PIES Demo

Trainee Handout

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Objectives

* Understand the functionality of the PIES application
* Identify the correct way to request the 3 types of service records from records facilities
* Recognize the purpose for the various PIES address and status codes

References

* [M21-1, Part III, Subpart iii, 2.D](https://vaww.vrm.km.va.gov/system/templates/selfservice/va_kanew/help/agent/locale/en-US/portal/554400000001034/content/554400000014158/M21-1-Part-III-Subpart-iii-Chapter-2-Section-D-Requesting-Information-and-Records-Through-the-Personnel-Information-Exchange-System-PIES), Requesting Information and Records Through the Personnel Information Exchange System (PIES)
* [M21-1, Part III, Subpart iii, 2.E](https://vaww.vrm.km.va.gov/system/templates/selfservice/va_kanew/help/agent/locale/en-US/portal/554400000001034/content/554400000014159/M21-1-Part-III-Subpart-iii-Chapter-2-Section-E-Unique-Claims-and-Situations-That-Require-Special-Handling), Unique Claims and Situations That Require Special Handling
* [PIES User Guide](https://vbaw.vba.va.gov/bl/21/Products/piesdpris.htm)

Topic 1: General Information about PIES

The Department of Veterans Affairs (VA) primarily uses two applications to request the service information and records it requires to make entitlement decisions:

* Personnel Information Exchange System (PIES), and
* Defense Personnel Records Information Retrieval System (DPRIS).

PIES consists of the following two executable programs:

* the PIES Create program that was developed for use by regional office (RO) and Records Management Center (RMC) users to create and submit requests, and
* the PIES Respond program developed for use by the VA Liaison Office (VALO), which is
  + staffed by RMC employees,
  + collocated with NPRC, and
  + responsible for responding to requests submitted through PIES Create.

**PIES Help**

PIES Help screens are rich with details and can answer many questions regarding military and related records, as well as how to use PIES. This can be accessed once logged into PIES, by clicking on the yellow question mark icon at the top.

PIES User Guide and DPRIS Web to PIES Cross Reference Guide are available on the Compensation Service Intranet site under Procedures (212), [PIES/DPRIS](https://vbaw.vba.va.gov/bl/21/Products/piesdpris.htm).

**Types of Records**

*Service Records*

The term “service record” is used not only for all records kept by the military but also for those non-medical and non-financial service records we sometimes refer to as personnel records.

Service Records include:

* Dates of Service
* Character of Service
* Line of Duty Reports
* Facts and Circumstances
* Conditional Discharge Information
* Travel Time
* Personnel Records
* DD Form 214
* DD Form 1300
* Morning Reports

*Health Records*

Health records, or Service Treatment Records (STRs), may include Medical Treatment Records, Dental Records, Clinical Records, and Other (i.e. Army Surgeon General’s Office (SGO)). The STR does not include inpatient treatment records (clinical), financial records or the Military Personnel Records Jacket (MPRJ) file.

**Note:** *The MPRJ sometimes duplicates information also found in the medical treatment record (i.e. MEB, PEB, entrance examinations)*

1. Medical Treatment Record

The military medical treatment record for each veteran typically includes the following:

* Physical examinations (including entrance and discharge physical examinations)
* Medical history
* Clinical record cover sheets and summaries of inpatient treatment
* Outpatient medical treatment
* Physical profiles
* Physical Evaluation Board (PEB )proceedings
* Medical Evaluation Board (MEB) proceedings
* Prescriptions for eyeglasses and orthopedic footwear

2. Dental Records

Dental records are normally furnished with the health records, but may be requested separately if that is all that is needed.

3. Clinical Records

If a veteran was hospitalized as an inpatient in service, a summary of the hospitalization should appear in the veteran's individual health record. Clinical records consist of the inpatient hospitalized treatment a veteran received, such as detailed daily treatment records, nurse's notes, and progress reports. The records are retained by the treating facility and are not filed with the individual health record but are stored separately.

It is possible to request dependent medical records for the claimant. The records may be necessary to request if the claimant was treated as a dependent and had a pre-existing medical condition. These records are compiled when a military dependent is actually hospitalized. An overnight stay or admission generally makes a patient an inpatient. The resulting records from hospital care are called either clinical or inpatient records. Clinical (inpatient) records are filed by the name of the hospital in which the dependent was treated and by the date of treatment. Outpatient records are cumulative.

**Note:** Outpatient dependent records are filed by the name of the treating facility and the year the individual was last treated at that facility.

