



HUMAN SERVICES  
DEPARTMENT


Susana Martinez, Governor  
Sidonie Squier, Secretary  
Marilyn Martinez, Acting Director

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## Interim Policy & Procedure Memorandum

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### ISD-IPP 14-01

**TO:** ISD Employees  
**FROM:**  Marilyn Martinez, Acting Director, Income Support Division  
**RE:** Revised Secondary Review Requirements, Case Reads  
**DATE:** February 24, 2014

### AMENDED

Effective March 1, 2014, new procedures to complete Case Reads, formerly secondary reviews, will be implemented.

Now that the Income Support Division offices are operating in ASPEN, the need has arisen to update Case Read requirements and the procedures used to perform them. This rescinds IPP 12-08.

To meet the requirement of Case Reads for the monthly SNAP Performance Report, counties with a payment accuracy rate of 96% or better must review cases at Level 2; all others must review cases at Level 1.

- Level 1 A county office with an error rate above 4.0% is required to complete 35 full reviews per supervisor per month by the last working day of the month.
- Level 2 A county office with an error rate of 4.0% or less is required to complete 25 full reviews per supervisor per month by the last working day of the month.

Criteria # 152 must be used for both Level 1 and Level 2 reviews. Each Supervisor must enter a sample request and allowed to batch overnight.

All supervisory reviews should include a review of income, household composition, deductions, timeliness, documentation, and if barriers and the NVRA settlement agreement requirements were addressed.

The County Director and the Quality Improvement Section (QIS) will monitor to ensure that all required reviews are done monthly.

If counties are found to be non-compliant with mandatory case reads, **County Directors**, as part of a remedial Corrective Action Plan, will review a minimum 5 cases per supervisor prior to the last working day of the month.

### **LIHEAP Supervisory Case Reads**

A required corrective action measure from an audit requires all county offices to review **10** LIHEAP approved applications.

Criteria # **153** ---- must be used for these reviews. A sample request must be entered and allowed to batch overnight.

The County Director and the Quality Improvement Section (QIS) will monitor to ensure that all required reviews are done monthly. Staff from the Work and Family Support Bureau will re-review a sample of these reviews.

### **Inter-office Management**

Though currently not required, criteria have been established for offices to utilize in monitoring other processes as well.

Criteria # **154** SNAP Denied.

Criteria # **155** Recertifications Approved.

Criteria # **156** Recertifications Closed.

