Claims Folder Maintenance and Claims Jurisdiction

Instructor Lesson Plan

Time Required: 1.5 Hours

**Table of Contents**

[Lesson Description 2](#_Toc443032286)

[Introduction to Claim Jurisdiction and Claims Folder Maintenance 5](#_Toc443032287)

[Topic 1: Claim Folder Maintenance 7](#_Toc443032288)

[Topic 2: Award and Claim Jurisdiction 11](#_Toc443032289)

[Lesson Review, Assessment, and Wrap-up 16](#_Toc443032291)

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| Lesson Description | |
| The information below provides the instructor with an overview of the lesson and the materials that are required to effectively present this instruction. | |
| TMS # | 4178996 |
| Prerequisites | Prior to this lesson, the trainee should have 0-6 months of experience as a Claims Assistant, VSR, or RVSR. No additional prerequisites are needed. |
| target audience | The target audience for Claims Folder Maintenance and Claims Jurisdiction is entry level:  Claims Assistants (CA)  Veteran Service Representative (VSR)  Rating Veteran Service Representative (RVSR)  PMC VSR  PMC RVSR  Decision Review Officer (DRO)  Although this lesson is targeted to teach the entry level CA, VSR, RVSR, PMC VSR, PMC RVSR, DRO employee, it may be taught to other VA personnel as mandatory or refresher type training. |
| Time Required | 1.5 hours |
| Materials/ TRAINING AIDS | Lesson materials:   * Claims Folder Maintenance and Claims Jurisdiction PowerPoint Presentation * Claims Folder Maintenance and Claims Jurisdiction Trainee Handout |
| Training Area/Tools | The following are required to ensure the trainees are able to meet the lesson objectives:   * Classroom or private area suitable for participatory discussions * Seating, writing materials, and writing surfaces for trainee note taking and participation * Handouts, which include a practical exercise * Large writing surface (easel pad, chalkboard, dry erase board, overhead projector, etc.) with appropriate writing materials * Computer with PowerPoint software to present the lesson material   Trainees require access to the following tools:   * VA TMS to complete the assessment * VA Intranet * VA Compensation and Pension Live Manual |
| Pre-Planning | * Become familiar with all training materials by reading the Instructor Lesson Plan while simultaneously reviewing the corresponding PowerPoint slides. This will provide you the opportunity to see the connection between the Lesson Plan and the slides, which will allow for a more structured presentation during the training session. * Become familiar with the content of the trainee handouts and their association to the Lesson Plan. * Practice is the best guarantee of providing a quality presentation. At a minimum, do a complete walkthrough of the presentation to practice coordination between this Lesson Plan, the trainee handouts, and the PowerPoint slides and ensure your timing is on track with the length of the lesson. * Ensure that there are copies of all handouts before the training session. * When required, reserve the training room. * Arrange for equipment such as flip charts, an overhead projector, and any other equipment (as needed). * Talk to people in your office who are most familiar with this topic to collect experiences that you can include as examples in the lesson. * This lesson plan belongs to you. Feel free to highlight headings, key phrases, or other information to help the instruction flow smoothly. Feel free to add any notes or information that you need in the margins. |
| Training Day | * Arrive as early as possible to ensure access to the facility and computers. * Become familiar with the location of restrooms and other facilities that the trainees will require. * Test the computer and projector to ensure they are working properly. * Before class begins, open the PowerPoint presentation to the first slide. This will help to ensure the presentation is functioning properly. * Make sure that a whiteboard or flip chart and the associated markers are available. * The instructor completes a roll call attendance sheet or provides a sign-in sheet to the students. The attendance records are forwarded to the Regional Office Training Managers. |

