



General Information Memorandum

ISD-GI 16-21

TO: ISD Employees

FROM:  Marilyn Martinez, Director, Income Support Division

RE: Findings Review Process

DATE: March 1, 2016

This GI amends previous GI 14-59 regarding "Findings Review Process," and serves to outline the current review process for Quality Control (QC) findings and the role of the Error Review Committee (ERC).

QC will report preliminary error findings to the County Director (CD) and the Regional Operations Manager (ROM). The findings will be forwarded after the completion of the case review by the QC reviewer and evaluation by central QC staff. All cases determined eligible/correct and cases not subject to review findings will be forwarded to the ROM and CD.

Concur with QC Findings

If the CD and ROM agree with the QC error finding, they will develop a Performance Improvement Response within five (5) days and forward it to the QC Manager. Once the CD receives the final, County Response to QC Findings 011e, signed by the QC Manager with a date of discovery indicated, the claim should be established within ten (10) days. The CD will track that a claim is established or a supplemental issuance authorized, if appropriate. The CD must provide the ROM with verification of the corrective action within 30 days of the date of the concurrence with the QC findings.

Disagree with QC Findings

If the CD and ROM disagree with the error findings, they must submit the County Response to QC Findings form and indicate this in the section "Request for Re-evaluation" within five (5) workdays to the QC Manager which outlines the reason and applicable policy to support their decision.

The QC Bureau Chief, QC Operations Manager and the QC Staff Manager will be responsible for the re-evaluation in accordance with the SNAP policy and QC procedure manual.

QC will be responsible for obtaining any policy clarifications about the case action from USDA-FNS QC or ISD Policy & Program Development Bureau (PPDB). QC staff will conduct any follow up with collateral contacts or the client as part of the reevaluation. The county office staff is prohibited from contacting the household members or collateral contacts to obtain any information or clarification related to the case review findings.

The case will be re-evaluated based on policy clarification and in accordance with the SNAP policy and QC procedure manual. QC will issue the final decision on the case to the ROM and CD.

Once re-evaluation has occurred and all QC errors are final, the CD will develop a Performance Improvement Response within three (3) days and forward to the ROM and QC Manager of those cases that contain an error amount. It is the responsibility of the CD to create a ticket on any QC finding found to be a system issue.

If the county disagrees with Quality Control after the final decision, 0112, is received, signed by the QC Manager, the county may appeal within 3 work days to the ISD Director.

The Error Review Committee (ERC) is comprised of the QC Manager, Supplemental Nutrition Assistance (SNAP) Program Manager and Training Manager. The ERC role is primarily one of reviewing cases to assess trends for future corrective action planning; not to review individual error cases to assess the potential for reducing or eliminating the errors in a sampled individual case. This process allows cases to identify error trends discovered in by Quality Control in order to implement process improvements or training to prevent future errors during the eligibility and error determination process. ERC must incorporate and maintain procedures that minimize the likelihood of unacceptable bias being introduced into the QC review process.

ROMs have defined a regional plan for the Performance Improvement Committee process at each office. Attached are copies of the County Response form, and the QC Review Findings Flow Chart.

If there are any questions please contact:
Carolyn Craven, QAB Bureau Chief at 505-827-7224
Mary McIntyre, Supervisions Manager, at 505-827-6243
Lorene Quintana, QC Manager, at 827-7209.

Attachments:
County Response to QC Findings Form
QC Review Findings Flow Chart

COUNTY RESPONSE TO QC FINDINGS

1. COUNTY OFFICE INFORMATION

Case Name:	Case #:	Supervisor Name:
County:	Category:	Within the certification period, what type of review was completed?
Review #:	Review Month:	<input type="checkbox"/> Regular Supervisory Review
FAA Name:		<input type="checkbox"/> Prior to Disposition Review (case reader-if applicable)
FAA Experience (yr./mo.):		<input type="checkbox"/> Prior to QC review
		Findings: <input type="checkbox"/> Correct <input type="checkbox"/> Corrections Needed

