



# Fiduciary Hub IQR Guides Training

June 2022

**June 13, 2022**

Slide Count: 17



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# Objectives

The Reviewer will understand:

- FAC recommended changes
- The purpose for the Review and Step-by-Step Guides
- How to use the guides when completing IQRs



# Purpose

To establish consistency when performing IQRs:

- Three role specific Review Guides and Step by Step Guides created for
  - Field Examiner IQRs
  - Fiduciary Service Representative IQRs
  - Legal Instruments Examiner IQRs
- M21-4, Chapter 8



# FAC Recommendations

No recommended changes to IQR checklists

- FEIQR (26 claim transaction types)
  - ✓ 14 claim transactions removed
- LIEIQR (28 claim transaction types)
  - ✓ 9 claim transactions removed
- FSRIQR (23 claim transaction types)
  - ✓ No recommended changes



# FAC Recommended Changes - FEIQR

Review: Review / Claim Transaction	FAC Recommendation	Workgroup Concur?
FEIQR Background Check Mitigating Evidence (Closed)	Keep this transaction. It is important that Mitigations for CBI are reviewed.	
FEIQR Background Check Mitigating Evidence (Open)	Remove this transaction. The CBI mitigation should be reviewed on closed activity as the open will not have actions completed to review.	yes
FEIQR Beneficiary Note Activity	Remove this transaction. The employee adding a note to the system should not qualify for an entire quality review. Further the checklists were not developed to perform a quality review on a note.	yes.
FEIQR Claim Establishment	Remove this transaction. Establishing a claim should not constitute an entire quality review. Further, the quality checklists do not capture this element.	yes.
FEIQR Closed Only	Keep this transaction for QMS review. This is an entire field exam review.	
FEIQR Field Exam	Remove this transaction. This activity will be included in the validation or closed only review.	yes.
FEIQR Material Suspense Only	Remove this transaction. Suspense date updates, while important should not be considered for an entire quality review. Further, they don't offer many tasks to be reviewed from the quality checklists.	yes.
FEIQR Misuse Allegation Activity	Keep this transaction we will need to review Misuse activity.	yes
FEIQR Misuse Determination Activity	Do not concur, FE are not involved in this part of the process. FE only recommends.	No
FEIQR Misuse Found Activity	Do not concur, FE are not involved in this part of the process. FE only recommends.	No
FEIQR Misuse Investigation Activity	Keep this transaction. Misuse investigation needs to be quality reviewed.	yes
FEIQR Misuse No Misuse Activity	Do not concur, FE are not involved in this part of the process. FE only recommends.	No
FEIQR Non-Material Suspense Update	Remove this transaction. Suspense date updates, while important should not be considered for an entire quality review. Further, they don't offer many tasks to be reviewed per the quality checklists.	yes.
FEIQR Other Development Activity (Closed)	Keep this transaction for QMS review. This can be reviewed to show that development activity was completed correctly.	
FEIQR Other Development Activity (Open)	Remove this transaction for QMS review. Opening Development Activity is the beginning to a process and will not accurately show completed work.	M21-4 Appendix F if not system generated
FEIQR Out of System Fiduciary Letter	Remove this transaction. This activity will be included in the validation or closed only review.	
FEIQR Ready for Decision	Remove this transaction. The FE typically does not work with cases that are made RFD.	yes.
FEIQR Ready to Work	Remove this transaction. Cases are made ready to work when they are validated to the FSR for review. This will be reviewed under the validation transaction.	yes.
FEIQR Workflow Activity	Remove this transaction for QMS review. Workflow Activity can be any number of in-process system updates. These transactions are often confusing for the QRT to interpret the transaction or activity by the employee. These transactions do not match well with the current checklist.	yes.
FEIQR Workflow Activity Field Exam Assigned	Remove this transaction. This transaction happens when work is established and assigned to the FE.	yes. Set up correct EP
FEIQR Workflow Activity Field Exam Validation	Keep this transaction for QMS review. This is an entire field exam review.	
FEIQR Workflow Activity Fund Usage Review Approved	Keep this transaction. There may be instances when FEs are completing FUR.	
FEIQR Workflow Activity Fund Usage Review Rejected	Keep this transaction. Some of the Hubs are using FEs for Fund Usage Review work.	
FEIQR Workflow Activity Suspend Benefits	Keep this transaction. We will need to review suspended benefit activities.	
FEIQR Workflow Activity Whereabouts Unknown - 1st Attempt	Remove this transaction. This activity will be included in the validation or closed only review.	yes
FEIQR Workflow Activity Whereabouts Unknown - 2nd Attempt	Remove this transaction. This activity will be included in the validation or closed only review.	yes