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| Introduction to Claims Folder Maintenance and Claims Jurisdiction | | | |
| INSTRUCTOR INTRODUCTION | | Complete the following:   * Introduce yourself * Orient learners to the facilities * Ensure that all learners have the required handouts | |
| time required | | 0.25 hours | |
| Purpose of Lesson  Explain the following: | | This lesson is intended to introduce claims processors to claim folder maintenance and claim jurisdiction. This lesson will contain discussions and exercises that will allow you to gain a better understanding of:   * Claims folder maintenance * Award and Claims jurisdiction | |
| Lesson Objectives  Discuss the following:  Slide 2  Handout 2 | In order to accomplish the purpose of this lesson, the trainee will be required to accomplish the following lesson objectives.  Thetraineewill be able to:   * Understand the importance of claims folder maintenance. * Locate the references for claims folder maintenance. * Understand the general policy for claims jurisdiction of living Veterans claims. * Understand how and when to update jurisdiction of a Veteran’s award or claim. * Understand how and when to transfer a claims folder or send it to scanning. | | |
| Explain the following: | Each learning objective is covered in the associated topic. At the conclusion of the lesson, the learning objectives will be reviewed. | | |
| Motivation | By understanding claims folder maintenance, claims processors will be able to organize the Veteran’s claim folder to ensure the received evidence is considered with the claim. Correct claims folder maintenance also protects the Veteran’s personal identifiable information from inappropriate use or distribution.  A general understanding of award and claim jurisdiction is also important to correctly routing claims. It is important to understand how to update award and claims jurisdiction, as failure to do so could result in a delay of the Veteran’s claim. | | |
| STAR Error code(s) | If claims folder maintenance is not completed, it may be possible for the trainee to have an A1 (Were all claimed issues addressed?) STAR error. Given the recent delta updates to VBMS, some document indexing was changed, if the document is mislabeled and as a result, not reviewed during the claims process, a potential claim may be missed.  STAR does not call errors for system compliance; however, System Compliance errors will be called by local QRT for failure to properly update COVERS when receiving or transferring paper claims folders or when flashes and special issues are not applied when necessary. | | |
| References  Slide 3  Handout 3 | Explain where these references are located in the workplace.  All M21-1 references are found in the [Compensation.Pension (CPKM) Portal](https://vaww.vrm.km.va.gov/system/templates/selfservice/va_kanew/help/agent/locale/en-US/portal/554400000001034)   * [M21-1, Part III, Subpart i, Chapter 2, Section B - ROJ And Intake Site Responsibilities](https://vaww.vrm.km.va.gov/system/templates/selfservice/va_kanew/help/agent/locale/en-US/portal/554400000001034/content/554400000014101/M21-1-Part-III-Subpart-i-Chapter-2-Section-B-Division-of-Responsibilities-for-Processing-Benefits-Delivery-at-Discharge-BDD-and-BDD-Excluded-Claims) * [M21-1, Part III, Subpart ii, Chapter 3, Section B - Paper and Electronic Claims Folders](https://vaww.vrm.km.va.gov/system/templates/selfservice/va_kanew/help/agent/locale/en-US/portal/554400000001034/content/554400000014123/M21-1-Part-III-Subpart-ii-Chapter-3-Section-B-Paper-and-Electronic-Claims-Folders) * [M21-1, Part III, Subpart ii, Chapter 4, Section A - Paper Claims Folders Storage and Control](https://vaww.vrm.km.va.gov/system/templates/selfservice/va_kanew/help/agent/locale/en-US/portal/554400000001034/content/554400000014126/M21-1-Part-III-Subpart-ii-Chapter-4-Section-A-Paper-Claims-Folders-Storage-and-Control?query=Paper%20Claims%20Folder%20Storage%20and%20Controlhttps://vaww.vrm.km.va.gov/system/templates/selfservice/va_kanew/help/agent/locale/en-US/portal/554400000001034/content/554400000014126/M21-1-Part-III-Subpart-ii-Chapter-4-Section-A-Paper-Claims-Folders-Storage-and-Control?query=Paper%20Claims%20Folder%20Storage%20and%20Control) * [M21-1, Part