



PENSION AND FIDUCIARY SERVICE

PMC VSR Advanced Core Course
Phase 5: Stages of a Claim
Part 2: Process a Claim

Phase 5, Part 2 Knowledge Check Preparation

Trainee Guide

January 30, 2017

Version 1.0

**Phase 5, Part 2 Knowledge Check Preparation
Trainee Guide**

Phase 5, Part 2 Knowledge Check Preparation

Lesson Overview

Topic	Description
Time Estimate:	1 hour
Purpose of the Knowledge Check Preparation:	This knowledge check preparation is part of the entry-level curriculum, Core Course for PMC VSRs. The purpose of this knowledge check preparation is to prepare you to take the Phase 5, Part 2 Knowledge Check.
Prerequisite Training Requirements:	Prior to taking the Phase 5, Part 2 Knowledge Check Preparation, you must complete PMC VSR Core Course Phase 1–4 and Phase 5, Parts 1 and 2. Refer to the PMC VSR Program Of Instruction (POI) for a list of lessons.
Target Audience:	This knowledge check preparation is for entry-level PMC VSRs.
References:	<ul style="list-style-type: none">• Compensation and Pension Knowledge Management (CPKM)• M21-1 III.iii.1.B (Evidence Requested from the Claimant)• 38 CFR 3.159 (VA Assistance in Developing Claims)• M21-1 III.iii.1.A.1 (VA's Duty to Assist)• Public Law (PL) 106-475 (Veterans Claims Assistance Act of 2000)• M21-1 III.iii.1.B.1.b (Notice of Time Limits to Submit Evidence)• M21-1 III.iii.1.A.1.d (Handling Concurrent Development Actions)• M21-1 III.iii.1.B.1.c (Claims Development by E-Mail, Fax, and Telephone)• M21-1 III.iii.1.B.1.d (Documenting Information Received by Telephone)• M21-1 III.iii.1.B.2.a (Time Limit for Responding to a Request)• VA Form 27-0820 (Report of General Information)

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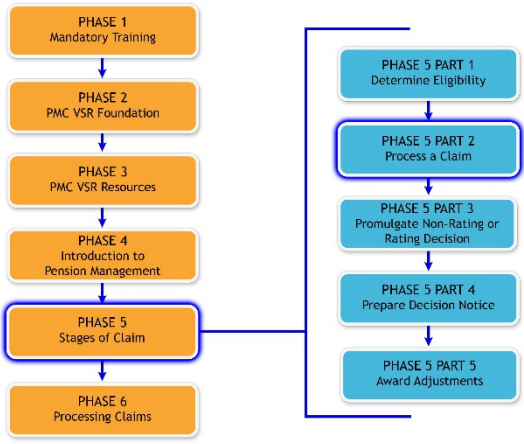
Topic	Description
	<ul style="list-style-type: none"> • M21-1 III.iii.1.B.1.a (Written Requests for Evidence) • M21-1 III.iii.1.C (Requesting Evidence From Sources Other Than the Claimant) • M21-1 I.1.C (Requesting Records) • M21-1 III.v.9.B.4.a (Effect of the Brady Act on Incompetent Beneficiaries) • M21-1 III.v.9.B.4.b (Notifying Affected Beneficiaries) • M21-1 III.v.9.B.2.a (Competency and Incompetency Determinations) • M21-1 III.v.9.B.2.c (Claimants Who Become Entitled to Benefits Before the Rating Activity Makes a Final Determination Regarding Competency) • M21-1 III.v.9.B.2.b (Processing Evidence of Incompetency That Does Not Involve a Judicial Determination) • M21-1 III.v.9.A.1.a (Circumstances Under Which It Is Appropriate to Request the Appointment [Certification] of a Fiduciary) • M21-1 III.v.9.A.1.c (Preparing VA Form 21-592 to Request the Appointment of a Fiduciary) • M21-1 III.v.9.A.1.d (Item by Item Instructions for Completing VA Form 21-592 in Virtual VA) • M21-1 III.v.9.B.2.g (Processing a Judicial Determination of Incompetency for a Veteran) • M21-1 III.v.9.B.5.b (Reopened Awards and SDP Appointment) • M21-1 III.v.9.B.3.h (Processing Additional Evidence From a Beneficiary or a Beneficiary's Request for a Hearing)
Technical Competencies:	<ul style="list-style-type: none"> • Program Benefits and Eligibility (PMC VSR) • VBA Applications (PMC VSR) • Processing Claims (PMC VSR)

