04 **_Quality Control (QC) - Overview_**

Policy and procedures regarding the Quality Control (QC) process are outlined as follows:

- [Performance Reporting](#)
- [QC Review Process - OPE Responsibilities](#)
- [QC-100 Region Responsibilities](#)
- [PST QC-100 Responsibilities](#)
- [QC Review Committee](#)
- [QC District X](#)
- [QC Federal Findings](#)

A **Quality Control (QC) - Performance Reporting-Overview**

[REVISION 47](#)
(01/01/19 - 12/31/19)

States are responsible for conducting Quality Control (QC) reviews in accordance with federal and state regulations.

Review of Quality Control Case Review Reports (QC-100) allows the State to assess the accuracy of eligibility determinations and benefit payment levels.

Federal and State regulations require the following:

- Sampling methods and schedules to select cases for QC review
- Field investigations to be conducted by OPE staff
- Corrective action to be taken on all improperly authorized or denied cases (including determining cause and prevention of improper actions)
- Information to be reported to the appropriate federal departments from QC review findings, for statistical analysis purposes

The Office of Program Evaluation (OPE) is responsible for completing the following:

- Establishing methods for random sampling selection of cases and reviewing the cases for accuracy of the eligibility determination and benefit levels

- Reporting results of QC review findings to the appropriate federal departments

OPE documents case review findings on the Quality Control Case Review Report (QC-100). The QC-100, which contains information related to error elements, is forwarded to appropriate FAA offices as applicable.

OPE also documents the QC-100 Additional Information section when an error that is not countable is found or other information is discovered that could affect benefit months other than the review month.

(See Quality Control Review Process)

B   **QC Review Process - OPE Responsibilities**

REVISION 47
(01/01/19 - 12/31/19)

The Quality Control (QC) review process consists of the following actions. The Office of Program Evaluation (OPE):

- Completes the case review process.

- Documents the findings on the Quality Control Case Review Report (QC-100).

- Documents the QC-100 when an error that is not countable is found or other information is discovered that could affect benefit months other than the review month.

- Places copies of the finalized QC-100 and verification documents to the DBME shared drive and sends an email to each of the following:

  Region Program Managers

  Office Manager

  Region Management Analysts

  Policy Support Team Management

  Quality Support Team (QST)

OPE Management

FAA Systems

Overpayment Unit, when applicable

- Presents the QC-100 to the QC Review Committee

Policy and procedures regarding the Quality Control Review process are outlined as follows:

- QC Agency Error

- QC Participant Error

- CAPER errors

- QC-100 OPE Responsibilities

- Region responsibilities - reviewing the QC-100

- Region responsibilities - QC-100 Disagreement

- Region responsibilities - QC-100 Case Action

- Region responsibilities - QC Cooperation for NA

- Region responsibilities - Outstanding QC Reviews

- PST Responsibilities

- PST QC-Role

.01 Quality Control (QC) Review - Agency Error

REVISION 47
(01/01/19 - 12/31/19)

The Office of Program Evaluation (OPE) may determine that an incorrect benefit has been issued due to an FAA action, or FAA's failure to act. When this occurs, OPE cites a QC agency error. OPE completes the actions listed in QC Review Process.

FAA staff must not contact the participant while exploring all possibilities to eliminate or reduce the error. When additional information must be requested or contact with the budgetary unit is needed, FAA must contact OPE. Only OPE may contact the participant to request additional information.

.02   **Quality Control (QC) Review - Participant Error**

REVISION 47
(01/01/19 - 12/31/19)

The Office of Program Evaluation (OPE) may determine that an incorrect benefit has been issued due to the budgetary unit failing to comply with the mandatory reporting requirements, including:

- Timely reporting of changes in circumstances.

- Accurate reporting of changes in circumstances.

When this occurs, a participant error is cited, and QC completes the actions listed in the QC review process.

.03   **Quality Control (QC) Review – CAPER Errors**

REVISION 47
(01/01/19 - 12/31/19)

The Office of Program Evaluation (OPE) selects cases for review, based upon the following actions:

- Cases that are denied.

- Cases that are closed.

- Cases that are closed, then reopened due to the participant requesting an appeal and continued benefits.

- Cases approved for zero ($0) benefits. (See NA Categorically Eligible-No Pay)

These QC reviews are referred to as Case and Procedural Error Rate (CAPER) errors. The purpose of reviewing CAPER actions is to determine the accuracy of the decision to deny or stop benefits, or to approve zero ($0) benefits.

When OPE is unable to determine a valid reason for the action, an invalid CAPER is cited. OPE completes the actions listed in QC Review Process.

When designated staff from the FAA office, Region office, or the Policy Support Team (PST) disagrees with the error, follow the QC District X procedures.

