (Mandatory). Provide information to assist the IRM Service personnel and application coordinators in the implementation and maintenance of the national package. This section may include information regarding the entry of required site-specific data: a description of parameters configured to meet the needs of individual sites, sample configurations, and worksheets to assist in determining the parameters to be entered for the site.
 - (g) Routine List (Mandatory). Provide a list of routines.
- (h) File List (Mandatory). In preparing a File List, include a list and brief description of files that come with the package. The description should indicate what data comes with the file and whether or not that data will overwrite existing data.
- (i) Exported Options (Mandatory). Provide a list of the options in the package, indicating distribution of menus to users and note any restrictions on menu distribution.
- (j) File Diagram (Optional). For packages which include numerous files, provision of a chart representing the relationship among files is highly desirable.
- (k) Archiving and Purging (Mandatory). Describe the archiving and purging capabilities of the package and any necessary instructions or guidelines.
- (I) Callable Routines (Mandatory). List all entry points in the package that can be called by other applications. This list must include the actual entry points, a brief description of the function of these entries, a description of all required variables, and any restrictions of the use of the entry points.

(m) External Relations (Mandatory)

- 1. Explain any special relations and agreements between the routines and/or files/fields in this package and the routines and/or files/fields in other packages.
- 2. List any routines essential to the functions of this package, for example: Could an outpatient facility function without programs relating to inpatient activity and avoid system failure?
 - Specify the version of VA FileMan, Kernel, and other packages required to run this package.

(n) Internal Relations (Mandatory)

- 1. Identify, if applicable, any routines, files, or options within this package which cannot function independently of other such programs within this package, for example: Which menus can stand alone? Does the functioning of a particular option assume that entry/exit logic of another option has already occurred?
- 2. List such options with their programming Standards and Conventions Committee (SACC) approval dates.

- (0) Package-wide Variables (Mandatory). Provide a list of all variables that have received SACC exemptions together with their respective approval dates.
- (p) How to Generate On-line Documentation (Mandatory). Provide the file numbers and/or file number ranges, and namespaces along with special templates.
 - (q) Glossary (Mandatory). Provide a glossary of terms that relate to the specific national package.
 - (r) Index (Optional). Provide a package-specific index.

d. Package Security Guide

- (1) A package security guide will be created for controlling the release of sensitive information related to the national software package.
 - (a) This document will not be included in any Freedom of Information Act (FOIA) request releases.
 - (b) Distribution of this document is limited to the IRM Service and ADPSO.
- (c) Since certain keys and authorizations must be delegated for proper management of the system, information about these items may be found elsewhere in the technical and user manuals.
 - (2) The package security guide will include:
- (a) **Title Page (Mandatory).** Include the title "PACKAGE SECURITY GUIDE," the name of the national software package, the version number, the name of the Development Information Systems Center (ISC), the package date, the logo "Department of Veterans Affairs Decentralized Hospital Computer Program," and the words "SENSITIVE INFORMATION."
- (b) National Package Security (Mandatory). Provide a section on security requirements for the national package. Document all locks and keys, special VA FileMan access codes, and other security measures included in the package. Describe the purpose of security keys. Include official policy unique to the package regarding the modification of software and distribution of the package.

e. User Manual

- (1) The user manual is a document designed to be helpful to the user. User documentation shall provide sufficient information for users to competently operate the national software package. Variability in the content is accepted.
 - (2) The user manual is organized as follows:
- (a) **Title Page (Mandatory).** Include the name of the national software package, the version number, the package date, the name of the Development ISC, and the logo "Department of Veterans Affairs Decentralized Hospital Computer Program."
- (b) **Preface (Mandatory).** Supply a brief statement identifying the document in terms of its purpose, scope, and targeted audience.
- (c) **Table of Contents (Mandatory).** Provide a table of contents with page references to chapters and/or sections of the manual.
- (d) Introduction (Mandatory). Provide an overview that sets forth a description of the software package. Note related Veterans Health Administration (VHA) manuals and other reference materials.

For a modular manual, also describe how the module fits into the whole manual and the purpose for the individual module. Distinguish the major topics and issues within the package. The introduction should convey to the reader the major function(s) and purpose(s) of the package, and how the software accomplishes the objective(s).

