KISS Case Review System

Management Evaluation FFY 2007

User's Manual

This manual should be used in conjunction with an actual KISS Case Review database or displays of the database screens available at www.waltenbaugh.net.

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Overview

The KISS Case Review System (CRS) is a methodology and information system for use by human services agencies and offices to conduct compliance and payment accuracy case reviews. It utilizes a database created in a Microsoft Access format. There are currently three database editions available: KISS Single Review, KISS Multi-Review, and the KISS Management Evaluation Review. This is the Users Manual for the KISS Management Evaluation Review.

The KISS Management Evaluation review system provides a methodology and tool to satisfy the federal performance food stamp review requirements of the Department of Agriculture, Food and Nutrition Service (FNS). It provides a means of collecting review data for all the targets identified by FNS for review in a designated federal fiscal year (FFY). Because of the fluid nature and changing requirements of the Management Evaluation Review from year to year, a new database is released each year to address the review targets for that fiscal year.

Although federal review targets are programmed into the KISS Management Evaluation database, the review system allows the user to develop and enter into the database an unlimited number of error causal factors for each review target. It is advised that one individual be assigned to the role of review or database administrator with the sole authority to assign and change the error causes.

When a review target or element is determined to be incorrect, the reviewer identifies the error cause based on the error causes programmed into the database by the review administrator. Up to three error causes per review target or element can be selected. Additional errors can be explained in the comments section, but that information does not appear in the reports

The database produces *error findings sheets* (hereafter referred to as review findings) that can be provided to the office subject to the review. In addition, overall reports are also generated that can be provided to the office under review. The reports can be run by state, region, county, or district.

A copy of the purchased database is provided on a compact disc (CD). Depending on the licenses purchased, the user can place the database on designated personal computers (PCs) or servers. The database is not password protected in any way, so the user is free to make modifications and enhancements.

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The review targets for the 2007 federal fiscal year are: Customer Service/Program Access, Intentional Program Violation (IPV), Recipient Claims, Corrective Action Assessment, Nutrition Education, and Electronic Benefit Transfer (EBT). To aid in the development of a data system, the KISS Case Review System (CRS) strips the Program Access component from the Customer Service target and treats it as its own review target. The KISS CRS further divides the Customer Service target into component review elements: Expedited Processing, Normal Processing, Recertification Processing, and Terminations. The remaining review targets are looked at individually and not broken down into component elements.

The KISS CRS Management Evaluation Review consists of two types of reviews conducted in a single office. One is a case record review that addresses the following review targets: Customer Service, Intentional Program Violation, and Recipient Claims. The other type is a general office review that examines the following review targets: Corrective Action Assessment, Program Access, Nutrition Education, and Electronic Benefit Transfer.

The case review portion of the overall review examines a sample of case records and makes compliance determinations based on the number of errors found in the records. It draws from five different sample lists that include: applications (approved and rejected), recertifications, terminations, IPV disqualifications, and recipient claims. The office review makes compliance determinations based on office observations, questions, interviews, document examination, procedure examinations, inquiries, physical environment inspections, outside contacts, etc. All results—both from the office review and the case record review—are entered into the database.

Main Switchboard

The Main Switchboard appears whenever the database is opened. All database functions are accessible from the Main Switchboard.

Note: When available, always use the drop-down lists to select an entry. A misspelled word or a typographical error could skew the results and affect the information in the reports.

Review Maintenance

This button opens a new menu where the county identifying information and the error causal factors are assigned and entered into the database. The database requires that the names and codes of all the counties in the state be entered into the database prior to the commencement of the first review. That allows the counties to be selected from drop-down selection boxes in the database and maintains the integrity of the reporting process by ensuring that the counties are always entered correctly during the reviews. All the potential error situations must be identified and entered as error causes into the database for all the review targets and review elements. These will also appear in drop-down selection boxes in their respective targets to ensure that each error cause is identically entered into the database. Identical entry of the error causes is essential for the integrity of the database and the accuracy of the reporting feature.

Note: New error causes can be added at any time without adversely affecting the database or the reporting function; however, changing or editing an error cause after <u>any</u> review has used that cause will create a problem with the causal reports for the previously completed reviews. If an error cause must be changed, edited, or corrected, each previous case or office review must be edited to "reselect" the changed or edited error cause. Deleting an error cause after it has been used in any review will remove it from the causal reports of all completed reviews even if it was an error cause selected during that review.

Only the review administrator should be accessing the Review Maintenance menu. Prior to commencing the first review, the review administrator must access this menu to prepare the database for the review.