**Criteria have been established by the Quality Assessment Bureau to ensure uniformity for Case Reads Statewide.**

Attachment

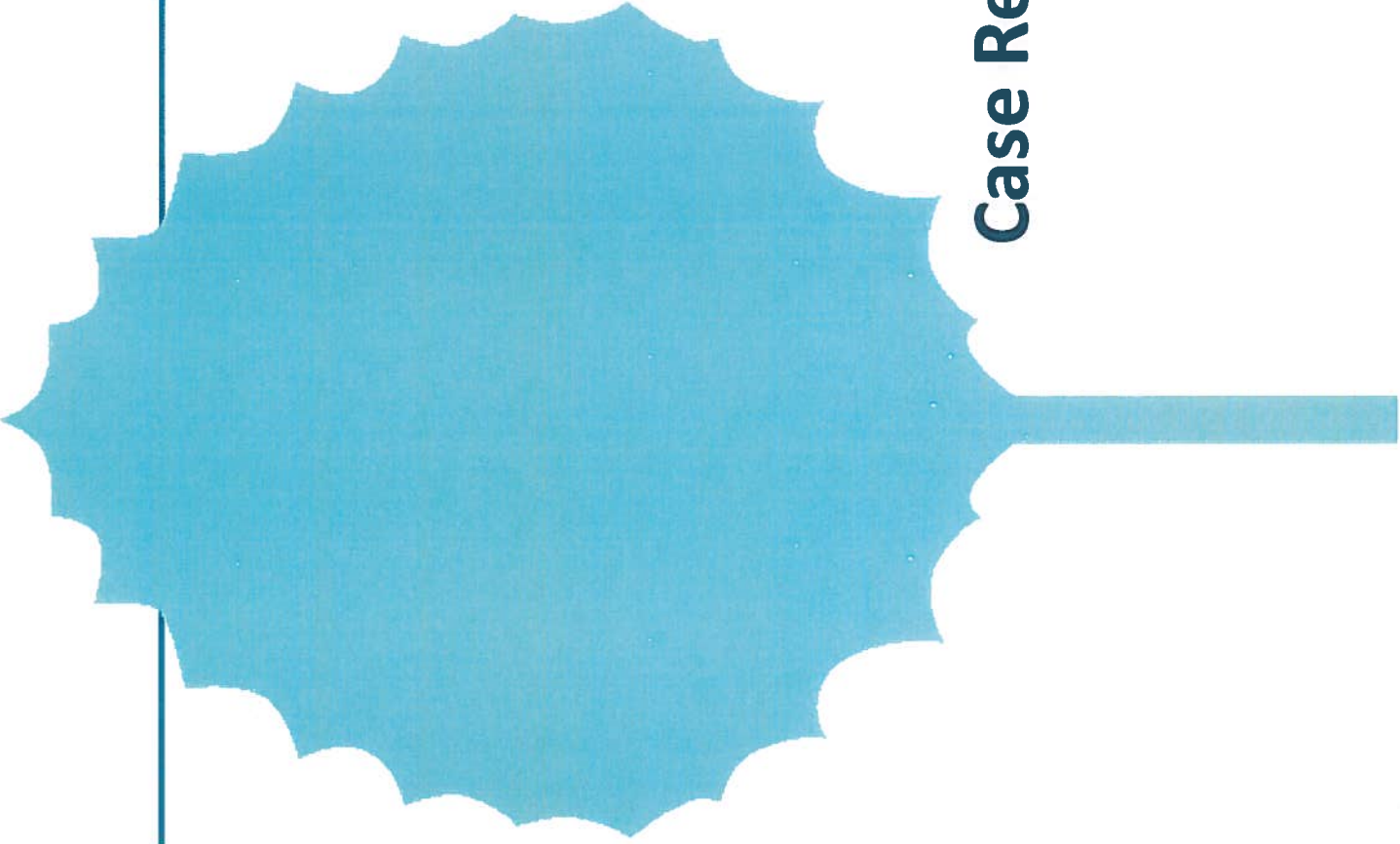


aspen

Automated System Program and Eligibility Network

WELCOME TO ASPEN CASE READ





# Case Read Procedures

# Case Read Definitions

**\*Case Reader:**

The person requesting a sample and reviewing the case as a case read.

**\*Specialist:**

The person who the case is returned to for correction. This person could be a caseworker or a County Director (for MEs).

**\*Criteria:**

Determines what programs/measures are needed for a case read sample. Criteria ID numbers for monthly Case Read requirements are set by the Quality Assessment Bureau. Line Managers have the ability to set criteria to meet office needs.

**\*Note:** once a criteria is set, it cannot be changed.

**\*Sample :**

A listing of cases that meet the criteria as established. The person requesting a sample of cases will be the person responsible for completing the case reads.