- (e) Orientation (Optional). Address any package-specific notations or directions (e.g., symbols used to indicate terminal dialogues or user responses).
- (f) Package Management (Mandatory). Address unique legal requirements and responsibilities pertaining to the package and necessary security measures to protect the integrity of the package and its data (e.g., a package may use an electronic signature code or data that may not be changed because it is supplied by another agency).
- (g) Package Operation (Mandatory). Describe what the user needs to know in order to competently operate the package. The information should include how the user can access on-line documentation.
- (h) Glossary (Mandatory). Provide a glossary of terms that relate to the specific package. A reference to the standard DHCP glossary may be used to define nonpackage-specific terms.
 - (i) Index (Optional). Provide a package-specific index.
- (3) The Users Guide to Computing has been adopted as an instructional guide for general computer usage. NOTE: This document is part of the Kernal application package; it describes programming conventions common to all DHCP national packages and is to be used as a reference source.

M-11 Chapter 11

January 17, 1995

- 1. Transmitted is a new chapter to the Department of Veterans Affairs, Veterans Health Administration (VHA) Manual, M-11, "Information Resources Management," Chapter 11, "Documentation."
- 2. Chapter 11 defines application documentation, documentation standards, and management of documentation of all VHA software.
- 3. Filing Instructions

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4. **RESCISSIONS:** VHA Circulars/Directives 10-85-93, 10-85-112, 10-85-116, 10-86-147, 10-87-19, 10-87-119, 10-87-122, and 10-87-123.

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FD

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- 1. Transmitted is a new manual to the Department of Veterans Affairs, Veterans Health Administration Manuals, M-11, "Information Resources Management," Chapters 1 through 17. **NOTE:** Due to the length of this part, each Chapter will be transmitted separately.
- 2. The principal changes include:
- a. Chapter 1: Defines the over arching Information Resource Management (IRM) policy and the responsibilities of various offices, committees, and directorates for carrying out policy.
 - b. Chapter 2: Describes and provides procedures for the IRM planning and acquisition process.
- c. Chapter 3: Sets forth Veterans Health Administration (VHA) policy relating to data administration and reports management, including reports control procedures.
- d. Chapter 4: Establishes policy for the management of VHA's database, and procedures for design integrity and overall conformance to programming goals and standards.
- e. Chapter 5: Establishes policy and guidance for the procurement of office automation equipment and software as part of VHA's health care information systems.
- f. Chapter 6: Defines the responsibility for managing and administering VHA telecommunications resources.
- g. Chapter 7: Provides guidance concerning the role of technology assessment as it relates to the management and operation of medical information systems.
- h. Chapter 8: Defines the role and responsibility of Applications Requirements Groups in the development, design, and maintenance of VHA Decentralized Hospital Computer Program software.
- i. Chapter 9: Sets forth the VHA policy regarding software management standards and requirements for the development, maintenance, and support of all software packages designated for national distribution.
 - j. Chapter 10: Describes and provides procedures for the IRM planning and acquisition process.
- k. Chapter 11: Defines application documentation, documentation standards, and management of documentation of all VHA software.
- I. Chapter 12: Establishes policy and procedures related to ensuring the quality of VHA developed software.
- m. Chapter 13: Provides policy and guidance governing the archiving and purging of data from the VHA computer systems to ensure the ability to store current data in the system.
- n. Chapter 14: Establishes policy for the provision of support to VHA facilities for the acquisition, implementation, and maintenance of automated hospital information systems to increase the effectiveness and quality of patient care.
- o. Chapter 15: Establishes policy and responsibilities for training to support VHA IRM activities, both at the local and national level.

- p. Chapter 16: Provides policy and procedures to ensure the protection of data, hardware, software, and storage media.
- q. Chapter 17: Establishes operational guidelines for and defines the responsibilities of IRM Service, which unifies automated data processing, telecommunications, office automation, information collection, information management, and systems development.

3. Filing Instructions

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4. RESCISSIONS: VHA Circulars/Directives 10-85-93, 10-85-112, 10-85-116, 10-86-147, 10-87-19, 10-87-119, 10-87-122, and 10-87-123.

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> > 31.36

17-i through 17-4

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