.04   Quality Control (QC) Review - QC-100 OPE Responsibilities

REVISION 47
(01/01/19 - 12/31/19)

The QC-100 is a tool used by the Office of Program Evaluation (OPE) to communicate with FAA the outcome of the QC review. The QC-100 is issued when:

- A Nutrition Assistance Active (NAA) error or an invalid Case and Procedural Error Rate (CAPER) error is cited

- Additional Information is identified.

An Additional Information QC-100 is the tool QC uses to report information to the agency. The following are types of Additional Information QC-100s:

- Information is discovered that could affect benefit months other than the review month

- Correct reviews when there is an overpayment

- Correct reviews when there is an underpayment caused by the agency for misapplication of policy at the time of the determination

- Untimely processing of applications

- QC was unable to complete the review when the budgetary unit failed or refused to cooperate with the QC review

Once the review has been transmitted to the Food and Nutrition Service (FNS), OPE notifies FAA by sending an email to FAA's designated staff. The email contains a link to the location of the QC-100.

When additional information and verification is obtained through the QC review, and is sent to the FAA office, complete the following:

- Review the case file(g).

- Redetermine eligibility and current benefit level.

- Determine whether any of the following have changed:
  NA work requirements
  CA Jobs Work Program requirements

C   Region QC-100 Responsibilities - Overview

The policy and procedures regarding region responsibilities are outlined as follows:

- Reviewing the QC-100
- QC-100 Disagreement
- QC-100 Case Action
- QC Cooperation for NA
- Outstanding QC Reviews

.01   Region QC-100 Responsibilities - Reviewing the QC-100

REVISION 47
(01/01/19 - 12/31/19)

When the Office of Program Evaluation (OPE) notifies FAA that an error exists, the FAA designated staff must complete the following:

- Review the QC-100.
- Place the QC-100 in the case file(g).
- Submit a District X transfer request, when applicable.

.02   Region QC-100 Responsibilities - QC-100 Disagreement

REVISION 49
(01/01/21 - 12/31/21)

When the Region Program Manager (RPM) or designated staff agrees that the error cited exists, but that the error should be redirected to another FAA office, contact OPE Management to request the error be transferred to the responsible office.

When designated Region staff do not agree with the error cited by the Office of Program Evaluation (OPE), contact OPE Management to discuss the error within 10 days from the date the FAA office receives the QC-100.

When the OPE Management agrees with the reasoning of the designated Region staff, the error may be transferred from the office that was cited to the office which caused the error.

When the RPM or designated staff agrees that the error cited exists, but that the error occurred due to something that is beyond the control of the FAA Office, see QC District X.

.03   Region QC-100 Responsibilities - QC-100 Case Action

REVISION 47
(01/01/19 - 12/31/19)

When a QC-100 requires an action, the Office of Program Evaluation (OPE) sends the QC-100 Turn Around Document (TAD) to the designated staff. The designated staff must review the case file, the QC-100 including any attachments, and completes one of the following:

- Issues supplemental benefits

- Completes an overpayment referral

The designated staff must document the case file(g) with the action and return the QC-100 TAD no later than the due date indicated on the TAD.

When the action required involves an overpayment, the time frames for completing the overpayment are as follows:

- The Potential Overpayment (OP) Referral (FAA-0526A) form must be completed and sent to the designated OP writer within five workdays(g), as these are priority overpayments.

- The designated OP writer must complete and send the Report of CA/NA Overpayment (FAA-0529A) form to the Office of Accounts Receivable and Collections (OARC) within ten workdays from the date the FAA-0526A was completed.

When the action required involves issuance of a supplemental payment, see Authorizing Supplemental Payment.

When fraud is indicated, refer the case to the Office of Special Investigations (OSI). (See OSI/AOIG - Potential Fraud Referral Requirements)

Give the QC-100 to the Supervisor to review and approve the necessary actions.

.04   Region QC-100 Responsibilities - QC Cooperation for NA

REVISION 50
(01/01/22 - 12/31/22)

Cooperation from the budgetary unit is required to complete the Quality Control (QC) review process. When a notification is received from the Office of Program Evaluation (OPE) that the budgetary unit has cooperated with the QC review process, document the case file(g).

OPE may request assistance from the Family Assistance Administration (FAA) office to complete the QC case review process. The FAA office must assist OPE, regardless of the budgetary unit's change reporting requirements.

The FAA office must complete the following:

- Send the notice listed in the assistance request, advising the budgetary unit to contact OPE

- Include the name of the reviewer and the OPE telephone number, in the notice

- Document the case file that cooperation with the QC review process is needed

OPE notifies the FAA office by email and issues a QC-100 when the budgetary unit does not cooperate. The budgetary unit is not cooperating with OPE when either of the following occurs:

- Fails to cooperate – When the budgetary unit is unaware that QC is attempting to contact them or a third party to complete a QC review of their case.