# Case Read Procedures

## **\*Establish Criteria**

determine what programs/measures are needed

## **\*Request a Sample**

determine the number of cases needed and the period

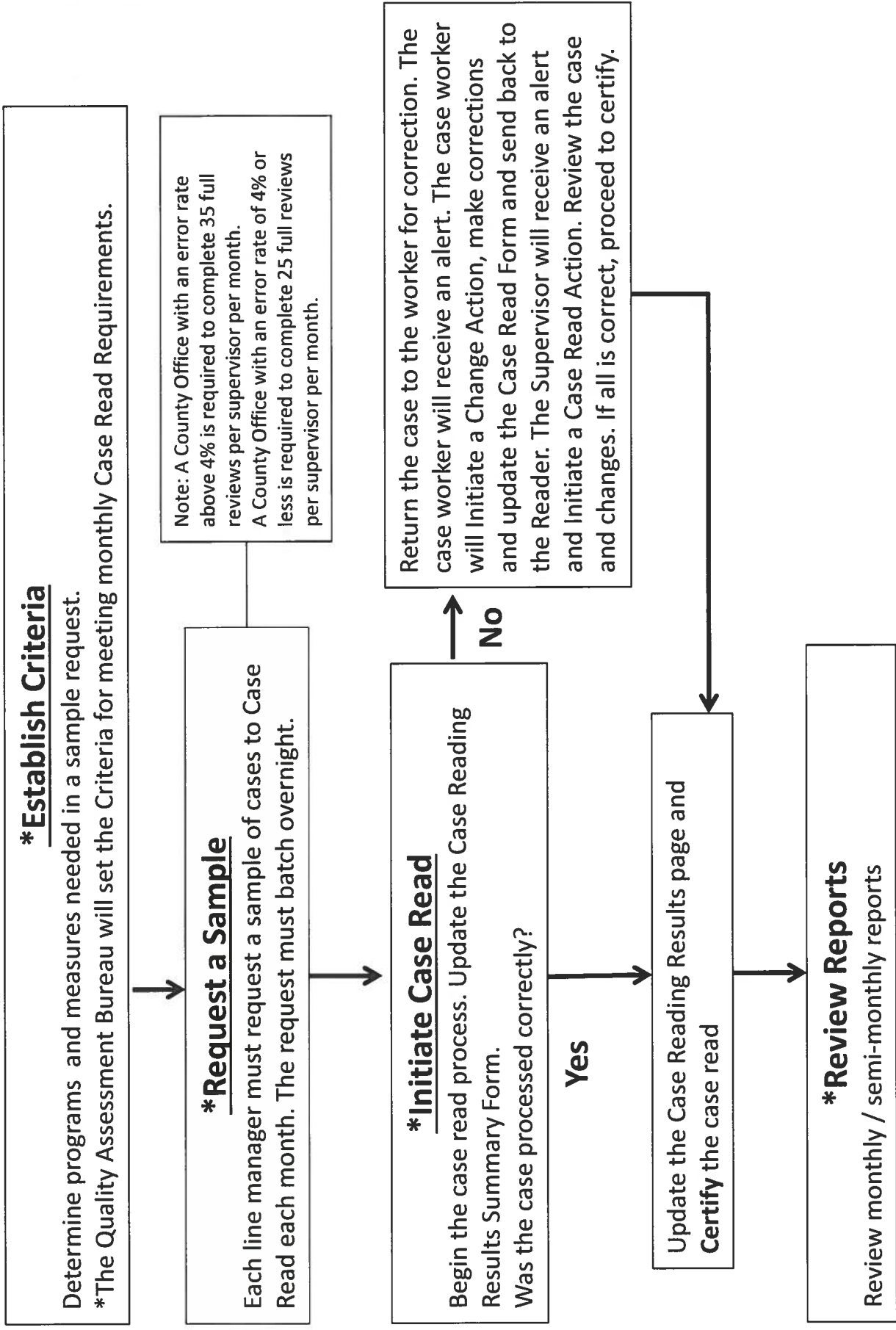
## **\*Initiate Case Read Process**

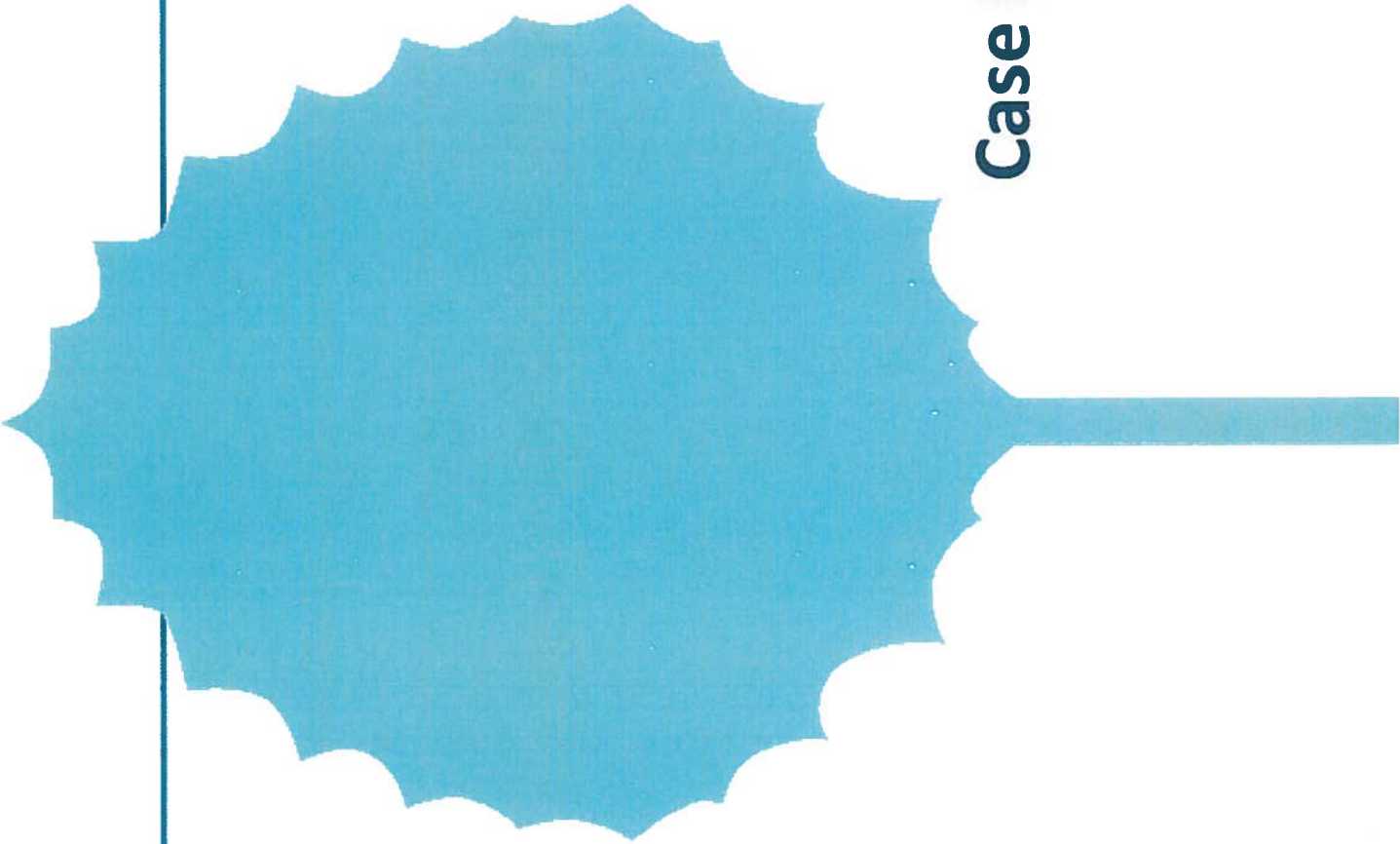
begin the case read process/return to worker for correction

## **\*Review Reports**

MR- 012	Monthly Case Read Results by Office
MR- 013	Monthly Case Read Results by Office
MR- 014	Monthly Case Read Error Report by Region
MR- 018	Monthly Case Read Results by County
MR- 019	Monthly Statewide Case Read Results by Office
MR- 020	Case Read Errors by Program by Region
MR- 024	Monthly Case Read Porgress Report by Office
MR- 025	Semi Monthly Case Read Progress Report by State
MR- 026	Monthly Case Read Progress report by Region
MR- 027	Monthly Case Read Progress report by County
MR- 030	Monthly Benefit Accuracy Report by Office
MR- 031	Monthly Benefit Accuracy Report
MR- 032	Monthly Benefit Accuracy Report by Region
MR- 033	Monthly Benefit Accuracy Report by County

# Case Read Flowchart





## Case Read Criteria



# Case Read Criteria

**Navigation Menu:**

- History
