Interim Policy & Procedure Memorandum

ISD-IPP 14-01

TO: ISD Employees
FROM: Marilyn Martinez, Acting Director, Income Support Division
RE: Revised Secondary Review Requirements, Case Reads
DATE: February 24, 2014

AMENDED

Effective March 1, 2014, new procedures to complete Case Reads, formerly secondary reviews, will be implemented. Now that the Income Support Division offices are operating in ASPEN, the need has arisen to update Case Read requirements and the procedures used to perform them. This rescinds IPP 12-08.

To meet the requirement of Case Reads for the monthly SNAP Performance Report, counties with a payment accuracy rate of 96% or better must review cases at Level 2; all others must review cases at Level 1.

- **Level 1** A county office with an error rate above 4.0% is required to complete 35 full reviews per supervisor per month by the last working day of the month.

- **Level 2** A county office with an error rate of 4.0% or less is required to complete 25 full reviews per supervisor per month by the last working day of the month.

Criteria # 152 must be used for both Level 1 and Level 2 reviews. Each Supervisor must enter a sample request and allowed to batch overnight.

All supervisory reviews should include a review of income, household composition, deductions, timeliness, documentation, and if barriers and the NVRA settlement agreement requirements were addressed.

The County Director and the Quality Improvement Section (QIS) will monitor to ensure that all required reviews are done monthly.
If counties are found to be non-compliant with mandatory case reads, County Directors, as part of a remedial Corrective Action Plan, will review a minimum 5 cases per supervisor prior to the last working day of the month.

**LIHEAP Supervisory Case Reads**

A required corrective action measure from an audit requires all county offices to review 10 LIHEAP approved applications.

Criteria # 153 ---- must be used for these reviews. A sample request must be entered and allowed to batch overnight.

The County Director and the Quality Improvement Section (QIS) will monitor to ensure that all required reviews are done monthly. Staff from the Work and Family Support Bureau will re-review a sample of these reviews.

**Inter-office Management**

Though currently not required, criteria have been established for offices to utilize in monitoring other processes as well.

Criteria # 154 SNAP Denied.

 criteria # 155 Recertifications Approved.

Criteria # 156 Recertifications Closed.

Criteria have been established by the Quality Assessment Bureau to ensure uniformity for Case Reads Statewide.

Attachment
Case Read Procedures
Case Read Definitions

*Case Reader:*
The person requesting a sample and reviewing the case as a case read.

*Specialist:*
The person who the case is returned to for correction. This person could be a caseworker or a County Director (for MEs).

*Criteria:*
Determines what programs/measures are needed for a case read sample. Criteria ID numbers for monthly Case Read requirements are set by the Quality Assessment Bureau. Line Managers have the ability to set criteria to meet office needs.

*Note: once a criteria is set, it cannot be changed.*

*Sample:*
A listing of cases that meet the criteria as established. The person requesting a sample of cases will be the person responsible for completing the case reads.
Case Read Procedures

*Establish Criteria
determine what programs/measures are needed

*Request a Sample
determine the number of cases needed and the period

*Initiate Case Read Process
begin the case read process/return to worker for correction

*Review Reports

| MR- 012 | Monthly Case Read Results by Office |
| MR- 013 | Monthly Case Read Results by Office |
| MR- 014 | Monthly Case Read Error Report by Region |
| MR- 018 | Monthly Case Read Results by County |
| MR- 019 | Monthly Statewide Case Read Results by Office |
| MR- 020 | Case Read Errors by Program by Region |
| MR- 024 | Monthly Case Read Progress Report by Office |
| MR- 025 | Semi Monthly Case Read Progress Report by State |
| MR- 026 | Monthly Case Read Progress report by Region |
| MR- 027 | Monthly Case Read Progress report by County |
| MR- 030 | Monthly Benefit Accuracy Report by Office |
| MR- 031 | Monthly Benefit Accuracy Report |
| MR- 032 | Monthly Benefit Accuracy Report by Region |
| MR- 033 | Monthly Benefit Accuracy Report by County |
**Case Read Flowchart**

**Establish Criteria**
Determine programs and measures needed in a sample request.  
*The Quality Assessment Bureau will set the Criteria for meeting monthly Case Read Requirements.*

**Request a Sample**
Each line manager must request a sample of cases to Case Read each month. The request must batch overnight.

**Initiate Case Read**
Begin the case read process. Update the Case Reading Results Summary Form.  
Was the case processed correctly?

Yes
Update the Case Reading Results page and Certify the case read

No
Return the case to the worker for correction. The case worker will receive an alert. The case worker will Initiate a Change Action, make corrections and update the Case Read Form and send back to the Reader. The Supervisor will receive an alert and Initiate a Case Read Action. Review the case and changes. If all is correct, proceed to certify.