County Codes

The codes and names of all the counties in the state must be entered into the database, and they must be entered before the commencement of the first review. The county code table provides a drop-down selection list when data entering county information, and it is also used in the generation of reports. (If only a code is used and there is no actual name for a county, enter the code into both fields.) Once this is done, there is no further need for editing it for future reviews unless something changes. These are alpha-numeric fields so they will accept both characters and numbers.

Note: Changing or editing a county name after <u>any</u> review has used that county name will create a problem with the review findings and reports for the previously completed reviews in that county. If a county name must be changed, edited or corrected, each previous case or office review that used that county name must be edited to "reselect" the changed or edited county name.

Error Causes

There is no limit to the number of error causes that can be identified, but the length of each error cause is restricted to 100 characters and spaces. This is an important aspect of the review system, and the assignment of error causes should be well thought out and planned due to the difficulty that can arise when making after-the-fact corrections and changes to the error causes.

The review administrator should ensure that the error causes are correct before commencing the first review.

Note: New error causes can be added at any time without adversely affecting the database or the reporting function; however, changing or editing an error cause after <u>any</u> review has used that cause will create a problem with the causal reports for the previously completed reviews. If an error cause must be changed, edited, or corrected, each previous case or office review must be edited to "reselect" the changed or edited error cause. Deleting an error cause after it has been used in any review will remove it from the causal reports of all completed reviews even if it was an error cause selected during that review.

Sample error causes:

Expedited Processing

1. *Application not documented the same day as receipt.*
2. *Expedited review not conducted on the same day as application receipt.*
3. *No notice issued for expedited rejection.*

Normal Processing

1. *Incorrect certification period.*
2. *Application not held 30 days before denial.*
3. *Incorrect notice sent for authorization.*

Recertifications

1. *Notice of Expiration not sent.*
2. *Notice of Expiration not sent timely.*
3. *Recertification interview not conducted.*

Terminations

1. *TANF termination without continuation of food stamp benefits.*
2. *Excessive verification requirements leading to termination.*
3. *No documentation to justify termination.*

Intentional Program Violation

1. *Disqualification penalty not imposed timely.*
2. *Disqualified individual received food stamps during disqualification period.*
3. *Client not notified of the disqualification.*

Recipient Claims

1. *Claim not processed timely.*
2. *Claim not documented.*
3. *No claim notice sent.*

Corrective Action Assessment

1. *Corrective action plans inadequate to address office problems.*
2. *No local measures in place to identify and correct errors.*
3. *Corrective action plans not implemented.*

Program Access

1. *Office hours inadequate to meet the needs of the public.*
2. *Inadequate application distribution system.*
3. *Accommodations not made for non-English speaking applicants.*

Nutrition Education

1. *Inadequate nutritional education activities provided.*
2. *Expenditures not documented.*
3. *No approved Nutrition Education Plan in place.*

Electronic Benefit Transfer

1. *Eligibility staff is permitted to issue and PIN EBT cards.*
2. *EBT administrative terminals not situated in a secure location.*
3. *No established procedures for card inventory security.*

Enter Case Review

The data entry for the case review is made on this screen. It only allows entry of new case reviews. (If it becomes necessary to edit or change case review information, use the Edit Case Review screen.) The data entry should occur while the case record is being examined. The case record demographic information must be entered at the top of the screen for each record. The database will automatically assign a *Case Review Number* that will appear in the top right hand corner of the screen. (The review number is needed when printing single Review Findings.)

Only those targets or elements relevant to the sample list used for the case review selection will be completed. For example, when examining a case record selected from the applications sample list, the Expedited Processing and Normal Processing elements would be completed. (All elements default to "Not Reviewed" so it is never necessary to address targets and elements not reviewed.)

A review result must be entered for the target or element reviewed. The possible results are: *Correct, Incorrect, Not Applicable*, and *Not Reviewed*. An "incorrect" determination constitutes a reportable error for the CRS.

A "Not applicable' determination is provided, and it is at the discretion of the review administrator how and when it should be used. Whatever the decision, it should be shared with the reviewers to ensure consistency and uniformity.

When the review result is 'incorrect', an error cause must be selected from the drop-down list. Three error causes are permitted for each target or element. Additional error causes can be addressed in the comments section. Information in the comments section does not appear in the statistical reports, but it does appear on the review findings.

If there is at least one 'incorrect' review result, a 'Yes' response must be selected in the *Error Case?* field at the top. In addition, 'Yes' responses are entered to indicate which review targets contain errors

The comments section can also be used to communicate to the worker information that is outside the scope of the case review. If there is no 'incorrect' determination of any review targets or elements but there is information the reviewer wishes to convey to the worker, a 'Yes' response is selected in the *Information Only* field above the Comments box.