- Case Info
- Organizer
  - ASPEN Home
  - EDM
  - Application Registration
  - Self Service
  - Data Collection
  - Eligibility
  - Case Maintenance
  - NM Works
  - Simulation
  - Waitlist
  - Benefit Issuance
  - Benefit Recovery
  - Correspondence
  - Recertification
  - SCI Employer Groups
  - Interfaces
  - Inquiry
  - Alerts
  - Manage Office
  - Resources
  - Reports
  - Case Reads
    - Criteria
      - Add / View Existing Criteria**
    - Sampling
    - Case Reader
    - Quality Control
    - Conversion

**Search Bar:** Add/Edit Criteria | Add Program Measures

**Search Criteria Form:**

Criteria ID:  Description:

Activate Criteria:  Create Complete:

Buttons: **Reset** **Add** **Search**

**Criteria Results Table:**

Criteria ID	Description	Activate Criteria	Create Complete	
9999999999	MANUAL CASE READ	YES	YES	
20000151		YES	YES	
20000150		YES	YES	
20000050	TANF with no benefits	YES	YES	
20000001	Snap SSI	YES	YES	
20000000	Snap earned	YES	YES	

**Page Controls:** Record Set 1 of 1

Criteria for Monthly Required Case Reads have been defined by the Quality Assurance Bureau.