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# FAC Recommended Changes - LIEIQR

Review: Revi Claim Transaction		FAC Recommendation	Workgroup Concur?
LIE IQR	Accounting Audit Tool Approved	Remove this transaction for QMS review. This will be captured when the accounting is approved.	yes
LIE IQR	Accounting Audit Tool Disapproved	Remove this transaction. This activity will be reviewed when the accounting is disapproved.	yes
LIE IQR	Beneficiary Note Activity	Remove this transaction. The employee adding a note to the system should not qualify for an entire quality review. Further the checklists were not developed to perform a quality review on a note.	yes with same stipulations as FEs
LIE IQR	Claim Establishment	Keep this transaction. We need to ensure the LIE is establishing the work correctly.	
LIE IQR	Closed Only	Keep this transaction. These are completed work items that can be reviewed against the checklist.	
LIE IQR	Material Suspense Only	Remove this transaction. Suspense date updates, while important should not be considered for an entire quality review. Further, they don't offer many tasks to be reviewed from the quality checklists.	yes
LIE IQR	Misuse Allegation Activity	Keep this transaction we will need to review Misuse activity.	
LIE IQR	Misuse Determination Activity	Keep this transaction we will need to review Misuse activity.	
LIE IQR	Misuse Found Activity	Keep this transaction we will need to review Misuse activity.	
LIE IQR	Misuse IGRC Activity	Keep this transaction we will need to review Misuse activity.	
LIE IQR	Misuse Investigation Activity	Keep this transaction we will need to review Misuse activity.	
LIE IQR	Misuse No Misuse Activity	Keep this transaction we will need to review Misuse activity.	
LIE IQR	Misuse Recon Activity Completed	Keep this transaction we will need to review Misuse activity.	
LIE IQR	Non-Material Suspense Update	Remove this transaction. Suspense date updates, while important should not be considered for an entire quality review. Further, they don't offer many tasks to be reviewed per the quality checklists.	yes
LIE IQR	Other Development Activity (Closed)	Keep this transaction for QMS review. This can be reviewed to show that development activity was completed correctly.	
LIE IQR	Other Development Activity (Open)	Remove this transaction for QMS review. Opening Development Activity is the beginning to a process and will not accurately show completed work.	yes
LIE IQR	Out of System Fiduciary Letter	Remove this transaction. This activity will be included in the validation or closed only review.	yes
LIE IQR	Ready to Work	Keep this transaction. This can be reviewed when cases are determined to be ready for further activity.	
LIE IQR	Tracked Item Creation	Remove this transaction. The Hubs were instructed not to use tracked items.	yes
LIE IQR	Workflow Activity	Remove this transaction for QMS review. Workflow Activity can be any number of in-process system updates. These transactions are often confusing for the QRT to interpret the transaction or activity by the employee. These transactions do not match well with the current checklist.	yes
LIE IQR	Workflow Activity Accounting Approved	Keep this transaction. This should be reviewed when the accounting is approved.	
LIE IQR	Workflow Activity Accounting Disapproved	Keep this transaction. We need to ensure accountings are disapproved accurately.	
LIE IQR	Workflow Activity Accounting Disapproved Follow Up	Remove this transaction for QMS review. This will be captured when the accounting is disapproved.	No, past due letter
LIE IQR	Workflow Activity Field Exam Assigned	Keep this transaction. It is important that the correct field exam was established by the LIE.	
FEIQR	Workflow Activity Field Exam Validation	Remove this transaction. LIEs do not validate field exams.	yes
LIE IQR	Workflow Activity Fund Usage Review Approved	Keep this transaction. The approval of a fund usage review needs to be reviewed.	
LIE IQR	Workflow Activity Fund Usage Review Rejected	Keep this transaction. We need to ensure fund usage reviews are rejected accurately.	
LIE IQR	Workflow Activity Returned Field Exam	Remove this transaction. Returning a field exam for additional action is not covered in the current quality checklists.	yes



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# FAC Recommended Changes - FSRIQR

