

DPA WORK SERVICES QUALITY ASSURANCE INTERNAL REVIEW (QAIR)

This document compliments the Work Services Procedures Manual section 1002-2

PROCESS:

- Program Integrity & Analysis emails a Participant List to DPAWS Leadership. Managers use the All Families lists to create a Random list (see separate procedure) of all clients, highlighting cases to be reviewed and emails the random list to the Leadership Team by the end of each month.
- The Project Assistant reviews all identified cases according to the criteria below and using the approved Case File Review form.
- The Project Assistant emails the Case File Review to the Case Manager and their Supervisor.
- The Supervisor reviews the QAIR, discusses anomalies with the case manager; and, if there are any questionable areas, they schedule a meeting with the Project Assistant to discuss them.
- The Project Assistant enters each QAIR into the approved monthly roll-up form by the 15th of the following month and emails it to the Leadership team.

CRITERIA:

Referral and Engagement over last 12 months
<p>Does not meet:</p> <p>FSSP and EA not completed within 30 calendar days of referral or track change.</p>
<p>Minimally:</p> <p>FSSP and EA not completed within 30 calendar days of referral from Eligibility to Work Services; or, a track change; or, transfer to a different Service Delivery Area (office). However, CM attempted contact minimum of 2 times via multiple methods, <u>and</u> CM imposed penalty within 5 days if good cause was not provided or documented why penalty not set.</p>
<p>Satisfactory:</p> <p>FSSP and EA complete within 30 calendar days of referral or track change.</p>
<p>Exceeds:</p> <p>FSSP and EA completed within 2 business days of referral or track change.</p>
Employment Assessment within the last 12 months
<p>Does not meet:</p> <p>Any sections of the EA are left blank.</p>

Minimally:

There is minimal information in sections of the EA CLNO. Or, there is no explanation to yes answers in employment history, education/training, substance abuse, domestic violence or mental health sections.

Satisfactory:

All fields of the EA CLNO are complete and thorough, representing a full review of the EPI and the 5 federally required elements: employment history, education/training, substance abuse, domestic violence and mental health. There are dates of incidents with explanations of outcomes.

Exceeds:

EA CLNO is very thorough, representing a full review of the EPI and the 5 federally required elements: employment history, education/training, substance abuse, domestic violence and mental health and presents a complete picture of the client's situation leaving the reader with no questions as to their history, complexities, needs and next steps toward self-sufficiency. Appropriate referrals were given to client for partner agencies and to jobs.

Family Self Sufficiency Plan

Does not meet:

FSSP or addendum is expired or is not signed. Addendum end date is beyond the FSSP original expiration date. Steps on FSSP addendum do not relate to original FSSP. There is a gap between FSSPs with no explanation as to why. There is no CLNO to support the development of the FSSP or the addendum.

Minimally:

FSSP was not updated when the client's circumstances changed, such as obtaining employment or a scheduled appointment to update the FSSP was not made. FSSP is current and signed; however, it lacks appropriate referrals to resolve challenges identified in the EA; or, it is not clear to the reader what the client needs to do; or, it does not have unique review dates attached to the steps. There is a gap of 30 days or less between FSSPs with explanation describing the reason for the gap. Review dates are not unique to the step. The CLNO minimally explains the discussion that occurred between the client and case manager.

Distance delivery FSSP's not signed within 30 days must have attempts to gain signature and penalty requested if no good cause or documented why penalty not set.

Satisfactory:

FSSP is current and signed. Usage of addendum is appropriate. The FSSP has a realistic goal to exit TA with; appropriate review dates for each step and identifies supportive services needed as well as the next appointment with the case manager. The CLNO explains the discussion between the client and case manager thoroughly and gives a clear picture of the client's goals and steps to self-sufficiency.

Exceeds:

FSSP is current and signed. FSSP was updated within 2 business days of a significant change such as obtaining employment. The steps contain names and phone numbers of agencies to contact as well as the name and phone of the case manager. The FSSP is very detailed with manageable steps for the client to achieve. The FSSP follows, expands, or progresses from the previous FSSP and is easy to follow. The CLNO explains why a step was dropped from the previous FSSP; or, if it was successfully completed or if it is no longer relevant. If the client is working, there are appropriate progressive steps for reaching self-sufficiency.

Family Progress Report (FPR)

Does not meet:

FPR was not completed within the past 6 months of on-going ATAP and the CLNO does not explain why. FPR Summary (Part D) is not documented in CLNO.

Minimally:

FPR was done late; or, the CLNO states to see HC in file and there is no information about the discussion in the CLNO.

Satisfactory:

FPR was completed within the past 6 months of on-going ATAP. The CLNO gives the reader a good picture of the client's challenges and any progression or regression. Attempts to gain client input are CLNO'd.

Exceeds:

FPR was completed early or more frequently than every 6 months. CLNO clearly shows the discussion that occurred as well as the progression/regression of the client during the past 6 months and identifies actions taken. The CM documented differences between the case manager's and client's answers.

Penalties-Good Cause-Reengagement

Does not meet:

Penalty/penalties not requested to be imposed/ended/deleted when the client became non-compliant or compliant. All appropriate penalties were not requested. Wrong penalty requested. PPHV not done but needed; or, CLNO does not explain why it wasn't done; or there is no CLNO of the PPHV outcome. Penalty set without due diligence to determine good cause. Did not use multiple methods on multiple dates to attempt to re-engage client.

Minimally:

Correct penalty/penalties requested; however, it was more than 5 days after good cause/compliance/non-compliance occurred.