**Review Reports**
Review monthly / semi-monthly reports
Criteria for Monthly Required Case Reads have been defined by the Quality Assurance Bureau.
If you need to define additional sampling criteria, follow these instructions:
Begin at Left Nav> Case Read> Criteria> Add/View Existing Criteria, Click Add
Select Program, Category of Eligibility and Program Status, click Add, click Next

***Make note of your Criteria ID# that is automatically generated.
Case Read Criteria

Select up to 5 program measures of criteria and Click Update
If you are certain that the Criteria you set is exactly what you need, then you are ready to activate.
Locate your Criteria ID#. Notice that Activate Criteria and Create Complete are set at NO. To activate the Criteria ID: Click the Edit Pencil.
Case Read Criteria

Once this Criteria is set, it cannot be changed. Select YES for both Activate Criteria and Create Complete on the drop downs. Click Update.

If you are certain that this criteria is set then, click OK. If you are not certain, click cancel and review the criteria selections before activation.

***Document your Criteria ID #. You will need it to request a sample in the next step.***
Case Read Sampling
When the criteria is set, you will need to pull a sample of cases to read. Start by going to Left Nav> Case Reads> Sampling> Search/View Sample Request. Enter the Criteria ID and click ADD.

*Note: The request will need to batch overnight. The person requesting the sample will be the person assigned to Read the cases.
Case Read Sampling

How many cases do you want in the sample?

Enter the Year and Month you are requesting the sample.

Enter the Year and Month you want to sample

Enter the Sample period Begin and End Dates (month you want to review) and select the Level: Region, County or Office. Click Submit.

Document your Sample ID as you will need it the next day to begin the Case Reading Process.
Case Read Process
To Begin a case read on the sampled cases go to Left Nav> Sampling> Search/View Sample Request. Notice your Criteria ID and Sample ID are listed. Click on the Sample ID hyperlink.
The requested sample of cases are ready for Case Read. To begin with the case read, click on the green arrow under Start Case Read.
You will be directed to Initiate Action. The Case number and Case action will be automatically populated. Click Next.
Case Read

Case Action Confirmation

Case Name: Trujillo, Dexter
Case/Application Number: 120002378
Current Action: New Action: Case read

By answering Yes to this question and clicking the Next Button, you are accepting the action for the case name and number listed above.

* Do you wish to continue?

- [ ] NO
- [ ] YES

On the drop down for *Do you wish to continue, select YES and click Next.
Select the EDG you wish to Case Read by clicking in the box. You will be taken through Data Collection Screens for review in Read Only mode.
Case Read

After reviewing the case, the LUW will direct you to Miscellaneous> Case Reading> Case Reading Results Summary. This is where your results/comments will be entered.
Case Read Results – Drop down options

<table>
<thead>
<tr>
<th>Case Name:</th>
<th>Case #:</th>
<th>Case Status: Closed</th>
</tr>
</thead>
<tbody>
<tr>
<td>EDD #</td>
<td>10018142</td>
<td>COE:</td>
</tr>
<tr>
<td>Error Reason:</td>
<td>Error Type:</td>
<td></td>
</tr>
<tr>
<td>Error Category:</td>
<td>Payment Error:</td>
<td></td>
</tr>
</tbody>
</table>

Error Reason:  
- Data not updated  
- Documentation lacking  
- Math or transcription error  
- No action on reported information  
- Other  
- Policy not correctly applied  
- System caused error  
- Verification  

Error Type:  
- Alien/Refugee  
- Burial Asset  
- Dependent Care  
- Disability  
- Disability Benefits  
- Employment  
- Employment Services  
- Exempted Service  
- Household  
- IAA  
- IPV Sanctions  
- Immunization  
- Individual  
- Individual Demographics  
- Liquid Assets  
- Living Arrangement  
- Lump Sum  
- Medical Expenses  
- Miscellaneous Payments  
- Non-Cooperation  
- Notice  
- Out of State Benefits  
- Pregnancy  
- Processing  
- Real Property  
- Relationship  
- Room Board  
- Room and Board  
- STFS  
- Self Employment  

Error Category:  
- Individual Information  
- Non Financial  
- Assets  
- Income  
- Wrap up  

Payment Error:  
- NO  
- YES
Case Read Results

Select Error Reason, Error Type, Error Category, Payment Error options and click Add.

The selected information will automatically populate in the next section below the summary.
Enter information and comments found from the Case Read for each Category. Select: Employee User ID (click on the eyeglasses to search for the worker to send the case back for review/re-read), Update the Case Status drop down, Select the radio button Send to Specialist. Once the Specialist has updated changes/comments, select Send to Reader. When re-read is complete, Case Status should be updated to certify. Click Submit.
Case Read-Instructions

**Error Category:**
- Individual Information
- Data Not Updated

**Household Comments:**
- Household Composition
- Individual Information
- SSN Verifications

**Non Financial Comments:**
- Special Accommodations, Timeliness/Expedite
- NVRA, Documentation, Forms, Language
- Student Status, TPL / Employment Services / AP