Review: Rev	Claim Transaction	FAC Recommendation	Workgroup Concur?
FSRIQR	Accounting Audit Tool Approved		
FSRIQR	Authorized		
FSRIQR	Award		
FSRIQR	Beneficiary Note Activity		
FSRIQR	Claim Establishment		
FSRIQR	Closed Only		
FSRIQR	Material Suspense Only		
FSRIQR	Misuse Found Activity		
FSRIQR	Misuse Recon Activity Completed		
FSRIQR	Non-Material Suspense Update		
FSRIQR	Other Development Activity (Closed)		
FSRIQR	Out of System Fiduciary Letter		
FSRIQR	Rating Decision Complete		
FSRIQR	Ready for Decision		
FSRIQR	Ready to Work		
FSRIQR	Returned by Other		
FSRIQR	Tracked Item Creation		
FSRIQR	Tracked Item in Error		
FSRIQR	Workflow Activity		
FSRIQR	Workflow Activity Field Exam Assigned		
FSRIQR	Workflow Activity Field Exam Validation		
FSRIQR	Workflow Activity Fund Usage Review Rejected		
FSRIQR	Workflow Activity Returned Field Exam		



# Quality Action Plan Workgroup

- Nine hub SMEs participated
- Broken out into three position types
  - ✓ 3 SMEs work on FEIQRs
  - ✓ 3 SMEs work on LIEIQRs
  - ✓ 3 SMEs work on FSRIQRs
- Created Review Guide and Step by Step Guide
- Eight Hub QRT Peer Reviewed Final Products





# Review Guides

- Error descriptor for IQR checklist
- Created an explanation of error
- Provided possible manual references
- Followed style found in M21-4, Chapter 8, Appendix A.b. and B.b.
- Will be published in updated M21-4, Chapter 8



# Review Guide Sample - FEIQR

## FIELD EXAMINER (FE) REVIEW GUIDE

The following is an explanation of the checklist questions found in FEIQRs.

	Error Description	Explanation	Possible References
1a	A Criminal Background Inquiry (CBI) for the proposed fiduciary was not completed and uploaded to the eFolder prior to the field examination.	FEs obtain the CBI through CLEAR prior to conducting the interview. Obtaining the CBI at the earliest practical opportunity prevents further investigation of a person that will not be appointed based on the results of the inquiry. When face-to-face is not conducted, the CBI must be obtained prior to contacting the proposed fiduciary so the FE can conduct the appropriate identification protocol.	38 U.S.C. 5507 FPM I.2.B.1.a. FPM I.2.C.6.l.
1b	The type of field examination selected was not in accordance with current policy.	The three types of initial Appointment (IA) field examinations are IA, Successor (SIA), and Expedited (EIA). The four types of follow-up field examinations are Scheduled, Telephone, Fund Usage, and Unscheduled.	FPM I.2.A.2.b. FPM I.2.A.2.e.
2a	The spouse fiduciary designation was not made correctly.	A spouse fiduciary may be designated based on the findings listed below.  The Veteran is incapable of handling the VA benefit payable, with or without supervision, and the spouse <ul style="list-style-type: none"> <li>• is recognized as a dependent by VA</li> <li>• has the ability to handle funds and is qualified to receive and administer the VA funds payable</li> <li>• consents to act as a fiduciary and is willing to perform the duties of a fiduciary</li> <li>• is not barred from serving prior to appointment per <a href="#">FPM, Part I, 2.C.6.b</a></li> <li>• meets the CBI criteria per <a href="#">FPM, Part I, 2.C.6.k</a> and</li> </ul>	FPM I.2.C.5.n.

		<ul style="list-style-type: none"> <li>• agrees to use the funds solely for the Veteran and the Veteran's dependents, and execute a <a href="#">VA Form 21P-4703</a>.</li> </ul>	
2b	The order of preference was not followed prior to appointment of a fiduciary.	<p>When selecting a fiduciary, the FE must consider individuals and entities for appointment in the following order of preference, provided that the proposed fiduciary is qualified, willing to serve, and the appointment would serve the beneficiary's interest:</p> <ul style="list-style-type: none"> <li>• the beneficiary's preference</li> <li>• the beneficiary's spouse</li> <li>• a relative who has care or custody of the beneficiary or his/her funds</li> <li>• any other relative of the beneficiary</li> <li>• any friend, acquaintance, or other person who is willing to serve as fiduciary for the beneficiary without a fee</li> <li>• the chief officer of a public or private institution in which the beneficiary receives care or which has custody of the beneficiary</li> <li>• the bonded officer of an Indian reservation, if applicable</li> <li>• an individual or entity who           <ul style="list-style-type: none"> <li>• has been appointed by a court with jurisdiction to handle the beneficiary's affairs, or</li> <li>• is not willing to serve without a fee, or</li> </ul> </li> <li>• a temporary fiduciary, if necessary.</li> </ul>	38 CFR 13.100.e FPM I.2.B.2.g. FPM I.2.C.5.b-c.



