



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

Lesson Plan

January 30, 2017

Version 1.0

**Phase 5, Part 2 Knowledge Check Preparation
Lesson Plan**

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 get PMC VSRs ready to take the Phase 5, Part 2 Knowledge Check.
Prerequisite Training Requirements:	Prior to taking the Phase 5, Part 2 Knowledge Check Preparation, trainees must complete PMC VSR Core Course Phase 1–4 and Phase 5, Parts 1 and 2. Refer to the Master Course Map learning aid for a list of lessons.
Target Audience:	This knowledge check preparation is for entry-level PMC VSRs.
References:	<ul style="list-style-type: none">• Master Course Map learning aid• 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)

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Topic	Description
	<ul style="list-style-type: none"> • VA Form 27-0820 (Report of General Information) • 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) • Develop for Missing Information/Evidence job aid • Pension Systems and Applications job aid • Request Appointment of a Fiduciary job aid

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Topic	Description
Technical Competencies:	<ul style="list-style-type: none">• Program Benefits and Eligibility (PMC VSR)• VBA Applications (PMC VSR)• Processing Claims (PMC VSR)
Knowledge Check:	Phase 5, Part 2: Process a Claim Knowledge Check

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Lesson Plan**

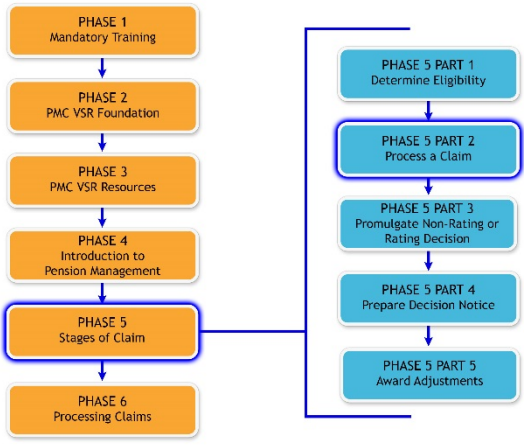

Topic	Description
What You Need:	<ul style="list-style-type: none"> • Lesson Plan • Master Course Map learning aid • Appendix A: Worksheet • Appendix B: Question and Answer Worksheet • Slides • Projector • Access to the following demo systems: <ul style="list-style-type: none"> ○ VVA ○ VBMS • Access to CPKM • Access to VSR Assistant • The following types of example claims: <ul style="list-style-type: none"> ○ Claim 1 (pmc_vsr_case_79) needing development for Federal evidence ○ Claim 2 (pmc_vsr_case_80) needing development for income evidence ○ Claim 3 (pmc_vsr_case_81) needing development for dependency evidence ○ Claim 4 (pmc_vsr_case_82) requiring a proposed rating for incompetence, requesting appointment of a fiduciary • Access to the following job aids from VSR Assistant: <ul style="list-style-type: none"> ○ Develop for Missing Information/Evidence job aid ○ Pension Systems and Applications job aid ○ Request Appointment of a Fiduciary job aid

Instructor Notes

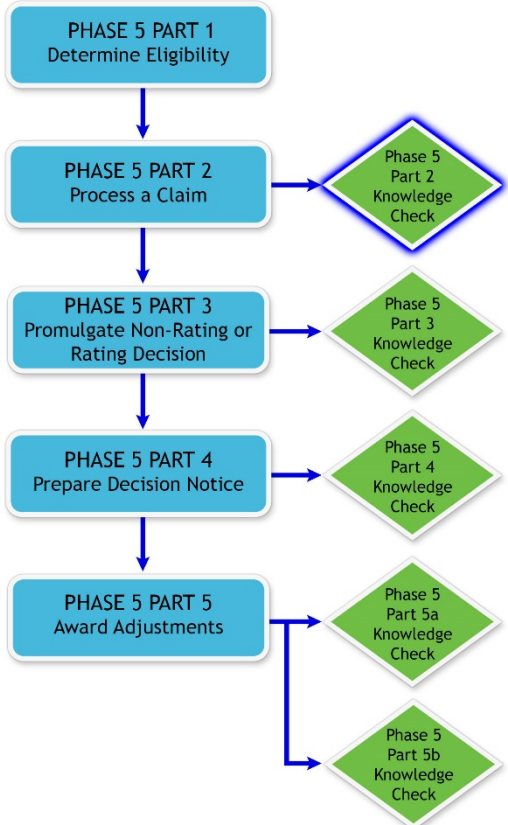
This knowledge check preparation will provide trainees with a refresher of the topics covered in Phase 5, Part 2: Process a Claim. This will include a review of all lesson objectives, participation in activities to reinforce their understanding, and a

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Lesson Plan**




question and answer forum to address any misconceptions and provide additional clarification about the information presented.