III, Subpart ii, Chapter 5, Section D - Permanent Transfer of Claims Folders](https://vaww.vrm.km.va.gov/system/templates/selfservice/va_kanew/help/agent/locale/en-US/portal/554400000001034/content/554400000014139/M21-1-Part-III-Subpart-ii-Chapter-5-Section-D-Permanent-Transfer-of-Claims-Folders?query=Permanent%20Transfer%20of%20Claims%20Folders) * [M21-1, Part III, Subpart ii, Chapter 4, Section G - Folder Maintenance](https://vaww.vrm.km.va.gov/system/templates/selfservice/va_kanew/help/agent/locale/en-US/portal/554400000001034/content/554400000014132/M21-1-Part-III-Subpart-ii-Chapter-4-Section-G-Folder-Maintenance) * [M21-1, Part III, Subpart ii, Chapter 5, Section G - Transferring Electronic Claims and Electronic Claims Folders (eFolders)](https://vaww.vrm.km.va.gov/system/templates/selfservice/va_kanew/help/agent/locale/en-US/portal/554400000001034/content/554400000014142/M21-1,-Part-III,-Subpart-ii,-Chapter-5,-Section-G---Transferring-Electronic-Claims-and-Electronic-Claims--Folders-(eFolders)) * [M21-1, Part III, Subpart ii, Chapter 5, Section A - Jurisdiction Over Claims](https://vaww.vrm.km.va.gov/system/templates/selfservice/va_kanew/help/agent/locale/en-US/portal/554400000001034/content/554400000014136/M21-1-Part-III-Subpart-ii-Chapter-5-Section-A-Jurisdiction-Over-Claims) * [M21-1, Part III, Subpart ii, Chapter 5, Section B - Jurisdiction Over Deceased Veterans’ Claims Folders](https://vaww.vrm.km.va.gov/system/templates/selfservice/va_kanew/help/agent/locale/en-US/portal/554400000001034/content/554400000014137/M21-1-Part-III-Subpart-ii-Chapter-5-Section-B-Jurisdiction-Over-Deceased-Veterans-Claims-Folders) * [NWQ Phase 1 & 2 Playbook (most current version)](https://vaww.vashare.vba.va.gov/sites/OFOPlaybooks/Shared%20Documents/Forms/AllItems.aspx) * [VBMS Home Page – VA Intranet](https://vbaw.vba.va.gov/VBMS/)   + User Guide   + VBMS Job Aid, Working with Annotations   + VBMS Job Aid, Editing Document Properties   + VBMS Job Aid, eFolder Fundamentals: Associating Documents to Claims (Tagging Documents) & Bookmarking Documents | | |
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| Topic 1: Claim Folder Maintenance | | | |
| Introduction | | | This topic familiarizes trainees with how to maintain Veterans claims folder in the paper and eFolder format. |
| Time Required | | | 0.5 hours |
| OBJECTIVES/ Teaching Points | | | Topic objectives:   * Understand the importance of claims folder maintenance. * Locate the references for claims folder maintenance.   The following topic teaching points support the topic objectives:   * Paper claims folder maintenance * eFolder claims maintenance |
| Claims Folders  Slide 5  Handout 4 | | | Veterans Benefits Administration (VBA) uses two formats of claims folders:   * Papers claims folders * Electronic Claims Folders   VBA stated transitioning into paperless environment in 2012 through 2014 as part of the transformation initiative into the VBMS system. During 2017 and 2018, VBA is continuing the paperless transition with the File Bank Extraction (FBE) project which removes Claims Folders and CER Folders from the regional offices for storage by the vendor and eventual upload into VBMS. |
| Claims Folder Maintenance  *Slide 6*  *Handout 4* | | | Proper claim folder maintenance is important in the claims process. Proper claim folder maintenance:   * Is required for proper development * Ensures Veteran’s Personally Identifiable Information (PII) is protected * Maintains the integrity of the claim * Allows for a quick review * Ensures more timely processing of Veteran’s claim |
| Paper Claims Folders  Slide 7  Handout 4 | | | Paper claims folder is the original repository for paper documents related to a single Veteran and associated with a claims folder number.  Most EPs require paper claims folder to be sent for conversion into electronic format. M21-1 III.ii.3.B list these types of claims. Properly requesting paper claims folders for conversion is covered in TMS #4411842, “Review of COVERS, Claims Folder Creation and File Requests” |