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# Review Guide Sample - LIEIQR

## LEGAL INSTRUMENTS EXAMINER (LIE) REVIEW GUIDE

The following is an explanation of the checklist questions found in LIEIQRs.

	Error Description	Explanation	Possible References
1a	The date of claim (DOC) of the end-product (EP) worked was not correct.	LIEs should verify EPs DOC is generally a date prior to a follow-up diary coming due, unless otherwise specified. For accounting EPs, the DOC is generally the day after the accounting period end date unless otherwise specified in the FPM. The DOC of fund usage reviews is generally 30 days prior to the fund usage review date, unless otherwise specified in the FPM.	M21-4 B.1.c FPM I.1.A.2.e., FPM I.1.B.2.b., FPM I.1.B.3.u FPM I.3.A.3.e, k, FPM I.3.C.1.e., FPM I.3.C.5.e., FPM I.3.C.6.a-b. FPM I.3.E.1.b. FPM I.3.E.2.a., FPM II.1.C.4.I FPM II.3.a.2.f
1b	The claim label or end product were not correct on the EP worked.	The correct work should be completed under the correct claim label. When it is discovered that an EP is incorrect, the hub should first attempt to perform a PCHG in Share or select the pencil icon to Update Claim Details in VBMS and attempt to make the necessary corrections before canceling the incorrect EP.	M21-4 B.1.b M21-4 B.2 FPM I.1.A.1.b., FPM I.1.A.2.e., FPM I.1.B.1.b., FPM I.2.A.3.b., FPM I.2.D.4.b FPM I.2.E.1.d., FPM I.3.C.1.e FPM I.3.E.1.a - c, FPM I.3.E.2.a - b., FPM II.1.A.1.e., FPM II.1.C.4.a, d FPM II.3.A.2.f, l.
1c	Additional required tasks or EPs were not correctly established.	The LIE must ensure any additional required EPs or tasks are established.	FPM I.3.A-E FPM II.1.A.1.e - f, FPM II.1.D.4.b., FPM II.2.B.1.i., FPM II.2.B.2.a. FPM II.2.B.3.f., FPM II.3.A.2.k., FPM II.3.B.3.c., FPM II.3.C.1.f., FPM II.3.D.1.e - f., FPM II.3.D.3.i, k. FPM II.3.D.4.d.
1d	The necessary VA Memos were not completed correctly or appropriately.	Fiduciaries and beneficiaries are required to receive notification at various stages of the claims	FPM I.1.B.6.c - d., FPM I.2.E.3.b. FPM I.3.B.1.b-d., h. FPM I.3.B.2.e.,h.

		process. LIEs are required to send these notifications as directed.	FPM I.3.B.3.b. FPM I.3.B.4.a,d FPM I.3.D.1.b.,e. FPM I.3.D.2.b., e. FPM I.3.E.1.a-c FPM I.3.E.2.a. FPM II.1.C.4.d-f FPM II.2.B.1.i. FPM II.3.A.5 FPM II.3.B.1.b.
1e	Documents were not uploaded to the necessary VA systems.  <i>Note: This includes physical mail, faxes, electronically received items, items from other VA systems (such as FAST), or VA generated documentation and/or forms.</i>	The LIE must ensure all documents received in the hub (mail, FAST, etc.) are uploaded into the eFolder.	FPM I.3.B.1.d., FPM I.3.B.2.e., FPM I.3.C.1.a., FPM I.3.C.2.a FPM II.1.A.1-2 FPM II.2.B.1.i., FPM II.2.D.1.f.
2a	The first notice of death (FNOD) was not processed correctly.	The LIE must ensure the appropriate actions are taken following notification of a beneficiary's death.	M21-1 XI.i.1.A., FPM I.1.A.1.a-b FPM I.1.A.3.c. FPM I.1.B.6.d-e. FPM I.3.B.3.a. FPM II.1.C.3.a-e
2b	The correct actions were not followed for accounting and estate resolution after a beneficiary's death.	VA requires a final accounting from a VA-appointed fiduciary whenever a condition listed in I.3.A.2 is met. Some of these include upon the death of a beneficiary and the fiduciary was required to account, when a successor fiduciary is appointed and the previous fiduciary was required to account, or when a temporary fiduciary appointment end. Once notifications are sent and the accounting is approved, close the beneficiary profile if the beneficiary is deceased. (B3)	FPM I.1.B.6.e. FPM I.3.B.3.a.  FPM II.1.C.3.a-e
2c	The competency request or restoration was not processed correctly.	The LIE is responsible for taking follow-up or corrective action required in any case to include updating the CFID, notifying the fiduciary to turn over any remaining funds to the beneficiary, and	FPM I.1.B.2.b., FPM I.1.B.6.d. FPM I.2.C.5.e, j - l FPM I.2.E.3.a, c, h FPM I.3.B.3.a. FPM II.1.D.2.b.,g.