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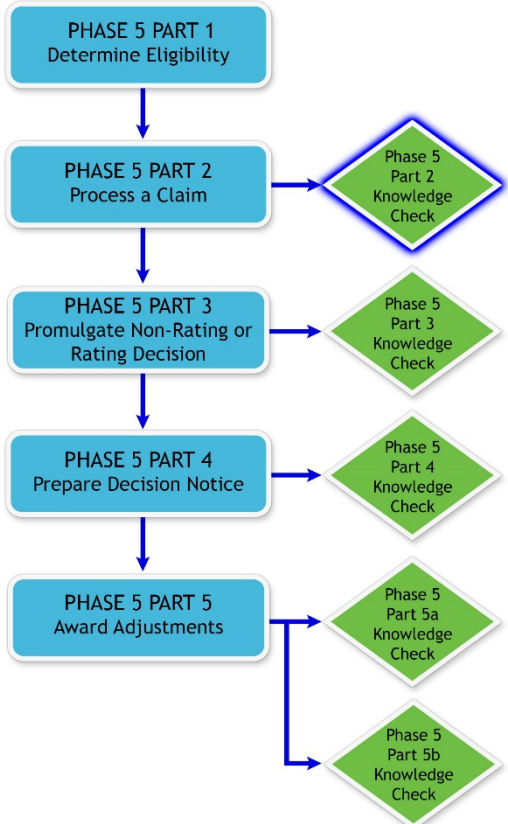
Topic	Description
Knowledge Check:	Phase 5, Part 2: Process a Claim Knowledge Check
What You Need:	<ul style="list-style-type: none"> • Job aids from the VSR Assistant: <ul style="list-style-type: none"> ○ Develop for Missing Information/Evidence job aid ○ Request Appointment of a Fiduciary job aid ○ Pension Systems and Applications job aid • Appendix A: Worksheet • Appendix B: Question and Answer Worksheet • Slides • Access to the following demo systems: <ul style="list-style-type: none"> ○ VVA ○ VBMS • Access to CPKM • Access to VSR Assistant

PowerPoint Slides	Notes
Phase 5, Part 2: Knowledge Check Preparation	

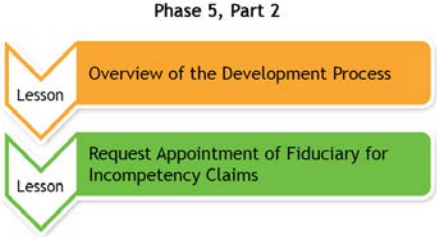
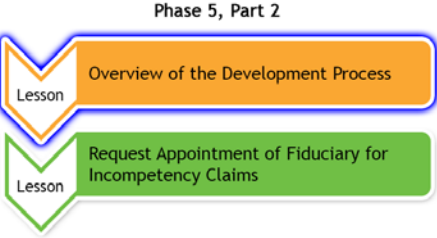
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PowerPoint Slides	Notes
<p>You Are Here</p>  <pre>graph TD; P1[PHASE 1 Mandatory Training] --> P2[PHASE 2 PMC VSR Foundation]; P2 --> P3[PHASE 3 PMC VSR Resources]; P3 --> P4[PHASE 4 Introduction to Pension Management]; P4 --> P5[PHASE 5 Stages of Claim]; P5 --> P6[PHASE 6 Processing Claims]; P5 --- P5P1[PHASE 5 PART 1 Determine Eligibility]; P5P1 --> P5P2[PHASE 5 PART 2 Process a Claim]; P5P2 --> P5P3[PHASE 5 PART 3 Promulgate Non-Rating or Rating Decision]; P5P3 --> P5P4[PHASE 5 PART 4 Prepare Decision Notice]; P5P4 --> P5P5[PHASE 5 PART 5 Award Adjustments];</pre>	
<p>Why It Matters!</p> <p>PMC VSRs review all pieces of information and evidence to determine the type of claim and how it should be processed. This includes:</p> <ul style="list-style-type: none">• Developing for information/evidence needed to fulfill duty to assist for various types of claims• Requesting appointment of a fiduciary for an incompetency claim	