| Paper Claims Folder Maintenance  Slide 8  Handout 4-5 | | | RO is responsible for maintaining Veterans claims folders and providing protection of their contents by:   * Avoiding overcrowded claims folders in the file cabinets, * Replacing folders and envelopes that become damaged, * Taking appropriate action to address any misfiled document(s) or folders   Follow procedures in the manual for proper storage and organization of paper claims folders (M21-1 III.ii.4.A), as applicable.  The File Bank Extraction initiative has removed paper claims folders from all regional offices and continues to expand this effort to RMC in FY18. All paper mail received at ROs is also rerouted to CM for paperless processing. |
| **Handling Original Documents** | | | VBA *does not* require return of original documents to the claimant per M21-1, Part III, Subpart, ii, Chapter 1, Section C.  ***Note***:  There is ***no*** mechanism in place to retrieve original documents once shipped to the scanning vendor. |
| Electronic Claims Folder (eFolder)  Slide 9  Handout 5 | | | An eFolder is an electronic repository for scanned documents related to a single Veteran and associated with a claims folder number. The Department of Veterans Affairs maintains eFolders in two systems:   * Veterans Benefits Management System (VBMS), and * Legacy Content Manager (LCM), formerly Virtual VA   This lesson focuses on eFolder maintenance in VBMS, as LCM has its own designated course.  Establish all new claims folders in electronic format, with the exception of:   * All sensitive level 8 claims including, * Witness protection, * Classified claims, and * IDES claims |
| eFolder Maintenance in VBMS  Slide 10  Handout 5-6 | | | The manual provides comprehensive procedures for eFolder maintenance in VBMS:   * [VBMS new mail indicator](https://vaww.vrm.km.va.gov/system/templates/selfservice/va_kanew/help/agent/locale/en-US/portal/554400000001034/content/554400000014132/M21-1-Part-III-Subpart-ii-Chapter-4-Section-G-Folder-Maintenance?query=VBMS%20new%20mail%20indicator) * [converting and uploading a document into portable document format (PDF)](https://vaww.vrm.km.va.gov/system/templates/selfservice/va_kanew/help/agent/locale/en-US/portal/554400000001034/content/554400000014132/M21-1-Part-III-Subpart-ii-Chapter-4-Section-G-Folder-Maintenance?query=VBMS%20new%20mail%20indicator) * [handling misfiled documents that belong to paper claims folders](https://vaww.vrm.km.va.gov/system/templates/selfservice/va_kanew/help/agent/locale/en-US/portal/554400000001034/content/554400000014132/M21-1-Part-III-Subpart-ii-Chapter-4-Section-G-Folder-Maintenance?query=VBMS%20new%20mail%20indicator) * [requesting a document deletion in VBMS](https://vaww.vrm.km.va.gov/system/templates/selfservice/va_kanew/help/agent/locale/en-US/portal/554400000001034/content/554400000014132/M21-1-Part-III-Subpart-ii-Chapter-4-Section-G-Folder-Maintenance?query=VBMS%20new%20mail%20indicator) * [validate the request for document deletion](https://vaww.vrm.km.va.gov/system/templates/selfservice/va_kanew/help/agent/locale/en-US/portal/554400000001034/content/554400000014132/M21-1-Part-III-Subpart-ii-Chapter-4-Section-G-Folder-Maintenance?query=VBMS%20new%20mail%20indicator) * [preparing a document for deletion by the VBMS Office of Information Technology (OIT)](https://vaww.vrm.km.va.gov/system/templates/selfservice/va_kanew/help/agent/locale/en-US/portal/554400000001034/content/554400000014132/M21-1-Part-III-Subpart-ii-Chapter-4-Section-G-Folder-Maintenance?query=VBMS%20new%20mail%20indicator) * [establishing a local mailbox for document error report submissions](https://vaww.vrm.km.va.gov/system/templates/selfservice/va_kanew/help/agent/locale/en-US/portal/554400000001034/content/554400000014132/M21-1-Part-III-Subpart-ii-Chapter-4-Section-G-Folder-Maintenance?query=VBMS%20new%20mail%20indicator) * [eFolder document amendment](https://vaww.vrm.km.va.gov/system/templates/selfservice/va_kanew/help/agent/locale/en-US/portal/554400000001034/content/554400000014132/M21-1-Part-III-Subpart-ii-Chapter-4-Section-G-Folder-Maintenance?query=VBMS%20new%20mail%20indicator) * [removing