- Refuses to cooperate – When the budgetary unit is aware that QC is attempting to complete a review of their case but refuses to provide the necessary verification to complete a QC review of their case.

When notification is received from OPE that the budgetary unit fails to cooperate with the QC review, the worker must complete the following:

- Document the case file with the QC failure to cooperate.

- Key Q3 in the FS PROGRAM ALERT type field on PRAP. (See Mandatory Alerts)

- At the next interview, inform the participant that they must cooperate with QC and document the case file that the participant was verbally informed.

- Request the budgetary unit to contact OPE using an AZTECS request notice or the Information Request and Pending Information Agreement (FAA-0077A) form.

- When the NA case is closed, document the case file that the budgetary unit must cooperate with the QC review before NA can be approved. No notice is required.

NOTE   When the budgetary unit refuses to contact QC after being informed they must cooperate due to failing to cooperate, change the Q3 code on PRAP to the QC code.

When notification is received from OPE that the budgetary unit refuses to cooperate with the QC review, the worker must complete the following:

- Document the case file with the QC refusal to cooperate.

- Key QC in the FS PROGRAM ALERT type field on PRAP. (See Mandatory Alerts)

- Key QC in the DENIAL CLOSURE REASON field on FSED.

- Stop NA, allowing for NOAA and send the F217 notice. The notice advises the budgetary unit that when they reapply for NA, they must cooperate with the QC review before NA can be approved.

- When the NA case is closed, document the case file that the budgetary unit must cooperate with the QC review before NA can be approved. No notice is required.

When it is not clear that the budgetary unit has cooperated, contact OPE before taking any action on the case. When confirmation is received that the budgetary unit has cooperated, do not stop the benefits.

When the budgetary unit contacts FAA and agrees to cooperate, give them the phone number to contact OPE. OPE notifies the FAA office and sends the QC 100 when the budgetary unit cooperates. Do not authorize the benefits until an email is received from OPE that the budgetary unit has cooperated with the QC review.

NOTE   When the budgetary unit cooperates with QC, FAA workers with an AZTECS profile of Supervisor, Local Office Manager, or Program Administrator must remove the QC or Q3 code on PRAP. When assistance is needed to remove either code, contact the FAA Systems Help Desk.

When the budgetary unit cooperates with OPE before the effective date of closure, reopen NA.

When the budgetary unit cooperates with OPE after the effective date of closure, REPT the case when all of the following requirements are met:

- The budgetary unit cooperated within 30 days of case closure

- The budgetary unit has at least one full month remaining in the approval period following the date of compliance

- The budgetary unit is eligible for benefits during the reinstatement month and the remaining months of the approval period

The participant must reapply when all of the above requirements are not met.

When the case is reopened, use the NAWA REPT Reason Code. AZTECS prorates the benefits for the first month benefits are continued.

.05   Region QC-100 Responsibilities - Outstanding QC Reviews

REVISION 47
(01/01/19 - 12/31/19)

When there is an indication of noncooperation at the time of the interview, the FAA worker contacts the Office of Program Evaluation (OPE) by telephone while the applicant is in the office. Complete the following:

- Allow the participant 10 days to make arrangements to complete the Quality Control (QC) review before approval or denial of the application.

- Approve the application for regular or expedited NA benefits when all eligibility factors are verified and OPE confirms that the budgetary unit cooperated with the QC review.

- Approve the application when the budgetary unit applied after 125 days from the end of the Federal Fiscal Year (October 1 through September 30) of non-cooperation, and all eligibility factors are verified.

OPE may not be available. In this situation, advise the participant to contact OPE as soon as possible after the interview. Document the case file(g) that the budgetary unit has been advised to contact OPE.

When the QC review can be completed, complete the following:

- Send an email to OPE immediately, advising that the budgetary unit now wants to cooperate with the QC review. The email must include the following:

    The PI(g) name and SSN, current residential and mailing addresses, and telephone number.

    A statement that the budgetary unit was informed that cooperation with OPE is required for their application to be approved or benefits continued.

- Place a copy of the email and the QC-100 in the case file.

OPE notifies FAA when the budgetary unit complies with QC review requirements.

D   Policy Support Team (PST) QC-100 Responsibilities

<div align="right">

REVISION 48
(01/01/20 - 12/31/20)

</div>

A designated representative from the Policy Support Team (PST) reviews all QC 100's. The review includes the following:

- Details of the QC-100.

- Case specifics.

- Regulations, statutes, rules, and policy pertinent to the concern.

The PST Representative contacts OPE when there is any PST concern regarding the error.