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PowerPoint Slides	Notes
<p>Knowledge Check</p>  <pre> graph TD A[PHASE 5 PART 1 Determine Eligibility] --> B[PHASE 5 PART 2 Process a Claim] B --> C[PHASE 5 PART 3 Promulgate Non-Rating or Rating Decision] C --> D[PHASE 5 PART 4 Prepare Decision Notice] D --> E[PHASE 5 PART 5 Award Adjustments] B --> B1{Phase 5 Part 2 Knowledge Check} C --> C1{Phase 5 Part 3 Knowledge Check} D --> D1{Phase 5 Part 4 Knowledge Check} E --> E1{Phase 5 Part 5a Knowledge Check} E --> E2{Phase 5 Part 5b Knowledge Check} </pre> <p>The flowchart illustrates the sequential steps of Phase 5. It begins with 'PHASE 5 PART 1: Determine Eligibility', followed by 'PHASE 5 PART 2: Process a Claim', 'PHASE 5 PART 3: Promulgate Non-Rating or Rating Decision', 'PHASE 5 PART 4: Prepare Decision Notice', and 'PHASE 5 PART 5: Award Adjustments'. Each step from Part 2 to Part 5 is accompanied by a corresponding 'Knowledge Check' diamond. Part 5 is further divided into two sub-checks: 'Part 5a' and 'Part 5b'.</p>	
<p>Knowledge Check Preparation Overview</p> <p>This preparation will consist of the following:</p> <ul style="list-style-type: none"> • Lesson objectives review • Partner activities • Question/answer forum 	

**Phase 5, Part 2 Knowledge Check Preparation
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PowerPoint Slides	Notes
<p>Phase 5, Part 2 Lessons</p>  <p>Phase 5, Part 2</p> <p>Lesson Overview of the Development Process</p> <p>Lesson Request Appointment of Fiduciary for Incompetency Claims</p>	
<p>Overview of the Development Process</p> <ul style="list-style-type: none">• Develop for information/evidence needed to fulfill duty to assist.• Objectives:<ul style="list-style-type: none">○ Define key terms used by PMC VSRs in development of a claim.○ Describe the common steps in development.  <p>Phase 5, Part 2</p> <p>Lesson Overview of the Development Process</p> <p>Lesson Request Appointment of Fiduciary for Incompetency Claims</p>	

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PowerPoint Slides	Notes
<p>Overview of the Development Process Question Writing Opportunity</p> <ul style="list-style-type: none">• Instructions:<ul style="list-style-type: none">○ Use Appendix B: Question and Answer Worksheet to write any questions regarding overview of the development process.○ Questions will be answered at the end of this preparation.• Time allowed: 5 minutes	
<p>Matching Activity—Key Terms Used When Developing a Claim</p> <ul style="list-style-type: none">• Instructions:<ul style="list-style-type: none">○ Match the terms with the correct description provided in Appendix A: Part A—Key Terms Used When Developing a Claim.○ Use the Develop for Missing Information/Evidence job aid to assist in matching the terms.○ Compare your finished activity with another trainee in the class.• Time allowed: 5 minutes	

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PowerPoint Slides	Notes
<p>Matching Activity—Key Terms Used When Developing a Claim Answers (1 of 2)</p> <ol style="list-style-type: none">1. Non-evidentiary facts used to substantiate the claim.2. Request for documentation from state government, local government, and privately held entity.3. Help claimant obtain information or evidence to substantiate the claim.4. Provided by a nonexpert who has knowledge of facts or circumstances and conveys matters that can be observed.	
<p>Matching Activity—Key Terms Used When Developing a Claim Answers (2 of 2)</p> <ol style="list-style-type: none">5. Provided by a person who is qualified through education, training, or experience to offer medical diagnoses, statements, or opinions.6. Provide a notice of any information or evidence needed to substantiate the claim.7. Request for documentation from Social Security Administration (SSA), VA Medical Centers (VAMCs), or National Personnel Records Center (NPRC).	

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PowerPoint Slides	Notes
<p>Group Activity—What’s Your Next Step?</p> <ul style="list-style-type: none">• Instructions:<ul style="list-style-type: none">○ Divide into groups of three.○ Review Claim 1, Claim 2, and Claim 3.○ Use the Develop for Missing Information/Evidence job aid.○ Complete Appendix A: Part B—Overview of the Development Process—What’s Your Next Step? Worksheet and decide what would be the next step in the development process.○ Be prepared to share your finished activity with other groups.• Time allowed: 15 minutes	

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PowerPoint Slides	Notes
<p>Group Activity—What’s Your Next Step? Claim 1 Answers</p> <p>1. Based on your review, do you need to contact the claimant?</p> <ul style="list-style-type: none">○ <i>Answer provided by instructor based on example claim selected.</i> <p>2. What evidence is needed, if any, to continue processing the claim?</p> <ul style="list-style-type: none">○ <i>Answer provided by instructor based on example claim selected.</i> <p>3. If evidence needs to be requested, what is the deadline for evidence to be received?</p> <ul style="list-style-type: none">○ <i>Answer provided by instructor based on example claim selected.</i>	