PowerPoint Slides	Instructor Activities
<p>Phase 5, Part 2: Knowledge Check Preparation</p>	<p>DISPLAY slide</p> <p>1. "Phase 5, Part 2: Knowledge Check Preparation"</p> <p>INTRODUCE yourself as the instructor.</p> <p>INTRODUCE the Knowledge Check Preparation.</p>
<p>You Are Here</p> 	<p>DISPLAY slide</p> <p>2. "You Are Here"</p>  <p>REFER to the PMC VSR Master Course Map learning aid.</p> <p>INFORM trainees that the Knowledge Check Preparation will assist them in successfully completing the Phase 5, Part 2 Knowledge Check.</p>
<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 	<p>DISPLAY slide</p> <p>3. "Why It Matters!"</p> <p>REMIND trainees that when processing a claim, they are responsible for identifying and developing for the evidence needed to process the claim as well as address the issue of competency, should it arise. The following tasks will be the focus of this knowledge prep:</p> <ul style="list-style-type: none"> • Developing for information/evidence needed to fulfill duty to assist for various types of pension claims • Requesting appointment of a fiduciary for an incompetency claim

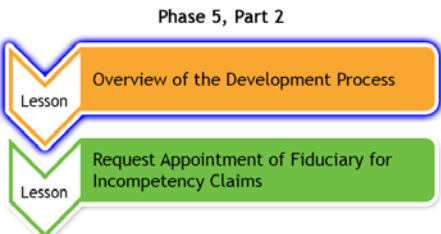

**Phase 5, Part 2 Knowledge Check Preparation
Lesson Plan**

PowerPoint Slides	Instructor Activities
<p>Knowledge Check</p>  <pre> graph TD P1[PHASE 5 PART 1 Determine Eligibility] --> P2[PHASE 5 PART 2 Process a Claim] P2 --> P3[PHASE 5 PART 3 Promulgate Non-Rating or Rating Decision] P3 --> P4[PHASE 5 PART 4 Prepare Decision Notice] P4 --> P5[PHASE 5 PART 5 Award Adjustments] P2 --- K2{Phase 5 Part 2 Knowledge Check} P3 --- K3{Phase 5 Part 3 Knowledge Check} P4 --- K4{Phase 5 Part 4 Knowledge Check} P5 --- K5a{Phase 5 Part 5a Knowledge Check} P5 --- K5b{Phase 5 Part 5b Knowledge Check} style K2 stroke:#0000FF,stroke-width:2px </pre>	<p>DISPLAY slide 4. "Knowledge Check"</p> <p>INFORM trainees that they will be assessed on this content in the Phase 5, Part 2 Process a Claim Knowledge Check.</p> <p>REMINDE trainees that all the lessons included on the knowledge check are also listed on the POI.</p>


**Phase 5, Part 2 Knowledge Check Preparation
Lesson Plan**

PowerPoint Slides	Instructor Activities
<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 	<p>DISPLAY slide 5. "Knowledge Check Preparation Overview"</p> <p>EXPLAIN that this preparation will consist of a review of the learning objectives for each lesson in Phase 5, Part 2. This is followed by an activity to help reinforce their understanding of those objectives.</p> <p>INFORM trainees that in order to save time for the activities, there will be time at the end of this preparation for questions to be discussed.</p> <div style="text-align: center;"></div> <p>REFER trainees to Appendix B: Question and Answer Worksheet.</p>
<p>Phase 5, Part 2 Lessons</p> <div style="text-align: center;"> <p>Phase 5, Part 2</p>  </div>	<p>DISPLAY slide 6. "Phase 5, Part 2 Lessons"</p> <p>REMIND trainees that Phase 5, Part 2 consists of the following lessons:</p> <ol style="list-style-type: none"> 1. Overview of the Development Process 2. Request Appointment of Fiduciary for Incompetency Claims <div style="text-align: center;"></div> <p>REFER trainees to the VSR Assistant to access any job aids needed for the review of these two lessons.</p>