When a Veteran indicates treatment as a military retiree or military dependent at a Military Treatment Facility (MTF) the Veterans Service Representative (VSR) can use the VistaWeb/DoD records sections in Compensation and Pension Record Interchange (CAPRI) or Joint Legacy Viewer (JLV) to extract these treatment records. VSRs should reference [M21-1, Part III, Subpart iii, 2.B.4.a](https://vaww.vrm.km.va.gov/system/templates/selfservice/va_kanew/help/agent/locale/en-US/portal/554400000001034/content/554400000014155/M21-1-Part-III-Subpart-iii-Chapter-2-Section-B-Migration-of-Service-Records-and-the-Procedures-for-Obtaining-Them), When Clinical Records are Retired, to determine appropriate jurisdiction.

**Note:**

* Claims processors can use JLV to access electronic copies of
  + DoD records six weeks after a service member’s discharge, and
  + records of treatment at any MTF after 2003.

4. Other

These include Army Surgeon General’s Office (SGO) records, mental hygiene records, and Family Advocacy Program records.

*Financial Records*

Requests for financial records may be made via PIES to Finance Centers, but the Finance Center address code must be manually entered. This type of request cannot have the address codes automatically assigned under the present PIES programming. Therefore, you will have to manually enter the address code when making these requests. (See [M21-1, Part III, Subpart iii, 2.J](https://vaww.vrm.km.va.gov/system/templates/selfservice/va_kanew/help/agent/locale/en-US/portal/554400000001034/content/554400000014164/M21-1-Part-III-Subpart-iii-Chapter-2-Section-J-Service-Department-Organizational-Structures-and-Service-Record-Address-Codes#5d), for information on which address code to use for Financial Records by branch of service.)

Since financial record information is maintained separately from other military service information (service and health records), requests for finance related information cannot be combined with requests for service and/or medical information.

*Exception:* A PIES O50 request, which is used when processing a paperless claim, will request the entire STR and OMPF to be scanned into the eFolder. This will include any existing financial records.

Finance records include:

* Retired Pay
* Severance Pay
* Separation Pay
* Voluntary Separation Incentive
* Special Separation Benefit

**Where Records Are Stored**

There are a number of facilities that house service records, but we are going to discuss the two main facilities, NPRC and RMC.

Reference: [M21-1, Part III, Subpart iii, 2.K](https://vaww.vrm.km.va.gov/system/templates/selfservice/va_kanew/help/agent/locale/en-US/portal/554400000001034/content/554400000014165/M21-1-Part-III-Subpart-iii-Chapter-2-Section-K-Other-Contact-and-Reference-Information#2), for a list of all facilities.

NPRC maintains an internet web page at <https://www.archives.gov/st-louis/military-personnel>, which provides information about the facility.

*National Personnel Records Center (NPRC, code 13)*

Most service records are in the possession of the NPRC in St. Louis, Missouri.

NPRC is not a VA facility nor is it a military facility. NPRC is under the auspices of the National Archives and Records Administration (NARA). NPRC has the custodial responsibility for maintaining military records for the Department of Defense (DoD).

NPRC houses the following records:

* STRs of former service members whose service ended *prior* to the dates shown in the *Service Treatment Records* table below
* Personnel records of former service members who had ***no*** service (active duty ***or*** otherwise) on or after the dates shown in the *Service Personnel Records* table below
* Clinical records

Service *Treatment*Records at NPRC:

|  |  |
| --- | --- |
| Branch of Service | **Service ended prior to…** |
| Army | October 16, 1992 |
| Navy | January 31, 1994 |
| Air Force | May 1, 1994 (Reserves or NG – June 1, 1994) |
| Marine Corps | May 1, 1994 |
| Coast Guard | May 1, 1998 |

Service *Personnel* Records at NPRC:

|  |  |
| --- | --- |
| Branch of Service | **Had no service (active duty or otherwise) on or after…** |
| Army | October 1, 1994 |
| Navy | January 1, 1995 |
| Air Force | October 1, 2004 |
| Marine Corps | January 1, 1999 |

*VA Records Management Center (RMC)*

The Records Processing Center (RPC) and Service Medical Records Center (SMRC) were combined into the RMC on October 1, 1995. Station locations 375, 376, St. Louis RMC, RPC, and SMRC (as reflected in Beneficiary Identification and Records Locator Subsystem (BIRLS)) are all the same facility.

