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## General Information Memorandum

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**ISD-GI 14-59**

**TO: ISD Employees**

**FROM: *MM* Marilyn Martinez, Acting Director, Income Support Division**

**RE: Findings Review Process**

**DATE: October 29, 2014**

This GI amends previous GI 05-25 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, and questions concerning policy have been addressed. 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. 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 Reevaluation” within five (5) workdays to the QC Manager which outlines the reason and applicable policy to support their decision.

The QC Manager will be responsible for the coordination of all elements of the reevaluation.

QC will also 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 Error Reevaluation Committee is comprised of the QC and Supplemental Nutrition Assistance (SNAP) Program Manager. The case will be re-evaluated and may be changed based on any additional information that may be collected from follow up with collateral contacts or the client, or 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.

If the county disagrees with the final findings and wants to appeal the Error Reevaluation Committee decisions, the appeal must be forwarded to the ISD Director within three (3) workdays and the ISD Director will make a final decision within three (3) workdays.

Once all QC errors are final, the CD will develop a Performance Improvement Response within ten (10) 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.

The Quality Improvement Section (QIS) will issue a trends overview of the error findings with description of the error and time of occurrence on a monthly basis.

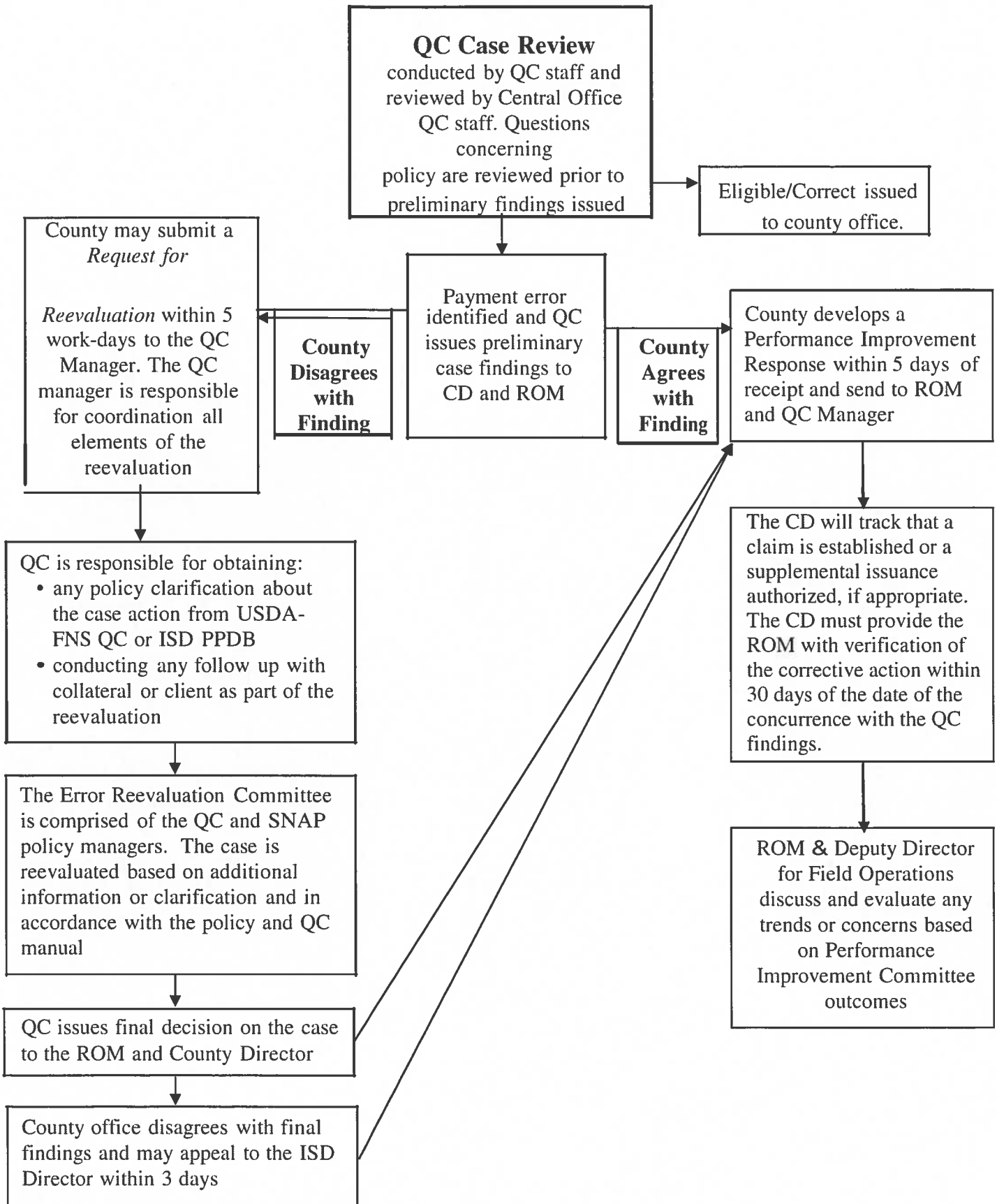
ROMs should define their regional plan for the Performance Improvement Committee and submit for review to Laura Galindo, Deputy Director for Field Operations, within 30 days of receiving this memorandum. Attached is a copy of the County Response form, which is available on the E-forms website, and the flow chart of the process.