2. COUNTY OFFICE RESPONSE

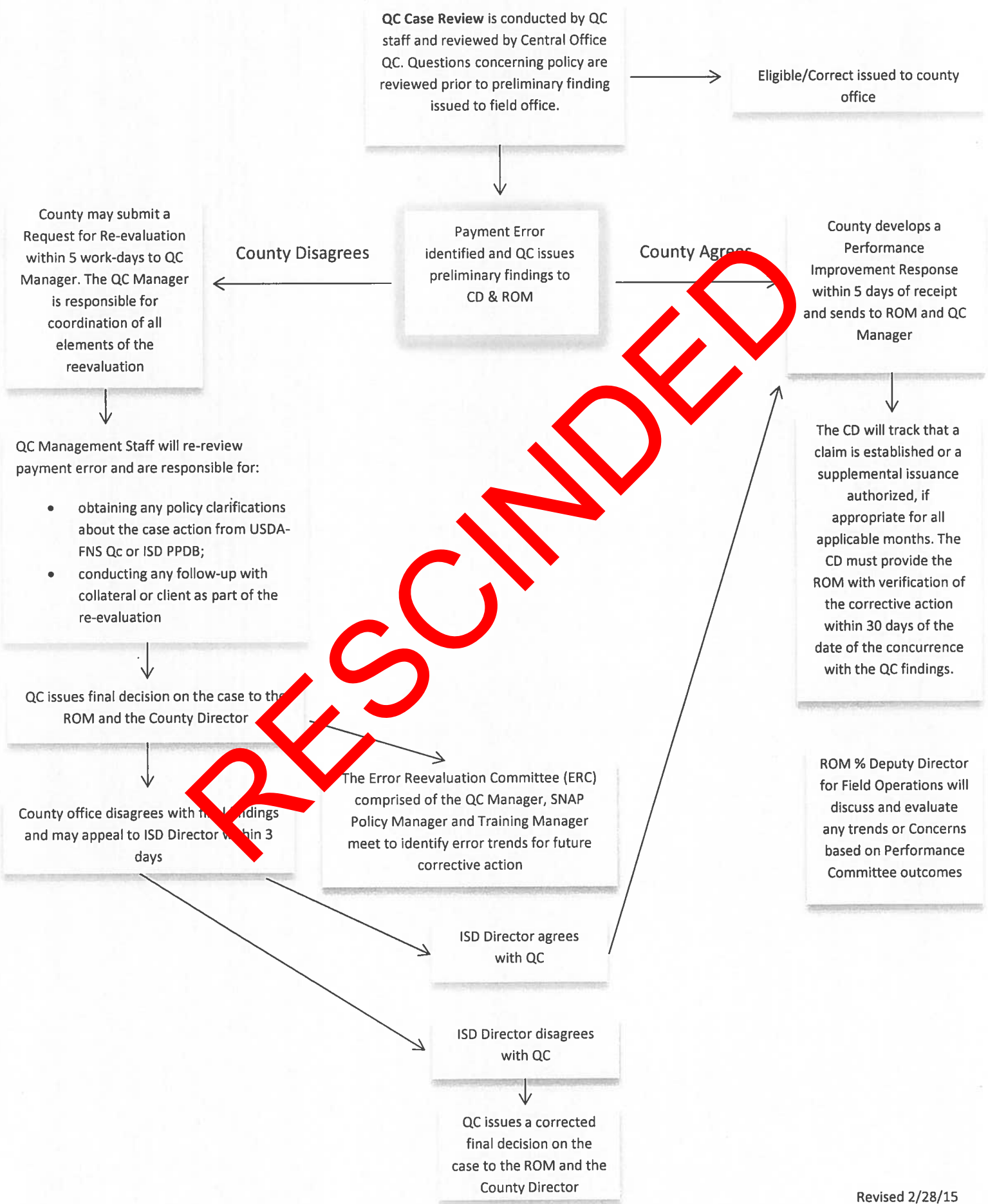
<input type="checkbox"/> Performance Improvement Response Provide a detailed explanation of the plan for improvement when concurring or final determination has been made.	<input type="checkbox"/> REQUEST FOR RE-EVALUATION Provide a detailed explanation of the request; cite policy sections and/or error element to be reevaluated.
CD Signature/e-mail address	Date

3. SUMMARY OF QUALITY CONTROL RE-EVALUATION

<input type="checkbox"/> Uphold QC Determination – No Change <input type="checkbox"/> Re-evaluation Determination Change [see below] Allotment Amount: \$ Incorrect Amount: \$ Client <input type="checkbox"/> Agency <input type="checkbox"/> <input type="checkbox"/> Over <input type="checkbox"/> Under <input type="checkbox"/> Religiore <input type="checkbox"/> Valid Negative <input type="checkbox"/> Invalid Negative	Please initiate the following actions: <input type="checkbox"/> Potential Fraud; Refer for ADH by: <input type="checkbox"/> Overissuance, Complete Claim by: <input type="checkbox"/> Under issuance, see MS FSP 8.139.640 NMAC <input type="checkbox"/> Submit Performance Improvement Response
Summary:	
QC Manager eSignature:	Date of discovery:

Email this form to Lorene.Quintana@state.nm.us and Carolyn.Craven@state.nm.us as well as your Regional Office Manager. Mailed copies should be sent to PO Box 2348, Santa Fe, NM 87504, Attention QC Section.

Quality Control (QC) Review Findings Flow Chart



RESCINDED