RMC houses the following records:

* *Inactive* VA claims folders (which may contain copies of clinical records)
* All original STRs belonging to former service members whose service ended between the dates shown in the above Service Treatment Records table, and December 31, 2013

***Prior to January 1, 2014 the Army, Navy, Air Force and Marine Corps medical records were forwarded to RMC on or after the above schedules. The Coast Guard records continued until September 1, 2014. After these dates, they were scanned and uploaded into DoD’s Healthcare Artifacts and Images Management Solution (HAIMS)*** *(*[*M21-1, Part III, Subpart iii, 2.A.4.c*](https://vaww.vrm.km.va.gov/system/templates/selfservice/va_kanew/help/agent/locale/en-US/portal/554400000001034/content/554400000014154/M21-1-Part-III-Subpart-iii-Chapter-2-Section-A-General-Information-on-Service-Records#3)*)*

**Using PIES**

*BIRLS Information*

***Important*:** All employees should thoroughly review the electronic folder as well as physical folder, if applicable, to ensure all applicable service data is entered in BIRLS.

* The information on the VETERAN IDENTIFICATION DATA (VID) screen in the BIRLS via the Share application must be accurate and complete, to include the Veteran’s service number, in order for PIES programming logic to function properly.
* Requests that an RO user manually addresses are *not* run against a registry of NPRC holdings (to determine whether a match exists between the record(s)/information the user is requesting and the records in NPRC custody), so the user must be certain to use the correct address code.

*Creating Request*

If a PIES request is required for STRs and service personnel records, then use the **PIES O50** request code. The single O50 request will notify NPRC to acquire all of the claimant’s available STRs and OMPF records and scan and upload these records into the Veterans Benefits Management System (VBMS) electronic folder (eFolder).

|  |  |
| --- | --- |
| **Screen** | **Input** |
| Main | * Click “Create” on the left-hand side * Enter the file number and Social Security number (SSN), and click “Submit to PIES” * If this is the 1st request for the Veteran, you will be asked if you want to search BIRLS. Click yes. * If this is not the 1st request for the Veteran, the Veteran’s name will show in the “PIES Returned Matches” block. You will then need to click “Submit to BIRLS,” to create a new request. |
| 3101 Page 1 | Input the date of claim and the end product. Once entered, click on the curved black arrow at the top of the screen. |
| 3101 Page 2 | * Ensure you’re on the correct branch of service tab and that all information is correct, to include the service number, if applicable * Select the applicable request (usually O50) from the drop down and click “Add Request.” The request will then show in the block below. * Click the yellow “Submit 3101” box icon in the upper left corner. Message – “Request Submitted Successfully.” |

*Printing Request*

***Important***: After submitting a PIES request for a VBMS claim, upload a copy of the 3101 print into the Veteran’s eFolder to show the request was made.

|  |  |
| --- | --- |
| **Screen** | **Input** |
| Main | * Click “Search Existing” * Enter the file number and SSN; click “Submit to PIES” * Veteran’s information will show in the block below; double click on the Veteran |
| 3101 Page 1 (READ ONLY) | Change your default printer (under Devices and Printers on your computer) to Adobe PDF ***before*** continuing.   * Click “Print 3101” (the printer icon) at the top of the screen * Click on the “Selected Branch” or “All Branches,” whichever applies, then click “OK.” Save the document when prompted. * You will receive a message when printing is complete; click “OK” * Upload the PDF document to the eFolder (document type “Service Personnel Records: VA 21-3101 Request for Information”) |
| 3101 Page 2 (READ ONLY) | The above actions can also be taken on the 3101 Page 2 (READ ONLY) screen. (On the 3101 Page 1 (READ ONLY) screen, click on the curved black arrow at the top of the screen to get to Page 2) |

After submitting a request for records or information through PIES,

* notify the claimant of the request, and
* ask the claimant to provide VA with any relevant records in his/her possession.

***Exception****: Do not take this action if it has already been satisfied by a Section 5103 notice sent to the claimant, or fully developed claim (FDC) submitted by the claimant.*

Topic 2: PIES Request Codes

The most common PIES requests have pre-formatted request codes. The use of these codes is beneficial because it ensures

* the request will be routed to the correct address, and
* the proper record will be retrieved to respond to the request.

***Note***: When no request code exists for the specific information or record required, use request code *O99*, which allows submission of a request in free-text form.

Commonly used codes are listed in the tables below. A list of all PIES Codes can be found in [M21-1, Part III, Subpart iii, 2.D.3](https://vaww.vrm.km.va.gov/system/templates/selfservice/va_kanew/help/agent/locale/en-US/portal/554400000001034/content/554400000014158/M21-1-Part-III-Subpart-iii-Chapter-2-Section-D-Requesting-Information-and-Records-Through-the-Personnel-Information-Exchange-System-PIES?query=%22PIES%20codes%22#3).