an incorrectly scanned document](https://vaww.vrm.km.va.gov/system/templates/selfservice/va_kanew/help/agent/locale/en-US/portal/554400000001034/content/554400000014132/M21-1-Part-III-Subpart-ii-Chapter-4-Section-G-Folder-Maintenance?query=VBMS%20new%20mail%20indicator) * [merging documents in VBMS](https://vaww.vrm.km.va.gov/system/templates/selfservice/va_kanew/help/agent/locale/en-US/portal/554400000001034/content/554400000014132/M21-1-Part-III-Subpart-ii-Chapter-4-Section-G-Folder-Maintenance?query=VBMS%20new%20mail%20indicator) * [splitting documents in VBMS](https://vaww.vrm.km.va.gov/system/templates/selfservice/va_kanew/help/agent/locale/en-US/portal/554400000001034/content/554400000014132/M21-1-Part-III-Subpart-ii-Chapter-4-Section-G-Folder-Maintenance?query=VBMS%20new%20mail%20indicator) * [associating an eFolder document to a claim](https://vaww.vrm.km.va.gov/system/templates/selfservice/va_kanew/help/agent/locale/en-US/portal/554400000001034/content/554400000014132/M21-1-Part-III-Subpart-ii-Chapter-4-Section-G-Folder-Maintenance?query=VBMS%20new%20mail%20indicator) * [associating an eFolder note](https://vaww.vrm.km.va.gov/system/templates/selfservice/va_kanew/help/agent/locale/en-US/portal/554400000001034/content/554400000014132/M21-1-Part-III-Subpart-ii-Chapter-4-Section-G-Folder-Maintenance?query=VBMS%20new%20mail%20indicator) * [bookmarking an eFolder document](https://vaww.vrm.km.va.gov/system/templates/selfservice/va_kanew/help/agent/locale/en-US/portal/554400000001034/content/554400000014132/M21-1-Part-III-Subpart-ii-Chapter-4-Section-G-Folder-Maintenance?query=VBMS%20new%20mail%20indicator) * [annotating documents in VBMS](https://vaww.vrm.km.va.gov/system/templates/selfservice/va_kanew/help/agent/locale/en-US/portal/554400000001034/content/554400000014132/M21-1-Part-III-Subpart-ii-Chapter-4-Section-G-Folder-Maintenance?query=VBMS%20new%20mail%20indicator) * [designating a document as no evidentiary value](https://vaww.vrm.km.va.gov/system/templates/selfservice/va_kanew/help/agent/locale/en-US/portal/554400000001034/content/554400000014132/M21-1-Part-III-Subpart-ii-Chapter-4-Section-G-Folder-Maintenance?query=VBMS%20new%20mail%20indicator) * [managing a duplicate eFolder document](https://vaww.vrm.km.va.gov/system/templates/selfservice/va_kanew/help/agent/locale/en-US/portal/554400000001034/content/554400000014132/M21-1-Part-III-Subpart-ii-Chapter-4-Section-G-Folder-Maintenance?query=VBMS%20new%20mail%20indicator) * [indexing a document in VBMS](https://vaww.vrm.km.va.gov/system/templates/selfservice/va_kanew/help/agent/locale/en-US/portal/554400000001034/content/554400000014132/M21-1-Part-III-Subpart-ii-Chapter-4-Section-G-Folder-Maintenance?query=VBMS%20new%20mail%20indicator) * [using the document’s subject as a note](https://vaww.vrm.km.va.gov/system/templates/selfservice/va_kanew/help/agent/locale/en-US/portal/554400000001034/content/554400000014132/M21-1-Part-III-Subpart-ii-Chapter-4-Section-G-Folder-Maintenance?query=VBMS%20new%20mail%20indicator), and * [manually removing the pending scanning banner](https://vaww.vrm.km.va.gov/system/templates/selfservice/va_kanew/help/agent/locale/en-US/portal/554400000001034/content/554400000014132/M21-1-Part-III-Subpart-ii-Chapter-4-Section-G-Folder-Maintenance?query=VBMS%20new%20mail%20indicator).   Proper procedures should be followed to ensure timely processing of Veterans claims. |
| eFolder Maintenance Issues  Slide 11  Handout 6 | | | Some of the most common types of maintenance issues with eFolders:   * Failure to complete **bottom-to-top review**. This could result in missing claimed issues, missing pertinent evidence, and could delay the Veteran’s claim. The bottom-to-top review allows the claims processor to become familiar with the claim history which helps ensure accurate processing. * Lack of **proper indexing of document types**. Although most indexing is completed by contracted scanners, there will be times claims processors must upload and index documents (for example VA Form 27-0820, emails, etc.). Familiarity with document types is important as documents should be indexed appropriately. This helps claims processors easily identify evidence in the claims file. Update index of document through document properties. * Lack of **“Tabbing” of documents.