If there are any questions please contact Carolyn Craven, QAB Bureau Chief, at 505-827-7224; Adam Martinez, QC Manager, at 827-6243; Sam Peinado, PPD Bureau Chief, at 505-827-7219; or Bobbi Britt, SNAP Program Manager, at 505-827-1326.

**Attachments:**

County Response to QC Findings Form  
QC Review Findings Flow Chart

# Quality Control (QC) Review Findings Flow Chart of Findings Review Process



# REVIEW OF QC FINDINGS

## Performance Improvement Response

The PIR is developed by the CD and:

- focus is on corrective action and review of the final QC error
- the caseworker responsible will have corrective action
- the CD and ROM will utilize the PIR to review all aspects of county office performance beyond payment accuracy and would review timeliness, accuracy of negative actions, etc. related to the SNAP program

Having the PIR and corrective action response reviewed at the regional level may facilitate more responsive corrective action as the participants are better aware of individual county office processes.

## Error Reevaluation Committee (ERC)

This ERC is coordinated by the QC Manager and:

- is comprised of the QC Manager and SNAP Policy Manager
- is focused on accurate review and reporting of QC error to the federal partner
- reviews any QC findings that a reevaluation is requested
- reviews appropriate federal and state policies

The county may request a re-examination of the case review to the QC Manager from the CD where the error was preliminary determined. QC will responsible for coordinating the process, which will include policy clarification from federal sources or ISD PPDB. QC staff shall complete any additional contact with the client and/or collateral.

This committee's schedule will depend on the number of reviews found in error that request re-examination and any additional collateral or client contacts required.

Once the case review has been re-examined, QC will issue the final decision with the consensus of the SNAP Policy Manager to the ROM and County Director. Once the review is final the county office must submit the case and Performance Improvement Plan to the Rom and QC Manager. If the county disagrees they may appeal with 3 work-days to the ISD Director.

# 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:	FAA#:	<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"/> <b>Performance Improvement Response</b> Provide a detailed explanation of the plan for improvement when concurring or final determination has been made.	<input type="checkbox"/> <b>REQUEST FOR REEVALUATION</b> 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 ERROR REEVALUATION COMMITTEE

<input type="checkbox"/> Uphold QC Determination – No Change <input type="checkbox"/> Reevaluation 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"/> Ineligible <input type="checkbox"/> Valid Negative <input type="checkbox"/> Invalid Negative	<b>Please initiate the following actions:</b> <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
<b>Summary:</b>	
QC Manager Signature:	Date:

Email this form to [Adam.Martinez@state.nm.us](mailto:Adam.Martinez@state.nm.us) and [Carolyn.Craven@state.nm.us](mailto: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.