Users rarely need to enter an address code when submitting a PIES request, since PIES programming logic performs that function automatically.

***Exception***: Users must manually enter an address code for requests they submit through PIES to

* address code 51 (for certain Coast Guard records), and
* service department retired pay centers.

***Note:*** Code 13 does not use all codes listed. They use only C01, C02, C03, C04, M05, S02, O20, O50 and O99

**Codes “C”** (*Important:* for requests involving eFolders, use the “V” where applicable)

|  |  |
| --- | --- |
| **Code** | **When to Use** |
| C01, C01-V | When inpatient clinical records are needed because outpatient treatment records do not contain any or sufficient documentation about hospitalization.  ***Reference***:  For more information on clinical records, see [M21-1, Part III, Subpart iii, 2.B.4](https://vaww.vrm.km.va.gov/system/templates/selfservice/va_kanew/help/agent/locale/en-US/portal/554400000001034/content/554400000014155/M21-1-Part-III-Subpart-iii-Chapter-2-Section-B-Migration-of-Service-Records-and-the-Procedures-for-Obtaining-Them). |
| C02, C02-V | When post-separation treatment records for retirees are needed.  ***Note:*** Retiree records are all stored under last year treated.  ***Note:*** Claims processors can use JLV to access electronic copies of   * DoD records six weeks after a service member’s discharge, and * records of treatment at any MTF after 2003. |
| C03, C03-V | When the inpatient treatment records of a Veteran’s dependent, who later entered service and is now claiming entitlement to VA benefits, is required.  **Note**: These records are often useful in determining whether a pre-existing disability was aggravated by service. |
| C04, C04-V | When the outpatient treatment records of a Veteran’s dependent, who later entered service and is now claiming entitlement to VA benefits, is required.  **Note**: These records are often useful in determining whether a pre-existing disability was aggravated by service. |

**Codes “M”** (*Important:* for requests involving eFolders, use the “V” code where applicable)

|  |  |
| --- | --- |
| **Code** | **When to Use** |
| M05, M05-V  Medical/Dental & SGOs furnish Medical/Dental (Potential Fire-Related Case). If no medical/dental records or SGOs exist, search sick/morning reports.  **Note: Morning reports for Army – there is very little after 1974** | When requesting records to supplement the medical records of Army and Air Force Veterans that were destroyed in a fire at the NPRC in 1973.  Only submit when an initial PIES request was made and NPRC response requests a copy of NA 13055/13075, DD214, or identifies the claim as fire-related.  *At the time you submit the initial PIES O50 request, a corresponding NA Form 13055/13075 should simultaneously be sent to veteran requesting they provide applicable evidence and return the form within 30 days.*  **Notes**:   * Obtain information from the claimant to complete the sub grid, if necessary, before submitting a request. * Failure to provide sufficient information in the sub grid may result in a negative finding and request to submit an M01 request code. Do not submit the M01 request code. * If the service in question does not meet the definition of fire-related, then use the O50 request code. If an O50 request code has previously been submitted, then no further action is required. * On May 18, 1990, NPRC began automatically searching for records from the Army Surgeon General’s Office (SGO) prior to responding to requests for records/information. |
| M06, M06-V | When documentation contained in the claims folder indicates   * VA submitted a request for records/information to NPRC between * July 13, 1973, and * May 17, 1990, and * NPRC subsequently responded by stating the records/information were destroyed by a fire at the facility (on July 12, 1973).   **Notes**:   * On May 18, 1990, NPRC began automatically searching for SGO records prior to responding to requests for records/information. * If the VALO posts the following response:   Cannot identify a record based on information furnished. If additional information can be obtained, resubmit using PIES request code S02/S02-V,  resubmit the request using the appropriate S02/S02-V request code based on the type of claims folder (paper or eFolder, respectively). |