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# Review Guide Sample - FSRIQR

## FIDUCIARY SERVICE REPRESENTATIVE REVIEW GUIDE

	Error Description	Explanation	Possible References
1a	The beneficiary was not afforded all due process rights prior to issuance of a final decision	The beneficiary is allotted a controlled period of time to submit additional evidence or request a hearing. The minimum due process period is 60 days, unless waived by the beneficiary. When a waiver is not received, finalization of the determination occurs after the 65th day to allow time for evidence to reach the fiduciary hub .	I.1.B.1.a-d, I.1.B.2.j. 38 CFR 3.353 38 CFR 3.103 M21-1 Part X.ii.6.b., X.ii.6.D.3.b.
1b	Reasonable efforts to contact the beneficiary by phone to verbally explain the Brady Act were not appropriately documented	Reasonable efforts generally consist of an initial telephone contact to the beneficiary's current telephone number and at least one follow-up attempt if the initial attempt is unsuccessful. Document compliance with the requirement to give oral notice of the three provisions in <a href="#">M21-1, Part X, Subpart ii, 6.D.3.d</a> and <a href="#">FPM, Part I, 1.B.1.e</a> on a <a href="#">VA Form 27-0820, Report of General Information</a> .  If initial and follow-up attempts to contact the beneficiary by telephone are <i>unsuccessful</i> , document the actions taken on VA Form 27-0820.  <b>Notes:</b> <ul style="list-style-type: none"> <li>If telephone contact with the beneficiary is made, but oral delivery of the notice is unsuccessful because, for example, the beneficiary is physically or mentally incapacitated, fully explain the circumstances on VA Form 27-0820.</li> <li>If the beneficiary later reports never receiving or not understanding the initial oral notice, provide it again and document the action on VA Form 27-0820.</li> </ul>	I.1.B.1.e-f M21-1, Part X Subpart ii,6.D.3.d

1c	The pertinent evidence was not discussed in the rating decision	The final rating decision includes <ul style="list-style-type: none"> <li>a list of evidence that contains the               <ul style="list-style-type: none"> <li>proposed rating decision</li> <li>due process notification letter</li> <li>waiver of due process (if received), and</li> <li>all other evidence received after the proposed rating decision that does not conflict with the proposal</li> </ul> </li> </ul>	I.1.B.2.i I.1.B.2.k <a href="#">M21-1, Part V, Subpart iv, 1.A</a>
1d	The effective date for the incompetency rating decision was incorrect	a narrative that contains the explanation of the effective date, which is the date of the final decision.	I.1.B.2.k <a href="#">M21-1, Part V, Subpart iv, 1.A.</a>
1e	Necessary examinations were not completed (or rescheduled) correctly	In the absence of clear and convincing evidence to the contrary, presume that a person is competent.  A finding of incompetency cannot be made without a definite expression by a responsible medical authority unless the medical evidence of record is <ul style="list-style-type: none"> <li>clear</li> <li>convincing, and</li> <li>leaves no doubt as to the beneficiary's incompetency.</li> </ul>	I.1.B.2.h I.1.B.2.j <a href="#">M21-1, Part IV, Subpart i, 2.B</a>
1f	Case was not referred correctly to VSC/PMC	The following cases are excluded from the fiduciary promulgation team processing due to their unique processing requirements: <ul style="list-style-type: none"> <li>Integrated Disability Evaluation System cases</li> <li>RACC cases</li> <li>foreign cases, and</li> <li>proposed ratings that contain adverse actions in addition to the competency issue.</li> <li>For compensation based claims requiring follow-up actions per this block, the</li> </ul>	I.1.B.1.h I.1.A.2.b I.2.E.3.C NWQ Playbook



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# Step by Step Guides

- Based on recommended and approved Claim Transaction Type for all IQRs
- Created steps QRT would take when completing task based IQRs
- Will be published in updated M21-4, Chapter 8