** This allows more detailed information about the document to be viewed in the documents screen. “Tabbing” of documents can be done through bookmarking or through use of the subject line. Bookmarking is most useful to identify medical references, appeal documents, or for working notes. Use of the subject line is most useful to identify more information of the document type, for example, Non-Federal Medical Records could be further identified by the doctor’s name in the subject line. * **Documents with multiple PII** that is not redacted. Requests for personnel records is common with certain types of claims. Some of the records contain other Veterans information, to which it must be redacted. Follow procedures in the manual for proper redaction of records. * **Misfiled documents requiring a split process.** During review of a claims file, you may find another Veteran’s document in the process. Procedures for dealing with such issue are detailed in III.ii.4.G. It is important proper procedures are followed as failure to do so could result in delay in the Veteran’s claim, and potentially result in a claim for the other affected Veteran. Please note: AdobePro is a required application to complete a document split function and individual users (such as claims assistants) may not have this access. |
| DEMONSTRATION | | | Show trainees the section of the manual about eFolder claim maintenance. Show trainees where to locate Job Aids.  Specify to Claims Assistants that splitting of documents may require assistance from an Intake Analyst or other VSR. |

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| Topic 2: Award and Claim Jurisdiction | |
| Introduction | This topic will familiarize trainees to claims jurisdiction process |
| Time Required | 0.5 hours |
| OBJECTIVES/ Teaching Points | Topic objectives:   * Understand the general policy for claims jurisdiction and award jurisdiction of living Veterans claims. * Understand when to PTO or TTO a claims folder.   The following topic teaching points support the topic objectives:   * General information on jurisdiction policy. * Exceptions to general policy for award and claims jurisdiction. * Permanent transfers of claims files. * Temporary transfers of claims files. |
| General Policy of Award/Claim Jurisdiction  Slide 13-14  Handout 7 | VBA manages claims folders for living and deceased Veterans. These claims are worked in what is called jurisdictions. The general policy for **award jurisdiction** is as follows:   * Living Veteran – generally assigned to the geographical area to which the Veteran maintains a permanent address and is under the jurisdiction of a Regional Office (RO) or Pension Maintenance Center (PMC) * Deceased Veteran – generally, unless otherwise specified, assigned to RO or PMC in the same geographical area as the location of the primary claimant   Generally, **claim jurisdiction** for living Veterans are controlled by National Work Queue. NWQ encompasses all existing and future rating claims, and certain non-rating claims established in VBMS, and distributes the claims to each RO’s VBMS work queue. NWQ operates on routing rules which rely, in part, on claim and Veteran-level attributes. Attributes include corporate flashes, claim labels, and special issues. |
| Exceptions to General Policy of Claim Jurisdiction  Slide 15  Handout 7 | Exceptions to the general policy of claim jurisdiction exist, meaning some cases that involve special issues or circumstances fall under temporary or permanent jurisdiction of certain ROs or centers.   * Review M21-1 III.ii.5.A offer an extensive list of exceptions which involve a special mission or circumstance   NWQ removes the requirement to update claims folder jurisdiction in many cases because veteran’s claims are automatically routed based on claim attributes, regional office capacity, and zip code. The Playbook does include instructions for routing some claims including: RACC, special issues, and foreign claims. |