**Phase 5, Part 2 Knowledge Check Preparation
Lesson Plan**

PowerPoint Slides	Instructor Activities
<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. <div style="text-align: center; margin-top: 10px;"> <p>Phase 5, Part 2</p>  </div>	<p>DISPLAY slide 7. "Overview of the Development Process"</p> <p>TRANSITION to the first lesson in Phase 5, Part 2: Overview of the Development Process.</p> <p>REVIEW the objectives on the slide.</p> <p>REMIND trainees that it is their responsibility to assist the claimant in gathering the evidence or information needed to support their claim.</p> <p>EXPLAIN that the steps in the development process will depend on the type of evidence required to support the claim.</p> <div style="text-align: center; margin-top: 10px;">  </div> <p>REFER trainees to the Develop for Missing Information/Evidence job aid for:</p> <ul style="list-style-type: none"> • Key development terms • Types of evidence required • Most common steps in the development of a claim


**Phase 5, Part 2 Knowledge Check Preparation
Lesson Plan**

PowerPoint Slides	Instructor Activities
<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>DISPLAY slide 8. “Overview of the Development Process Question Writing Opportunity”</p> <p>INFORM trainees that before transitioning to the next lesson for review, they will have the opportunity to capture any questions they have regarding the development process.</p>  <p>REFER trainees to Appendix B: Question and Answer Worksheet.</p> <p>DIRECT trainees to write any questions or concerns that they have regarding the development process.</p> <p>ALLOW 5 minutes to complete this opportunity.</p>
<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 	<p>DISPLAY slide 9. “Matching Activity—Key Terms Used When Developing a Claim”</p> <p>DIRECT trainees to:</p> <ul style="list-style-type: none"> • Review the Develop for Missing Information/Evidence job aid. • Complete Appendix A: Part A—Key Terms Used When Developing a Claim by matching the correct term to the definition provided. <p>ALLOW 5 minutes to complete this activity.</p>

**Phase 5, Part 2 Knowledge Check Preparation
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PowerPoint Slides	Instructor Activities
<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.<ul style="list-style-type: none">o <i>Information</i>2. Request for documentation from state government, local government, and privately held entity.<ul style="list-style-type: none">o <i>Non-federal records</i>3. Help claimant obtain information or evidence to substantiate the claim.<ul style="list-style-type: none">o <i>Duty to Assist</i>4. Provided by a nonexpert who has knowledge of facts or circumstances and conveys matters that can be observed.<ul style="list-style-type: none">o <i>Competent lay evidence</i>	<p>DISPLAY slide</p> <p>10. "Matching Activity—Key Terms Used When Developing a Claim Answers (1 of 2)</p> <p>PROVIDE the answers to definitions 1-4.</p> <p></p> <p>ASK if they have any questions or need clarification on the answers given.</p>

**Phase 5, Part 2 Knowledge Check Preparation
Lesson Plan**

PowerPoint Slides	Instructor Activities
<p>Matching Activity—Key Terms Used When Developing a Claim Answers (2 of 2)</p> <p>5. Provided by a person who is qualified through education, training, or experience to offer medical diagnoses, statements, or opinions.</p> <ul style="list-style-type: none">o <i>Competent medical evidence</i> <p>6. Provide a notice of any information or evidence needed to substantiate the claim.</p> <ul style="list-style-type: none">o <i>Duty to Notify</i> <p>7. Request for documentation from Social Security Administration (SSA), VA Medical Centers (VAMCs), or National Personnel Records Center (NPRC).</p> <ul style="list-style-type: none">o <i>Federal records</i>	<p>DISPLAY slide</p> <p>11. "Matching Activity—Key Terms Used When Developing a Claim Answers (2 of 2)"</p> <p>PROVIDE the answers to definitions 5-7.</p> <p></p> <p>ASK if they have any questions or need clarification on the answers given.</p>

**Phase 5, Part 2 Knowledge Check Preparation
Lesson Plan**

PowerPoint Slides	Instructor Activities
<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 	<p>DISPLAY slide 12. “Group Activity—What’s Your Next Step?”</p> <p>DIVIDE trainees into groups of three.</p> <p>DIRECT trainees to:</p> <ul style="list-style-type: none"> • Review Claim 1, Claim 2, and Claim 3. • Complete Appendix A: Part B—Overview of the Development Process—What’s Your Next Step? using the claims provided in VBMS. <p>ALLOW 15 minutes to complete this activity.</p>

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PowerPoint Slides	Instructor Activities
<p>Group Activity—What’s Your Next Step? Claim 1 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>	<p>DISPLAY slide 13. “Group Activity—What’s Your Next Step? Claim 1 Answers”</p> <p>PROVIDE the answers for the Claim 1 questions.</p> <p>DISCUSS the answers and provide any clarification if needed.</p>