# Step by Step Guide Sample - FEIQR

Steps	Background Check Mitigating Evidence (Closed)	✓
Step 1 Mitigation CBI	<p>The CLEAR report will return a calculated risk result of either green, yellow, or red. See the table below for the appropriate actions to take based on calculated risk result.</p> <p><b>Green</b></p> <p>Low risk. No further investigation of the CBI is required for the satisfactory CBI. The FE must document the green result in the field examination.</p> <p><b>Yellow</b></p> <p>Moderate risk. The FE must</p> <ul style="list-style-type: none"> <li>document the negative entries found on the CBI</li> <li>investigate all entries within the CBI to</li> <li>ensure no items represent a bar to being a fiduciary per 38 CFR 13.130, and</li> <li>determine whether the totality of the entries should disqualify the fiduciary from serving, and</li> <li>annotate in the field examination the situational details and the satisfactory CBI if situational details indicate the negative entries on the CBI are justifiable.</li> </ul> <p>Note: If the situational details cannot be justified, the FE must not appoint that person as fiduciary.</p> <p><b>Red</b></p> <p>High risk. Do not investigate the CBI further and do not appoint the fiduciary unless one of the specific exceptions outlined in FPM, Part I, 2.C.6.I applies.</p>	
Step 2 Mitigation CBI	FE must complete a Criminal Background Inquiry High-Risk Score Mitigation Request template for a red risk score	
Step 3 Mitigation CBI	The approved request must be uploaded to the eFolder with the field examination if a Criminal Background Inquiry High Risk Score Mitigation Request was obtained.	
Steps	Closed Only - IA, SIA, or EIA	✓
Step 1 (Closed only) IA/SIA/EIA	Prior to conducting the field examination, the FE must perform the criminal background inquiry (CBI) on the proposed fiduciary.	
Step 2 (Closed only) IA/SIA/EIA	During the field examination process, the FE must collect or verify the following general information of the Beneficiary: <ul style="list-style-type: none"> <li>full name</li> <li>date of birth</li> <li>Social Security number (SSN)</li> <li>telephone number</li> </ul>	

	<ul style="list-style-type: none"> <li>mailing address, and</li> <li>physical address.</li> </ul>	
Step 3 (Closed only) IA/SIA/EIA	FE must attempt to contact each adult beneficiary's dependent or the custodian of minor dependents and document the contact in the field examination, if applicable.	
Step 4 (Closed only) IA/SIA/EIA	FE must document the beneficiary's fiduciary preference if the beneficiary had the capacity to state a preference.	
Step 5 (Closed only) IA/SIA/EIA	FE must collect or verify the following general information of the perspective Fiduciary: <ul style="list-style-type: none"> <li>full name</li> <li>date of birth</li> <li>SSN or EIN</li> <li>relationship to the beneficiary</li> <li>telephone number</li> <li>mailing address</li> <li>physical address, and</li> <li>e-mail address, if available.</li> </ul>	
Step 6 (Closed only) IA/SIA/EIA	FE is required to document the provision of the training modules, the guide, and the use of FAST. The FE must document this action by annotating the <ul style="list-style-type: none"> <li>field examination</li> <li>VA Form 27-0820, Report of General Information, or</li> <li>NOTES section of the claims processing system.</li> </ul>	
Step 7 (Closed only) IA/SIA/EIA	Any prospective fiduciary for any VA beneficiary must sign a VA Form 21P-4703	
Step 8 (Closed only) IA/SIA/EIA	Perform the credit history check and the associated analysis to confirm the fiduciary's credit does not have any disqualifying factors, if applicable	
Step 9 (Closed only) IA/SIA/EIA	FE must document the findings in the ADDITIONAL COMMENTS (CREDIT/BACKGROUND) field within the CREDIT AND CRIMINAL BACKGROUND REVIEW section of the field examination, if applicable	
Step 10 (Closed only) IA/SIA/EIA	FE must evaluate the beneficiary's social and physical environment during the field examination	
Step 11 (Closed only) IA/SIA/EIA	When concerns are identified during the interview with the proposed fiduciary or beneficiary, FE must <ul style="list-style-type: none"> <li>call the local law enforcement agency or 911, if the situation is a life-threatening emergency</li> <li>report the concern to local adult or child protective services for investigation, if applicable</li> <li>document the unmet need or adverse condition in the field examination, and</li> <li>document phone call referrals on VA Form 27-0820 or create an electronic document that shows the online referral and upload the document to the eFolder.</li> </ul>	
Step 12 (Closed only) IA/SIA/EIA	FE must evaluate the beneficiary's ability to manage funds	



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U.S. Department of Veterans Affairs 14