| Procedures for Award/Claim Jurisdictional Updates  Slide 16-18  *Handout 7-8* | Effective October 19, 2015 COVERS no longer automatically updates station of jurisdiction awards or pending claims when a folder is transferred. IMPORTANT: Award jurisdiction is updated only when a user completes a manual update in COVERS using the Corporate/BDN tab  The broker function in VBMS is the best practice for updating temporary claim jurisdiction. Claims transfers to other offices should be approved by a supervisor. Follow the steps in III.ii.5.G to transfer electronic claims.  **Station of Jurisdiction Update Process Beginning October 19, 2015:**  Award Jurisdiction:   * The Regional Office of Jurisdiction for a Veteran’s award record * Generally, the station closest to the Veteran’s residence * Traditionally, the station where the Veteran’s paper claims file was located * The station receives automated work items * Set at the time the original claim is established by the station creating the claim * Updated only when a user completes a manual update in COVERS using the Corporate/BDN tab   Claim Jurisdiction:   * The office responsible for working the claim * Isolates access to the claim for development and award processing to a single station * Initially set to match the location of the person establishing the claim * Updated, for selected categories, by the National Work Queue * Updated, as required, when a regional office user completes a manual update in COVERS using the Corporate/BDN tab * Does not have to match Award jurisdiction   Temporary Claim Jurisdiction:   * No functionality to set or update temporary claim jurisdiction in COVERS * Users may use VBMS to broker claims not controlled by the NWQ |
| Permanent Transfer of Claims Folders (Award Jurisdiction Update)  Slide 19  Handout 8 | Regional Offices (RO) should not transfer claims of any type, including but not limited to, rating, non-rating, appeals, work items, and claims received in Centralized Mail (CM) to another RO’s jurisdiction based solely on where the Veteran resides unless directed by the Office of Field Operations (OFO).  Exceptions: Permanent transfer claim folders under any of the conditions listed in M21-1.III.ii.5.D, including:   * special issues or special missions, * a claimant moves to or resides at a location with an Army Post Office (APO) or Fleet Post Office (FPO) indicating that the Veteran resides outside of the U.S. and its territories, * the beneficiary resides outside of the U.S. and its territories, and the necessary action involves a pension or survivors benefit determination, * the Veteran resides in the Philippines or the Veteran’s claim is based on service with the Commonwealth Army of the Philippines, Special Philippines Scouts, or alleged or recognized guerillas, * a pending claim or appeal that requires a personal hearing * claims or appeals for homeless Veterans * another office requires the claims folder for litigation involving insurance benefits, or * Central Office (CO) reassigns jurisdiction.   **Important**:   * Do **not** routinely permanently transfer claims folders from the station of jurisdiction (SOJ) when the claim has been redistributed from the station of origination (SOO) as part of a national workload redistribution strategy. |
| **Sending Paper Claim Folders to Authorized Scanning Facilities**    Slide 20  Handout 9 | Paper claims folders should not be sent to any location other than an authorized scanning facility, unless otherwise directed by OFO.  ***Exceptions***: Paper claims folders may be shipped to other locations, with a reason and applicable tracking number documented in VBMS notes, in the scenarios listed in M21-1.III.ii.5.D.  The use of the Control of Veterans Records System (COVERS) application is required for controlling the physical location of a paper claims folder within an RO. |
| **Transfer of Employee-Veteran Claims Folders to RACCs** | In most cases, Restricted Access Claims Centers (RACCs) have jurisdiction for active employee-Veteran claims folders and related VA records.  Refer to manual reference M21-1.III.ii.4.Ato ensure proper sensitization of employee, employee family, and other claims folders, to ensure limited access to such claims.  Follow the instruction in M21-1 III.ii.5.D to determine when to transfer a claims folder to RACC. |