**Codes “O”** (*Important:* for requests involving eFolders, use the “V” where applicable)

|  |  |
| --- | --- |
| **Code** | **When to Use** |
| O20, O20-V  **Note:**  *Morning reports for Army – there is very little after 1974* | When evidence to support alleged injury or illness of Army and Air Force Veterans is not found in STRs.  **Notes**:   * Ensure that the request includes the complete organizational assignment down to the company level. * If the VALO posts the following response:   Cannot identify a record based on information furnished. If additional information can be obtained, resubmit using PIES request code S02/S02-V,  resubmit the request using the appropriate S02/S02-V request code based on the type of claims folder (paper or eFolder, respectively). **Reference**: For information about the organizational structure of each service department, see [M21-1, Part III, Subpart iii, 2.J.1 through 4](https://vaww.compensation.pension.km.va.gov/system/templates/selfservice/va_ka/#!agent/portal/554400000001034/article/554400000014164/M21-1, Part III, Subpart iii, Chapter 2, Section J - Service Department Organizational Structures and Service Record Address Codes). |
| O38, O38-V | When requesting verification of the evidence of an affiant who alleges personal knowledge of certain occurrences while in service with the Veteran.  **Note**: If a response from the VALO is posted and it reads,  Cannot identify a record based on information furnished. If additional information can be obtained, resubmit using PIES request code S02/S02-V,  then resubmit using the appropriate S02/S02-V request code based on the type of claims folder (paper or eFolder respectively). |
| O50 | When requesting that the entire STR and OMPF be scanned into the eFolder.  ***Note:*** Multiple O50 requests for the same branch of service should not be submitted unless there is evidence that records requested under a previous O50 may now be available. |
| O99 | When a request code for the information/records required does not exist. The user is allowed to compose a request in a “free-text” space.  This code can be used when processing claims in both paper claims folders and eFolders.  **Note**: Request code O99 should be used rarely. |

**Other Codes** (*Important:* for requests involving eFolders, use the “V” where applicable)

|  |  |
| --- | --- |
| **Code** | **When to Use** |
| NG1 | When requesting STRs   * for a Veteran **actively** serving in the National Guard, or * not otherwise located for a Veteran recently separated/retired from a National Guard unit (within the last 12 months). |
| RV1 | When requesting STRs for   * a Veteran **actively** serving in the Reserves, or * records not otherwise located for a Veteran recently separated/retired from a Reserve unit (within the last 12 months). |
| S01 | When verification of active duty is needed. If the only service is active duty for training, the response will indicate that fact.  ***Note***: Request code should only be used when processing a claim in a paper claims folder. |
| S02, S02-V | * When verification of all periods of service is needed, or * when providing additional information to assist in identifying or reconstructing a record that could not be located. |

Topic 3: PIES Status Codes

The table below lists and describes the various PIES overall status codes.

**Note**: Only submit a follow-up PIES request to the [VAVBASTL/RMC/VBMS](mailto:VBMS.VBARMC@va.gov) mailbox if the request status shows Open and the response has been pending at least 45 days.

|  |  |  |
| --- | --- | --- |
| **Code** | **What it Stands for** | **What it Means** |
| CO | **Co**mplete | * There is a response for each part of the request, and * each part of the request has been closed out. |
| DL | **D**e**l**eted | A request has been deleted before   * it was printed at NPRC or RMC, and * the branch-of-service status code was changed to *IP*. |
| IC | **I**n**c**omplete | At least one of the requested items has not been provided. |
| MD | **M**arked for **D**eletion | Shortly after submitting a request, an RO user has decided to delete it.  ***Note:*** if the MARK FOR DELETION icon is active (displaying a red *X*) on the top, left-hand corner of either the 3101 – PAGE 1 or 3101 – PAGE 2 screen, an RO user may remove the request from others that are pending by clicking on the icon. |
| SU | **Su**bmitted | An RO user has submitted a request that NPRC or RMC has not yet printed.  ***Note:*** An RO user may cancel (by clicking on the MARK FOR DELETION icon) any PIES request that is in the status. |

**Checking the Status in PIES**

|  |  |
| --- | --- |
| **Screen** | **Input** |
| Main | * Click “Search Existing” * Enter the file number and SSN; click “Submit to PIES” * Veteran’s information will show in the block below; double click on the Veteran |
| 3101 Page 1 (READ ONLY) | * Input the date of claim and the end product * Click on the curved black arrow at the top of the screen |

|  |  |
| --- | --- |
| 3101 Page 2 (READ ONLY) | * The status/response is shown next to the request that was previously submitted * To review the full message, you can scroll over or print the 3101 to a PDF (the message will look like below.) |



Practical Exercise

Directions: *Please individually complete the following review. You will be allowed 10 minutes to complete this task.*

1. Which request is required for STR’s and personnel related records for VBMS?
2. What is the exception for the address code for requests sent through PIES?
3. Which branch of service corresponds to each listed separation date for Service Treatment Records requests through PIES?
4. prior to January 31, 1994
5. prior to May 1, 1994 (Reserves/NG June 1, 1994)
6. prior to May 1, 1998
7. prior to October 16, 1992
8. prior to May 1, 1994
9. When using PIES to make a records request, which program and screen within that program must be updated prior to creating a request?
10. What must be uploaded into VBMS after the PIES request is submitted?