# Step by Step Guide Sample - LIEIQR

Steps	Claim Establishment – Accounting	✓
Step 1	The LIE determined accounting oversight is required. The LIE will ensure the accounting diary is updated appropriately on the beneficiary profile.	
Step 2	The LIE will establish the required accounting EP.	
	<b>Claim Establishment – Correspondence</b>	
Step 1	The LIE may need to establish an EP400-FID Correspondence to send a letter (such as a Death – NOK or Bond Exonerate).	
	<b>Claim Establishment – Field Exam</b>	
Step 1	<b>From a telephonic inquiry:</b> The LIE will document information obtained during telephonic contact with the beneficiary or fiduciary on VA Form 27-0820, Report of General Information, uploaded to the eFolder.	
Step 2	The LIE will use the information obtained to complete VA Form 21-3537a, Field Examination Request. The form must clearly document who is to be contacted and why. The LIE will upload the form to the eFolder.  Go to Step 4.	
Step 3	<b>From a mail inquiry:</b> The LIE will ensure the mail received is uploaded to the eFolder. The LIE will then complete a VA Form 21-3537a, Field Examination Request, with information from the mail inquiry. The form must clearly document who is to be contacted and why. The LIE will upload the form to the eFolder.  Go to Step 4.	
Step 4	The LIE will establish either an unscheduled field exam (when contact is required with the beneficiary) or a fund usage field exam (when contact is required with the fiduciary). End.	
Step 5	<b>From an accounting/fund usage review:</b> The LIE will complete VA Form 21-3537a, Field Examination Request, with the information required for the accounting or fund usage review. The LIE will upload the form to the eFolder.	
Step 6	The LIE will establish a fund usage field exam for contact with the fiduciary.	
	<b>Claim Establishment – Fund Usage Review</b>	
Step 1	The LIE determined fund usage review oversight is required. The LIE will ensure the fund usage review date diary is updated appropriately on the beneficiary profile and establish the required fund usage review EP.	
Step 2	The LIE will complete VA Form 21-3537a, Field Examination Request, with the information required for the fund usage review. The LIE will upload the form to the eFolder. <b>(Covered under Field Exam – Step 5)</b>	
Step 3	The LIE will update beneficiary profile and establish the required fund usage field exam EP.	
	<b>Claim Establishment – Misuse</b>	
Step 1	The LIE receives an allegation of misuse (by telephone, mail, email, etc.) and documents the allegation on VA Form 27-0820, Report of General Information.	

Step 3	The LIE must review each allegation of misuse and decide if a misuse investigation is warranted.  Allegation is Warranted - complete a <a href="#">VA Form 21-3537a</a> .  Allegation is Not Warranted- complete a <i>Misuse Allegation memorandum</i> per II.3.A.2.n	
Step 4	The LIE uploads the VA Form 21-3537a for misuse investigation to the eFolder and updates the EP accordingly in order to assign the investigation to the appropriate hub employee (FE).  Additionally, the LIE will update the INVESTIGATION ESTABLISHED field on the corresponding misuse record with the date of the <a href="#">VA Form 21-3537a</a> requesting the investigation.  After the <i>Misuse Allegation</i> memorandum is approved, the LIE will ensure the memorandum is uploaded to the eFolder, update the ACTION and SUSPENSE DATE fields in the misuse EP and verify that all fields in the misuse record applicable to the misuse case are updated. The LIE will ensure that the misuse EP is closed.	
	<b>Misuse Determination Activity</b>	✓
Step 1	If misuse is found, the misuse determination serves as the basis to establish a debt for the VA and represents a bar to continued or future service as a fiduciary for any VA beneficiary.	
Step 2	The LIE will review the eFolder to ensure the misuse investigation report with supporting exhibits, and any other relevant material is of record.	
Step 3	Each misuse determination must be completed on the approved <i>Misuse Determination</i> memorandum authorized for use by P&F Service and, regardless of the finding, must include several elements.  The Determination memorandum must contain the following: <i>List all the allegations, including sources and receipt dates, in relation to the misuse and any additional problems identified during the misuse process.</i>  <i>Relevant misuse statutes and regulations.</i>  <i>Definition of misuse.</i>  <i>Statutes related to fee entitlement when misuse is found.</i>  <i>Details relevant use and benefit regulations.</i> <i>List relevant information associated with the misuse determination. This includes the</i> <ul style="list-style-type: none"> <li>• Veteran's name</li> <li>• claim number</li> <li>• beneficiary's name</li> <li>• fiduciary's name</li> <li>• fiduciary category (individual or entity)</li> </ul>	



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U.S. Department  
of Veterans Affairs 15