| **Permanent Transfer-Out or Transfer-In of Paper Claims Folders**  Slide 21  *Handout 9-10* | Requests for the permanent transfer-in of paper claims folders can be made to   * other ROs * the Records Management Center (RMC), or * Federal Records Centers (FRCs).   **Important**: Paper claims folders must **not** be transferred between ROs unless there is an authorized exception from scanning requirements. For more information regarding the guidance for sending paper claims folders to scanning facilities, to include exceptions, see [M21-1, Part III, Subpart ii, 5.D.1](https://vaww.compensation.pension.km.va.gov/system/templates/selfservice/va_ka/#!agent/portal/554400000001034/article/554400000014139/M21-1, Part III, Subpart ii, Chapter 5, Section D - Permanent Transfer of Claims Folders).  **Note**: RMC will use the VBMS corporate flash as an indicator to ship the claims folder for scanning and ensure the claims folder is uploaded into the VBMS electronic claims folder (eFolder).  ***Important***: In addition to the actions taken in COVERS, the request must be documented by creation of a “Physical Claims File Requested” (III.ii.5.E) or “Requested Claims Folder” (III.ii.5.D) tracked item in VBMS.  Requests for transfer of a paper claims folder from an FRC are submitted through the National Archives and Records Administration’s (NARA’s) Archives and Records Centers Information System (ARCIS). Additional information on requesting records from FRC locations is available in the manual. |
| Temporary Transfer of Claims Folders  Slide 22  *Handout 10* | National Work Queue and increased paperless processing has eliminated the need for temporary transfer of claims folder in most cases. Temporary claim jurisdiction is automatically assigned by NWQ based on workload management and can be updated through the “broker”function in VBMS. See M21-1 III.ii.5, Transferring Electronic Claims and Electronic Claims Folders.  In a temporary transfer, a regional office (RO) lends an electronic claim or a paper claims folder to another Department of Veterans Affairs (VA) facility for a limited length of time.   * In a temporary transfer, the transferring office retains jurisdiction of the electronic claim or paper claims folder as the station of origination (SOO), and * receiving office accepts jurisdiction of the electronic claim or paper claims folder as the station of jurisdiction (SOJ). |
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| DEMONSTRATION | Demonstrate using SHARE, VBMS and COVERS how to determine the jurisdiction, as well as claims location and history. Review exceptions with the trainees and familiarize them with where to find them.  Be sure to show the broker process in VBMS as it is used by Claims Assistant when sending an EP510 to RMC for centralized processing.  More information regarding requesting claims folder is provided in the COVERS TMS course. |

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| Lesson Review, Assessment, and Wrap-up | |
| Introduction  Discuss the following: | The Claims Folder Maintenance and Claims Jurisdiction lesson is complete.  Review each lesson objective and ask the trainees for any questions or comments. |
| Time Required | 0.25 hours |
| Lesson Objectives | You have completed the Claims Folder Maintenance and Claims Jurisdiction lesson.  The trainee should be able to:   * Understand the importance of claims folder maintenance. * Locate the references for claims folder maintenance. * Understand the general policy for award and claims jurisdiction of living Veterans claims. * Understand how and when to update jurisdiction of a veteran’s award or claim. * Understand how and when to transfer a claims folder or send to scanning |
| Assessment | Remind the trainees to complete the on-line assessment in TMS to receive credit for completion of the course.  The assessment will allow the participants to demonstrate their understanding of the information presented in this lesson. |