



Closing Field Examinations

Pension and Fiduciary Service
October 2018




Objectives

- Review a field examination for completeness
- Certify a fiduciary appointment in BFFS
- Input and authorize a fiduciary fee in BFFS
- Finalize correspondence and documentation
- Upload documents to eFolder
- Update BFFS beneficiary record and schedule future control
- Explain requirements for a properly titled account
- Update corporate record and process change of fiduciary command (CFID)
- Select and close a work item (WI) in BFFS



References


- FPM 2.B.1.b, *Content Requirements for Requests*
- FPM 2.D.4.m, *Determining a Fiduciary for a Beneficiary with a Previously Established Court Appointment*
- FPM 2.D.7, *Authorizing Fees for Fiduciaries*
- FPM 2.D.9, *Follow-up Actions for Adult Beneficiaries*
- FPM 2.I, *Field Examination Documentation*
- FPM 3.B.1, *When a Fiduciary Must Account*
- FPM 3.D.5.b, *Verification of Accounts, and Funds Under Management*

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FPG Articles and Guides

- FPG, *Field Examination Submission*
- FPG, *Field Examination Analysis*
- FPG, *Fiduciary Appointment and Fiduciary Fee Approval and Review*
- FPG, *Creating Letters and Forms from FELux*
- FPG, *Beneficiary Record*
- FPG, *Fiduciary Record Management*
- FPG, *BFFS Tasks*
- Share User Guide
- VBMS User Guide


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Review for Completeness


- Evidence of how field examination initiated
- Field examination report
- Supporting documentation

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Appoint Fiduciary


- Letters of Appointment (Certified copy if applicable)
- Certification of fiduciary in BFFS
- VA Form 21P-555, *Certificate of Legal Capacity to Receive and Disburse Benefits and Fee Authorization*




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 **Fiduciary Fees**


- Maximum of 4% for fiduciary services
- Approved in BFFS by hub manager or designee
- VA Form 21P-555, *Certificate of Legal Capacity to Receive and Disburse Benefits and Fee Authorization*
- Beneficiary Fee Notice Letter
- Fiduciary Fee Notice Letter




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 **Notification Letters**


- Fiduciary Notification Letter
- Beneficiary Notification Letter
- Beneficiary Bond Notification Letter (if applicable)
- Successor Initial Appointment Letter




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 **Uploading to the eFolder**

- BFFS documents stored for three months
- All documents must be stored in the eFolder




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Update BFFS Beneficiary Record

- Update Beneficiary
- Review all beneficiary and fiduciary record fields
- Manual input as needed




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Schedule Future Control

- Diary Date
- System Proposed
- Future field examination diary dates
- Future accounting diary dates




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Future Field Examinations


Type of Examination	Scheduling Requirements
First follow-up field examination	One year after the Initial Appointment (IA) field examination
Subsequent follow-up field examination	<ul style="list-style-type: none"> • 12 months in poor situations • 13–24 months in good situations, and • 25–36 months in excellent situations.
Streamlined field examinations	<ul style="list-style-type: none"> • 24 months for qualifying future Streamlined Supervision case in an excellent situation • 36 months for a spouse payee and Medicaid \$90 in an excellent situation
SDP Beneficiaries	<ul style="list-style-type: none"> • First follow-up within 6 months • Follow-up every year or less thereafter
Temporary Fiduciaries	<ul style="list-style-type: none"> • SIA exam/appointment within 120 days

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 **Future Accountings**

- Annually, or less on case-by-case basis
- Fiduciaries required to account:
 - Funds under management exceeds \$10,000
 - Fiduciary deducts a VA-authorized fee
 - VA benefits equal to or exceeding 100% disability rating
 - Upon death of a beneficiary with no valid will or heirs whose FUM would forfeit to a State
 - Appointment of temporary fiduciary
 - To determine proper administration of VA benefits


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 **Tasks**

- Properly titled accounts
- Receipt of bond
- Memo for competency review
- Transfer of funds
- Reduction/increase in VA benefits




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 **Properly Titled Accounts**


- Properly registered checking or savings
- (Beneficiary's Name), by (Fiduciary's Name), Federal Fiduciary
- Confirmed at accounting or next field exam

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Change of Fiduciary Command

- Appropriate use of CFID
- Execute CFID in Share
- Types of fiduciary designations in Share
- Share User Guide:
<http://css.vba.va.gov/Share/>




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Select and Close Work Item

- Navigate to WI Queues in BFFS
- Review field examination and documentation
- Complete actions to close examination in BFFS
 - Confirm updates to beneficiary record (push)
 - Update Fiduciary Record Manually
 - Confirm 555/0520 boxes selected
 - Ensure proper FE credit
- Select complete exam




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Processing Work Items

Field Examination Type	Work Item	FPG Article
Initial Appointment (Adult)	511	Processing Adult Initial Appointment Work Items
Initial Appointment (Minor)	516	Processing Minor Initial Appointment Work Items
Successor Initial Appointment	513	Processing Successor Initial Appointment Work Items
Scheduled/Unscheduled Follow-up	521/522	Processing Follow Up Field Examinations
Streamlined Follow-up	531	Streamlined Field Examinations
Non-Program Examination	540	Processing Non-Program Work Items


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 **Questions?**



- Review for Completeness
- Appoint Fiduciary
- Fiduciary Fees
- Notification Letters
- Uploading to the eFolder
- Update BFFS Beneficiary Record
- Schedule Future Control
- Future Field Examinations, Accountings, and Tasks
- Properly Titled Accounts
- Change of Fiduciary Command
- Select and Close Work Item
- Processing Work Items

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 **TMS Survey and Assessment**

- An assessment and satisfaction survey have been assigned to you in TMS.
- You must pass the assessment prior to completing the survey.
- Be sure to complete the survey in TMS to receive credit for this training.

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