.01   Policy Support Team (PST) QC-100 Responsibilities - PST QC-Role

<div align="right">

REVISION 47
(01/01/19 - 12/31/19)

</div>

When a concern is unresolved, the Policy Support Team (PST) provides input based on, but not limited to, the following:

- Federal regulation

- State law

- FAA policy and procedures

- State options

- Existing waivers for the review period

The role of the PST in the Quality Control (QC) District X process is defined in QC District X.

The role of the PST representative in the QC Review Committee process is defined in QC Review Committee.

E   The QC Review Committee

<div align="right">

REVISION 47
(01/01/19 - 12/31/19)

</div>

The Quality Control (QC) Review Committee reviews all QC errors. The QC Review Committee allows the state to exercise the opportunity to determine how to avoid the same error in the future.

The QC Review Committee consists of the following representatives:

- Quality Management Administration (QMA) Administrator
- OPE Bureau Chief
- QC Manager
- QMA Policy Specialist
- Policy Support Team (PST) Representative
- FAA Region Representatives
- Quality Support Team (QST) Representative

The PST Representative provides input based on, but not limited to, the following:

- Federal regulation
- State law
- FAA policy and procedures

F   QC District X - Overview

REVISION 47
(01/01/19 - 12/31/19)

When the Region Program Manager or designated staff agrees that the error cited exists, but that the error occurred due to something that is beyond their control, they may request a transfer of the error to District X.

The purpose and intent of a District X transfer request is to identify errors that are entirely caused by entities other than FAA. District X includes, but is not limited to, one of the following:

- Policy Support Team (PST)
- FAA Systems
- Centralized Document Services (CDS)

- Office of Program Evaluation (OPE)
- Quality Support Team (QST)

<div style="border: 2px solid orange;">

WARNING

Participant caused errors are not eligible for District X consideration.

</div>

After removing errors that are caused by entities other than FAA, and an error still exists, the error must be cited to the FAA office.

For policy and procedures regarding QC District X Procedures, see QC District X Procedures.

.01   QC District X - Procedures

REVISION 48
(01/01/20 - 12/31/20)

To request that an error be transferred to District X, send an email to the FAA Policy Support Team management (FAAPolicyMgmt@azdes.gov), and copy the following:

- Program Administrator (PA)
- Region Program Manager (RPM)
- Office of Program Evaluation (OPE) OPEManagement@azdes.gov

The email must include the following:

- The entity to which the region is requesting the District X transfer
- An explanation of why the transfer is being requested
- Sufficient documentation to substantiate the request
- CNAP Manual references

NOTE   The QC-100 must be attached to the email.

The FAA Policy Manager is responsible for making the final determination on the transfer request. An Interoffice Memo (IOM) from the FAA Policy Manager with the final determination is emailed to the following:

- PA

- RPM

- OPE

- All interested parties

G QC Federal Findings - Overview

REVISION 47
(01/01/19 - 12/31/19)

One quarter of the cases read by the Office of Program Evaluation (OPE) are read again by FNS. When FNS disagrees with the state QC findings, a Federal Finding is cited.

Policy and procedures regarding QC Federal Findings are outlined as follows:

- QC Federal Findings Procedures

- QC Federal Findings Alert

- QC Federal Findings Results

.01 QC Federal Findings - Procedures

REVISION 47
(01/01/19 - 12/31/19)

When a Federal Finding is cited, the Office of Program Evaluation (OPE) provides the following via email with a copy of the federal letter within one workday(g) of receipt:

- Program Administrator

- Region Program Manager (RPM)

- Office Manager

- FAA Policy Support Team (PST)

- Region Management Analyst

OPE initiates a conference call via the email. The conference call must be completed within seven calendar days from the date the Federal Finding is received by FAA. The conference call includes all of the following:

- OPE Representative

- FAA Office Representative

- Designated representative from the PST

- RPM's designated representative

- Region Management Analyst

.02   QC Federal Findings - Federal Findings Alert

REVISION 47
(01/01/19 - 12/31/19)

The conference call is initiated with the Federal Difference Alert form. The form includes the following information:

- Case name

- AZTECS case number

- QC review number

- Program

- FAA office site code

- Office Manager

- Date the conference call will be held

- Time of the conference call

.03   QC Federal Findings - Federal Findings Results

REVISION 47
(01/01/19 - 12/31/19)

When the conference call is concluded, the Federal Difference Alert form is resent, including documentation of the conference results. The results of the conference call may be any of the following:

- All representatives agree with the Federal Finding and no further action is needed.

- There is a disagreement with the Federal Finding. The Office of Program Evaluation (OPE) sends a response to the appropriate federal agency.

When OPE receives the final results from the Federal Agency, OPE sends a copy of the resolution to the following staff:

- FAA Office Manager
- Policy Support Team (PST)
- Region Program Manager
- Program Administrator
- Region Management Analyst