

DPA WORK SERVICES
QUALITY ASSURANCE CASE REVIEW PROCESS & CRITERIA

The WSPM and ATAP manuals take precedence over this document.

Randomization of Cases

- ESTII/QA receives statewide performance reports from R&A, typically around the 21st of the month
- EST II/QA uses the All Families participant list to create a random sample (see separate procedure) with all clients highlighted selected for review. Send the list to your supervisor before any cases are reviewed to protect the integrity of the case selection process.

Case Reviews & Facilitation

- ESTII/QA reviews all identified cases according to the criteria below and using the approved Case File Review form.
- ESTII/QA emails the Case File Review form to the case manager and the office supervisor.
- ESTII/QA and the case manager virtually meet at an agreed upon time each month to discuss the case findings. Ensure there is enough time for all parties to review the material. The meeting will always take place even if short in duration.

Corrections to Cases

- Case manager completes any corrections identified in the case review form and sends an email to the ESTII/QA when done, but no later than 10 calendar days from the meeting.
- ESTII/QA reviews the corrections made and responds to the case manager if appropriate.

Disagree with Findings

- Case manager and supervisor talk in an effort to understand the finding or present additional information relative to the case review.
 - If agreement occurs, case manager completes any corrections identified and sends an email to the ESTII/QA when done, but no later than 10 calendar days from the meeting.
 - If agreement does not occur, supervisor sends an email to the manager with the case review form and any documentation supporting the reversal of the finding
- Manager will respond to all parties with a final decision and a due date for the correction if applicable

Results Roll-Up

- ESTII/QA enters all data into the report roll-up as the case reviews occur throughout the month.
 - Data is valid unless the manager reverses a finding, in which the report would then reflect the adjusted information and score
- ESTII/QA submits the QA roll-up report to the WS leadership team by cob on the 10th of the month following the report month.

Referral and Engagement over last 12 months

Does not meet:

FSSP and EA not completed within 30 calendar days of referral.

Minimally:

FSSP and EA not completed within 30 calendar days of referral (referral date starts on the Monday after it's documented in a Case Note) or the case transfers to a different Service Delivery Area (office). However, CM attempted contact a minimum of 2 times via multiple methods (not just two phone calls to the same number) and CM imposed penalty within 5 calendar days from the date of the missed appointment if good cause was not provided or documented why penalty not set.

Satisfactory:

FSSP and EA complete within 30 calendar days of referral.

Exceeds:

FSSP and EA completed within 2 business days of referral.

Employment Planning Interview (assessment) within the last 12 months

Does not meet:

Any sections of the EPI CLNO are left blank.

Minimally:

There is minimal information in sections of the EPI CLNO. Or, there is no explanation in the EPI CLNO for any of the following mandatory sections: employment history, education/training, substance abuse, domestic violence or mental health sections.

Satisfactory:

All fields of the EPI 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.

Exceeds:

EPI 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 Review (FPR)

Does not meet:

FPR was not completed 2 months before or 1 months after the due date. FPR Summary is not documented in CLNO.

Minimally:

FPR was done without the client and minimal actions were taken by the case manager to engage the client into the process.

Satisfactory:

FPR was completed within 2 months before or 1 month after the due date. The CLNO gives a thorough explanation of the client's challenges and any progression or regression. Attempts to gain client input are documented in a CLNO.

Exceeds:

CLNO clearly shows the discussion that occurred as well as the progression/regression of the client during the past 12 months and identifies actions taken. The CM documented differences between the case manager's and client's answers. The FPR is clearly of high quality.

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 business 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. Documented attempt of at least two methods to reengage the client: phone, letter, email, text, note card, or home visit.

Exceeds:

Same criteria as Satisfactory and CLNO shows the discussions that occurred with the client to ensure they understand why a penalty was requested and how to end it.

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 circumstance, vendor or the dollar amount.

*Child care requests within case manager's control were rejected by CCPO.

**center was closed or had different hours are out of CM's control / performing due diligence to check available systems or verify other pertinent information prior to requests are within CM's control*

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 24 hours after issuance of supportive service.

Satisfactory:

CLNO entered same 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.

Exceeds:

Case manager recognized the need for supportive services and explored options with the client. 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. The CLNO also discusses a future plan for the service payable by other means.

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 FSSP Update CLNO (or different CLNO appropriately documented) does not show discussion of the need to increase wages and hours (if the client is employed or self-employed). No discussion regarding progress.

Minimally:

FSSP Update 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:

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

Exceeds:

FSSP Update CLNO shows 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 CLNOs showing attempts to contact the client or indicating conversations with client. CLNOs 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:

CLNOs show at least 1 attempt to contact the client each month. There is minimal information in the CLNO. CLNOs 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:

CLNOs 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.

Exceeds:

CLNOs show multiple conversations with client throughout the month. At least 1 CLNO shows an FSSP update/review. CLNOs 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.