Review Findings

While data entering case review information on the Enter Case Review screen (or editing case review information on the Edit Case Review screen), review findings forms can be generated for one case review, all case reviews for that office, all error case reviews for that office, or all information-only case reviews for that office. The buttons for generating the forms are in the lower left-hand corner of the screen. To generate a single review finding, it is necessary to know the case review number of the case.

Edit Case Review

This screen is basically the same as the Enter Case Review screen; however, it contains a *Find Review* search function, and it allows easy scrolling through all the previously entered case reviews in order to make modifications and changes to the data. Review findings can also be printed from this screen.

Enter Office Review

The data entry for the office review is made on this screen. It only allows entry of new office reviews. (If it becomes necessary to edit or change office review information, use the Edit Office Review screen.) The office and review demographic information must be entered at the top of the screen. The database will automatically assign an *Office Review Number* that will appear in the top right hand corner of the screen. (The review number is needed when printing single Review Findings.)

All applicable review targets on the screen will be examined for each office. Each target defaults to “Not reviewed” so it is never necessary to address targets and elements not reviewed.

A review result must be entered for the target or element reviewed. The possible results are: *Correct, Incorrect, Not Applicable*, and *Not Reviewed*. An “incorrect” determination constitutes a reportable error for the CRS.

A “Not applicable’ determination is provided, and it is at the discretion of the review administrator how and when it should be used. Whatever the decision, it should be shared with the reviewers to ensure consistency and uniformity.

When the review result is ‘incorrect’, an error cause must be selected from the drop-down list. Three error causes are permitted for each review target. Additional error causes can be addressed in the comments section. Information in the comments section does not appear in the statistical reports, but it does appear on the review findings.

If there is at least one ‘incorrect’ review result, a ‘Yes’ response must be selected in the *Office Review Error?* field at the top. In addition, ‘Yes’ responses are entered to indicate which review targets contain errors

The comments section can also be used to communicate to the office information that is outside the scope of the case review. If there is no ‘incorrect’ determination of any review targets but there is information the reviewer wishes to convey to the office, a ‘Yes’ response is selected in the *Information Only* field above the Comments box.

Review Findings

While data entering office review information on the Enter Office Review screen (or editing office review information on the Edit Office Review screen), review findings forms can be generated for one office review, all office reviews, all office error reviews, or all office information-only reviews. The buttons for generating the forms are in the lower left-hand corner of the screen. To generate a single review finding, it is necessary to know the office review number.

Edit Office Review

This screen is basically the same as the Enter Office Review screen; however, it contains a *Find Review* search function, and it allows easy scrolling through all the previously entered office reviews in order to make modifications and changes to the data. Review findings can also be printed from this screen.

Audit Reviews

This screen allows easy scrolling through all the office and cases review entries in a selected office in order to visually scan for completeness. It combines the information from the case reviews and the office review for a selected office. If all required targets or elements are not completed or the proper results are not identified, the reports will not provide valid information. This screen allows for a quick check of all review information entered for a selected office.

No edits can be made from this screen if mistakes are detected. There is an Edit Case Review button and an Edit Office Review button on the screen that will open the Edit Case Review screen or the Edit Office Review screen so changes and corrections can be made.

Reports

An assortment of reports can be generated from this screen. They include Review Summary Reports, Target Error Reports, and Error Causal Reports. Most reports can be run by state, region, county, or district. If there is no information to report (e.g. no causal errors or no error cases) the reports will be blank except that the calculated fields will display *#Error*.

Case Review Summary Reports

These reports provide summaries of all cases reviewed in a selected office or those records reviewed by a selected reviewer in a selected review month.

Target Error Reports

These reports provide error totals for all the review targets and elements. They can be run by state, region, county, or district.

Error Causal Reports

These reports provide a breakdown of the error causes by review target and element. They identify whether the error causes occurred as the primary, secondary, or tertiary causes, and they provide error count totals for all error causes. These reports can be generated by state, region, county, and district.

Export Data Tables

There are two main data tables in the KISS Management Evaluation database that contain the collective review data: *tbl_ME_Case_Review* table (containing the data from the case review entries) and *tbl_Office_Review* table (containing data from the office review entries).

Copies of these tables can be exported to designated file folders outside of the database where they can be imported into different Access databases for further error analysis. The command buttons for performing these operations are contained on this screen.

During the operations, the user must identify the format to be used in exporting the tables, and the user must identify the PC folder or folders into which the tables are to be exported. (HTML or Text Files are the preferred formats to use when intending to re-import the tables into other Access databases.)

This feature should be utilized often to back up the data file in the event the data becomes corrupted in the database.