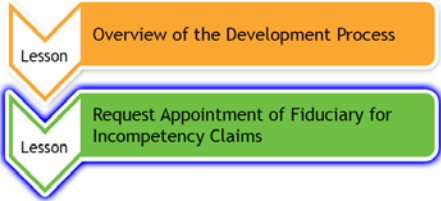
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PowerPoint Slides	Notes
<p>Group Activity—What’s Your Next Step? Claim 2 Answers</p> <ol style="list-style-type: none">1. Based on your review, do you need to contact the claimant?<ul style="list-style-type: none">○ <i>Answer provided by instructor based on example claim selected.</i>2. What evidence is needed, if any, to continue processing the claim?<ul style="list-style-type: none">○ <i>Answer provided by instructor based on example claim selected.</i>3. If evidence needs to be requested, what is the deadline for evidence to be received?<ul style="list-style-type: none">○ <i>Answer provided by instructor based on example claim selected.</i>	

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PowerPoint Slides	Notes
<p>Group Activity—What’s Your Next Step? Claim 3 Answers</p> <ol style="list-style-type: none">1. Based on your review, do you need to contact the claimant?<ul style="list-style-type: none">○ <i>Answer provided by instructor based on example claim selected.</i>2. What evidence is needed, if any, to continue processing the claim?<ul style="list-style-type: none">○ <i>Answer provided by instructor based on example claim selected.</i>3. If evidence needs to be requested, what is the deadline for evidence to be received?<ul style="list-style-type: none">○ <i>Answer provided by instructor based on example claim selected.</i>	

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PowerPoint Slides	Notes
<p>Request Appointment of Fiduciary for Incompetency Claims</p> <ul style="list-style-type: none">• You will have pension claims that indicate a beneficiary may be incompetent and a fiduciary may need to be appointed.• Request Appointment of Fiduciary objectives:<ul style="list-style-type: none">○ Request appointment of a fiduciary for an incompetency claim.<ul style="list-style-type: none">▪ Recognize incompetency indicators.▪ Confirm beneficiary has been proposed incompetent by the RVSR.▪ Process award.▪ Identify the elements of the proposed notice of incompetency rating. <p style="text-align: center;">Phase 5, Part 2</p> 	


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PowerPoint Slides	Notes
<p>Request Appointment of Fiduciary Question Writing Opportunity</p> <ul style="list-style-type: none">• Instructions:<ul style="list-style-type: none">○ Use Appendix B: Question and Answer Worksheet to write any questions regarding requesting appointment of a fiduciary.○ Questions will be answered at the end of the knowledge check preparation.• Time allowed: 5 minutes	
<p>Group Activity—Request Appointment of a Fiduciary</p> <ul style="list-style-type: none">• Instructions:<ul style="list-style-type: none">○ Divide into groups of three.○ Review Claim 4.○ Complete Appendix A: Part C—Request Appointment of a Fiduciary Worksheet using the references provided in the exercise.○ Be prepared to share your finished activity with other groups.• Time allowed: 10 minutes	

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PowerPoint Slides	Notes
<p>Partner Activity—Request Appointment of a Fiduciary Claim Answers</p> <ol style="list-style-type: none">1. Does the claim indicate incompetency? Explain why or why not.<ul style="list-style-type: none">○ <i>Answer provided by instructor based on example claim selected.</i>2. Does the beneficiary have a proposed rating of incompetency?<ul style="list-style-type: none">○ <i>Answer provided by instructor based on example claim selected.</i>3. What information should you include when notifying the beneficiary of the Brady Bill?<ul style="list-style-type: none">○ <i>Answer provided by instructor based on example claim selected.</i>4. Based on the information in the claim, do you need to prepare VA Form 21-592, Request for Appointment of a Fiduciary, Custodian or Guardian? Explain why or why not.<ul style="list-style-type: none">○ <i>Answer provided by instructor based on example claim selected.</i>	

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PowerPoint Slides	Notes
<p>Question and Answer Forum</p> <ul style="list-style-type: none">• Instructions<ul style="list-style-type: none">○ Divide into groups of three or four.○ Review the Appendix B: Question and Answer Worksheet with your group.○ Mark any questions that need further clarification from the instructor.• Time allowed: 10 minutes	
<p>Question and Answer Clarification</p> 	
<p>What's Next?</p> <p>Phase 5, Part 2: Process a Claim Knowledge Check</p>	