**Income Comments:**
- Earned Income
- Unearned Income

**Assets Comments:**
- Assets
- Expenses

**Enter additional comments to the specialist for correction/response**

**Enter responses/comments back to the Case Reader**
LiHEAP Case Read-Instructions

**Error Category: Individual Information**  
Data Not Updated  
Math Transcription Error

<table>
<thead>
<tr>
<th>Household Comments:</th>
<th>Non Financial Comments:</th>
<th>Error Categories:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Household Composition</td>
<td>Special Accommodations, Timeliness/Expedite</td>
<td>Non-Financial / Wrap Up</td>
</tr>
<tr>
<td>Individual Information</td>
<td>NVRA, Documentation, Forms, Language,</td>
<td></td>
</tr>
<tr>
<td>SSN Verifications</td>
<td>Student Status, TPL / Employment Services / AP</td>
<td></td>
</tr>
<tr>
<td>Points Issued</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Error Category: Income**

<table>
<thead>
<tr>
<th>Income Comments:</th>
<th>Assets Comments</th>
<th>Error Category:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Earned Income</td>
<td>Assets</td>
<td>Assets</td>
</tr>
<tr>
<td>Unearned Income</td>
<td>Expenses</td>
<td></td>
</tr>
</tbody>
</table>

**Error Category: Assets**

**Case Read Comments:**
Enter additional comments to the specialist for correction/response

**Specialist Comments:**
Enter responses/comments back to the Case Reader
# Case Read-Instructions with Details

## Error Category crosswalk:

<table>
<thead>
<tr>
<th>If the Error Category selected is:</th>
<th>Comments should be entered under:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Individual Information</td>
<td>Household Comments</td>
</tr>
<tr>
<td>Non-Financial</td>
<td>Non Financial Comments</td>
</tr>
<tr>
<td>Assets</td>
<td>Assets Comments</td>
</tr>
<tr>
<td>Income</td>
<td>Income Comments</td>
</tr>
<tr>
<td>Wrap Up</td>
<td>Non Financial Comments</td>
</tr>
<tr>
<td>Data Not Updated</td>
<td>Household Comments</td>
</tr>
<tr>
<td>Math Transcription</td>
<td>Household Comments (use for Liheap Points)</td>
</tr>
</tbody>
</table>

## Details for Comments Boxes:

| Household Comments:               | all household members listed     |
| Individual Information            | names/dob/ssn are entered correctly |
| SSN Verification                  | verified after two contacts made with HH |
| Non-Financial Comments:           | offered to applicant/recipient, documented on ASPEN-case comments and Household Information |
| Special Accommodations            | offered to client/VR form given or mailed to client |
| Timeliness/Expedite               | case processed timely             |
| NVRA                               | coded correctly                   |
| Language                           | correct forms used and in the correct language |
| Forms                              | case comments                     |
| Documentation                      | college Student                   |
| Student Status                     | non-financial questions/responses from Data Collection>Non Financial |
| Third Party/Empl Suc/ AP           | enter comments related to earned income |
| Income Comments:                  | enter comments related to unearned income |
| Assets                             | assets / resources information    |
| Expenses                           | expenses                          |
The specialist will receive an Alert on their dashboard with a due date to complete the Case Read. Click on the Alert Description hyperlink to Initiate Action. Review the Case Read Results, make necessary corrections and send to Reader when complete (following the instructions on slides 15-16). Remember to dispose the Alert after each task is complete.

See Job Aid 10 – Alerts
Case Read Reports
## Case Read - Reports

See Job Aid: 15 - Reports

<table>
<thead>
<tr>
<th>MR-</th>
<th>Report</th>
</tr>
</thead>
<tbody>
<tr>
<td>012</td>
<td>Monthly Case Read Results by Office</td>
</tr>
<tr>
<td>013</td>
<td>Monthly Case Read Results by Office</td>
</tr>
<tr>
<td>014</td>
<td>Monthly Case Read Error Report by Region</td>
</tr>
<tr>
<td>018</td>
<td>Monthly Case Read Results by County</td>
</tr>
<tr>
<td>019</td>
<td>Monthly Statewide Case Read Results by Office</td>
</tr>
<tr>
<td>020</td>
<td>Case Read Errors by Program by Region</td>
</tr>
<tr>
<td>024</td>
<td>Monthly Case Read Progress Report by Office</td>
</tr>
<tr>
<td>025</td>
<td>Semi Monthly Case Read Progress Report by State</td>
</tr>
<tr>
<td>026</td>
<td>Monthly Case Read Progress Report by Region</td>
</tr>
<tr>
<td>027</td>
<td>Monthly Case Read Progress Report by County</td>
</tr>
<tr>
<td>030</td>
<td>Monthly Benefit Accuracy Report by Office</td>
</tr>
<tr>
<td>031</td>
<td>Monthly Benefit Accuracy Report</td>
</tr>
<tr>
<td>032</td>
<td>Monthly Benefit Accuracy Report by Region</td>
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