Satisfactory:

Correct penalty/penalties requested to be imposed/ended/deleted within 5 days of good cause/compliance/non-compliance. The correct penalty was requested. When WA penalty is in place and FSSP expires without good cause, an SS penalty was requested as well. PPHV or outreach was done to re-engage client with a detailed CLNO describing what occurred and the recommended action. Attempted at least 2 methods to reengage the client: phone, letter, email, text, note card, or home visit, CLNO shows the discussions that occurred with the client to ensure they understand why a penalty was requested and how to end it.

Exceeds:

Correct penalty/penalties were requested to be imposed/ended/deleted within 5 days of good cause/compliance/non-compliance. Case manager monitored the request to ensure eligibility took action timely. Case manager conducted re-engagement or penalty progression home visit. Case manager attempted more than 2 methods to reengage the client: phone, letter, email, text, note card, or home visit.

Supportive Services and Child Care

Does not meet:

Supportive services were identified as needed, but were not issued. There is no CLNO for the supportive service authorization or denial. CM issued unauthorized supportive service. Voucher and CLNO do not match the correct vendor or the dollar amount.

Minimally:

Supportive services were issued; however, the CLNO contains a weak justification that does not give a clear picture of why the case manager is authorizing the level of service. CLNO entered more than 2 business days after issuance of supportive service.

Satisfactory:

CLNO entered within 1 business day of issuing supportive service. CLNO justifies level of service provided. FSSP contains the need for the supportive service if discussed during FSSP development. If service was requested and denied, CLNO explains why and it follows policy.

Exceeds:

Case manager recognized the need for supportive services and explored options with the client. CLNO shows budget and leveraging discussions. CLNO thoroughly justifies the need for the service and identifies leveraging of resources with other agencies, family members or friends; or, explores why leveraging is not possible.

Work Verification and CMS Data Entry

Does not meet:

Data entry and/or CLNO not entered on or before the 20th of the month. WA screen and CLNO do not match. All verified hours not entered. One or more month during the review period has an error. Most recent verification not used. Any required calculation for work hours is not in the CLNO.

Minimally:

Data entry and CLNO are entered on or before the 20th of the month. Data entry and CLNO match, but the CLNO is so confusing on calculation of hours that reviewer cannot determine with surety whether the hours are correct.

Satisfactory:

Data entry and CLNO entered on or before the 20th of the month. CLNO is easy to understand and is in accordance with the WAV plan. WA screen and the CLNO match. Correct calculations are used. Most recent verification is used. All months during the review period are correct. All verified hours are counted.

Exceeds:

Data entry and CLNO entered well before the 20th of the month. Case manager used extensive methods or made multiple attempts and obtained hours that weren't readily available in CANO: calls to employer, Career Ready 101, The Work Number, obtaining signatures, etc. Rated on a case by case basis using the Satisfactory information above. CLNO states the reason a client did not participate in a countable work activity.

Job Retention and Progression

Does not meet:

The CLNO does not show discussion of the need to increase wages and hours. No discussion regarding progress. CLNO contains no discussion of job quit possibilities and the need to work with the case manager in order to avoid a job quit or in order to progress.

Minimally:

CLNO shows very limited discussion about the need to increase wages and hours, what the client can do to progress or only uses static FSSP verbiage about maintaining employment.

Satisfactory:

CLNOs show detailed discussion regarding the need to increase wages and hours. CLNOs show discussion regarding the need to resolve challenges to employment.

Exceeds:

CLNO's show frequent detailed discussion regarding need to increase wages and hours with a clear focus on strategies the client and CM discussed in order to progress toward TA closure. May include referrals to other jobs with higher pay, finding a mentor at work, resolving conflicts by contacting the case manager to brainstorm issues, active outreach to the client in order to avoid crisis at work, case manager visit to the job site if it would be welcomed.

Due Diligence/Documentation

Does not meet:

There is no attempted contact during any 1 month of the review period. There are no CLNO's showing attempts to contact the client or indicating conversations with client. CLNO's show an appointment was scheduled, but there is no CLNO regarding whether the appointment occurred or not and if not, what was done to reach the client. It is clear the case manager did not return phone calls to the client in a timely manner. Case manager did not address identified needs.

Minimally:

CLNO's show at least 1 attempt to contact the client each month. There is minimal information in the CLNO. CLNO's are hard to follow progress of the case. CLNOs were entered outside the 24 hour timeframe. Contact was made; however, the FSSP was not reviewed or updated.

Satisfactory:

CLNO's show at least 1 meaningful contact per month where the FSSP was reviewed or updated. CLNOs are easy to follow and the reader knows what is going on with the case. If there was no meaningful contact, case manager made at least 2 attempts at contact using different contact methods. CLNO entered within 24 hours. Clients were provided with referrals to partner agencies. There are quality client notes of all client contact and discussions. The case file documentation includes all policy requirements for TA10s, CWE site agreements, CWE placement agreements, OJT, Job Start, and staffing documentation.

Exceeds:

CLNO's show multiple conversations with client throughout the month. At least 1 CLNO shows an FSSP update/review. CLNO's were entered within 24 hours and are easy to follow. Case manager conducted an outreach visit to reengage the client. A home or community visit was done when the client needed a broader range of services or when meeting in the Work Services office was challenging. Case manager assisted the client with partner agency referrals by calling or emailing the partner agency to set up an appointment or to introduce client to the agency. The case manager used every available method to make contact, as needed, for client reengagement. Case manager actively pursued good cause and documented the results. Case manager discussed program requirements and expectations when it appeared the client needed it for their understanding.

Other Comments/Suggestions

Comments and suggestions is free-form text where the rater will note any positive, negative, or general observations regarding the case and/or case management. There will be instances where no "other comments/suggestions" are provided by the rater.