# Step by Step Guide Sample - FSRIQR

Steps	Accounting Audit Tool Approved	✓
	<b>Work Completed: Approval of an accounting in VBMS-Fiduciary. Verify that:</b>	
Step 1	A proper credit report or CBI is of record.	
Step 2	Correct actions have been completed in the accounting submission system (FAST, mail upload, etc.)	
Step 3	The accounting was not disapproved without valid grounds. Disapproval is clearly documented.	
Step 4	The beginning balance was correct.	
Step 5	The income held by the fiduciary was verified and accounted for.	
Step 6	Any unusual or inappropriate expenditures were questioned and appropriately clarified.	
Step 7	Any excessive fees were reimbursed to the beneficiary prior to accounting approval.	
Step 8	Investments by the fiduciary were registered to denote the fiduciary relationship.	
Step 9	All financial accounts, U.S. Savings Bonds, and other securities were properly verified.	
Step 10	Funds in the accounts were not over the FDIC/NCUA limitations (currently \$250,000).	
Step 11	The accounting was appropriately reconciled, to include any notes to resolve discrepancies being documented in the Accounting Audit Tool.	
Step 12	All requirement elements were met prior to approving the accounting.	
Step 13	If required, notification for a final accounting requirement was sent to the fiduciary.	
Step 14	All appropriate follow-up tasks were established in the beneficiary record (e.g., receipt of a final accounting, receipt of a court accounting, etc.).	
Steps	Authorized	✓
	<b>Work Completed: Authorization of an EP 590. Verify that:</b>	
Step 1	The beneficiary was afforded all due process rights prior to issuance of a final rating decision.	
Step 2	Reasonable efforts to contact the beneficiary by phone to verbally explain the Brady Act were appropriately documented.	
Step 3	All pertinent evidence was discussed in the rating decision (proposed rating, due process letter, any waivers of due process (if applicable)).	
Step 4	The effective date for the incompetency rating was correct. This should match the date the rating is completed.	
Step 5	Any necessary examinations were completed (or rescheduled) correctly.	
Step 6	The case was referred correctly to VSC/PMC, when necessary (to include establishing correct EP).	
Step 7	The competency decision was correct.	
Step 8	The appropriate notification was sent to all required parties, to include Power of Attorney.	

Step 9	Any award adjustments (other than appropriate withholding action) was valid.	
Step 10	All necessary payment changes were effectuated (e.g., CFID completed).	
Step 11	Award net effect is \$0	
	<b>Work Completed: Exam closure, Authorization of award with Fiduciary Appointment, Resume Award. Verify that:</b>	
Step 1	The fiduciary certification is of record.	
Step 2	The change of fiduciary (CFID) was completed correctly.	
Step 3	The fiduciary was not made aware of his/her appointment and responsibilities as fiduciary in writing (e.g., the <i>IA Fiduciary Notification Letter</i> including a signed VA Form 21P-4703).	
Step 4	The fiduciary was aware of their fee approval and/or date they may start taking a fee (e.g., ensure a copy of the <i>Beneficiary Fee Notice Letter</i> is of record).	
Step 5	The appropriate notification was sent to all required parties, to include Power of Attorney.	
Step 6	The appropriate EP was established for PMC/VSC if any additional actions were needed for their review/processing (e.g., pension, dependency, etc.).	
Step 7	The follow-up field examination type and date were correct.	
Step 8	The fiduciary oversight type and/or date were correct.	
Step 9	The follow-up activity was completed correctly (e.g., SDP, insurance, 21P-555, etc.).	
Step 10	A task was established to control for future actions in accordance with FPM guidance (direct deposit, surety bond receipt, etc.).	
Step 11	A surety bond was requested and/or documented correctly (e.g., development letter) when VA FUM was over \$25,000.	
Step 12	Any retroactive funds were withheld/released correctly, to include a memo to VSC/PMC when applicable.	
Step 13	A properly titled account was requested.	
Step 14	Any award adjustment (other than appropriate withholding action) was valid.	
Step 15	The resumption of benefits was implemented correctly.	
Step 16	The award was suspended/terminated correctly, if applicable.	
Step 17	All necessary payment changes were effectuated (e.g., CFID completed).	
Step 18	The case was referred correctly to VSC/PMC, when necessary (to include establishing correct EP).	
Step 19	Retired pay was withheld correctly, or appropriate EP was established to control for action by appropriate VSC/PMC team.	
Step 20	Severance pay was withheld correctly, or appropriate EP was established to control for action by appropriate VSC/PMC team.	
Step 21	Drill pay was withheld correctly, or appropriate EP was established to control for action by appropriate VSC/PMC team.	



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# Discussion and Questions



Any questions should be directed to your local QRT



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U.S. Department  
of Veterans Affairs 17