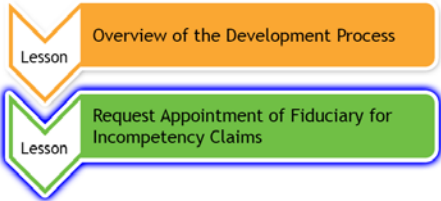

**Phase 5, Part 2 Knowledge Check Preparation
Lesson Plan**

PowerPoint Slides	Instructor Activities
<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>	<p>DISPLAY slide 14. “Group Activity—What’s Your Next Step? Claim 2 Answers”</p> <p>PROVIDE the answers for the Claim 2 questions.</p> <p>DISCUSS the answers and provide any clarification if needed.</p>


**Phase 5, Part 2 Knowledge Check Preparation
Lesson Plan**

PowerPoint Slides	Instructor Activities
<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>	<p>DISPLAY slide 15. “Group Activity—What’s Your Next Step? Claim 3 Answers”</p> <p>PROVIDE the answers for the Claim 3 questions.</p> <p>DISCUSS the answers and provide any clarification if needed.</p>

**Phase 5, Part 2 Knowledge Check Preparation
Lesson Plan**

PowerPoint Slides	Instructor Activities
<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> 	<p>DISPLAY slide 16. "Request Appointment of Fiduciary for Incompetency Claims"</p> <p>TRANSITION to the second lesson in Phase 5, Part 2: Request Appointment of a Fiduciary for Incompetency Claims.</p> <p>REVIEW the objectives on the slide.</p> <p>REMIND trainees that part of their role as PMC VSRs includes requesting appointment of a fiduciary if a claimant's claim for pension indicates incompetency.</p> <p>EXPLAIN that in these situations, the beneficiary must be provided information regarding the Brady Bill and notified of the proposed incompetency.</p>  <p>REFER trainees to the following references to use to assist in completing the activities for requesting appointment of a fiduciary:</p> <ul style="list-style-type: none"> • 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)
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PowerPoint Slides	Instructor Activities
<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>DISPLAY slide 17. “Request Appointment of Fiduciary Question Writing Opportunity”</p> <p>REMINDE trainees that at this time they can capture any questions they have regarding requesting appointment of a fiduciary.</p>  <p>REFER trainees to Appendix B: Question and Answer Worksheet.</p> <p>DIRECT trainees to write any questions on the worksheet.</p> <p>ALLOW 5 minutes to complete this opportunity.</p>
<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 	<p>DISPLAY slide 18. “Group Activity—Request Appointment of a Fiduciary”</p> <p>DIVIDE trainees into groups of three.</p> <p>DIRECT trainees to:</p> <ul style="list-style-type: none"> • Review Claim 4. • Complete Appendix A: Part C—Request Appointment of a Fiduciary Worksheet using the references provided in the worksheet and Claim 4. <p>ALLOW 10 minutes to complete this activity.</p>

**Phase 5, Part 2 Knowledge Check Preparation
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PowerPoint Slides	Instructor Activities
<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>	<p>DISPLAY slide 19. "Partner Activity—Request Appointment of a Fiduciary Claim Answers"</p> <p>PROVIDE the answers for the claim questions.</p> <p>DISCUSS the answers and provide any clarification if needed.</p>

**Phase 5, Part 2 Knowledge Check Preparation
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PowerPoint Slides	Instructor Activities
<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>DISPLAY slide 20. "Question and Answer Forum"</p> <p>DIVIDE trainees into groups of three or four.</p> <p>DIRECT trainees to review, with their group, any questions that they had written down on the Appendix B: Question and Answer Worksheet.</p> <p>INFORM trainees to mark any questions that need further clarification from the instructor.</p> <p>ALLOW 10 minutes for this forum.</p>
<p>Question and Answer Clarification</p> 	<p>DISPLAY slide 21. "Question and Answer Clarification"</p>  <p>ASK if they have any questions or concerns regarding Phase 5, Part 2. Use this time to clear up any confusion or misconceptions about the information presented.</p>
<p>What's Next?</p> <p>Phase 5, Part 2: Process a Claim Knowledge Check</p>	<p>DISPLAY slide 22. "What's Next?"</p> <p>DISCUSS the upcoming Phase 5, Part 2: Process a Claim Eligibility Knowledge Check.</p> <p>REMIND trainees to use the job aids and resources provided in the knowledge check to help answer the questions.</p>