If you need to define additional sampling criteria, follow these instructions: Begin at Left Nav> Case Read> Criteria> Add/View Existing Criteria, Click Add

# Case Read Criteria

Search/View Criteria Add/Edit Criteria Add Program Measures

History Case Info  
Navigation Organizer  
ASPEN Home

- EDM
- Application Registration
- Self Service
- Data Collection
- Eligibility
- Case Maintenance
- NM Works
- Simulation
- Waitlist
- Benefit Issuance
- Benefit Recovery
- Correspondence
- Recertification
- SCI Employer Groups
- Interfaces
- Inquiry
- Alerts
- Manage Office Resources
- Reports
- Case Reads
  - Criteria
    - Add / View Existing Criteria
  - Sampling
  - Case Reader
  - Quality Control
  - Conversion

Criteria Information

Criteria ID: 20000200 Description: [Red Circled] NO

Activate Criteria: NO Create Complete: Update

Characteristics

Program: [Red Circled] Approved Category Of Eligibility: [Red Circled]

Program Status: Add

Existing Characteristics

Program: Category Of Eligibility Program Status

Cancel Next

Select Program, Category of Eligibility and Program Status, click Add, click Next  
\*\*\*Make note of your Criteria ID# that is automatically generated.



# Case Read Criteria

History

Navigation

- ASPEN Home
- EDM
- Application Registration
- Self Service
- Data Collection
- Eligibility
- Case Maintenance
- NIM Works
- Simulation
- Waitlist
- Benefit Issuance
- Benefit Recovery
- Correspondence
- Recertification
- SCIE employer Groups
- Interfaces
- Inquiry
- Alerts
- Manage Office
- Resources
- Reports
- Case Reads
- Criteria
  - Add / View Existing Criteria
- Sampling
- Case Reader

Search/View Criteria
Add/Edit Criteria
Add Program Measures

Criteria ID:

Activate Criteria:

Description:

Create Complete:

### Criteria Results

Criteria ID	Description	Activate Criteria	Create Complete
999999999	MANUAL CASE READ	YES	YES
20000200	Denied SNAP	NO	NO
20000151		YES	YES
20000150		YES	YES
20000050	TANF with no benefits	YES	YES
20000001	Snap SSI	YES	YES
20000000	Snap earned	YES	YES

Record Set 1 of 1

If you are certain that the Criteria you set is exactly what you need, then you are ready to activate.

Locate your Criteria ID #. Notice that Activate Criteria and Create Complete are set at NO. To activate the Criteria ID: Click the Edit Pencil.

# Case Read Criteria

**Criteria Information**

Criteria ID: 20000200  
Denied SNAP: NO

Activate Criteria: NO

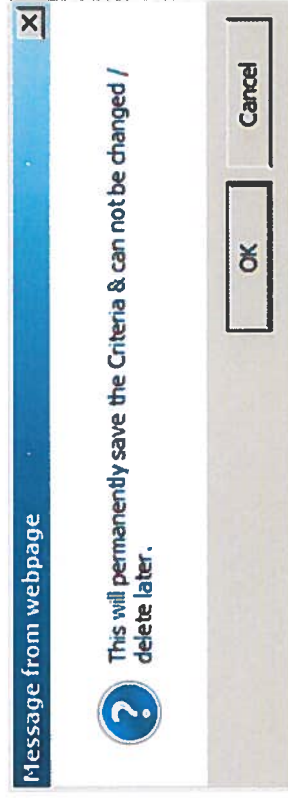
Characteristics

Program: Approved  
Category Of Eligibility: Approved

Existing Characteristics

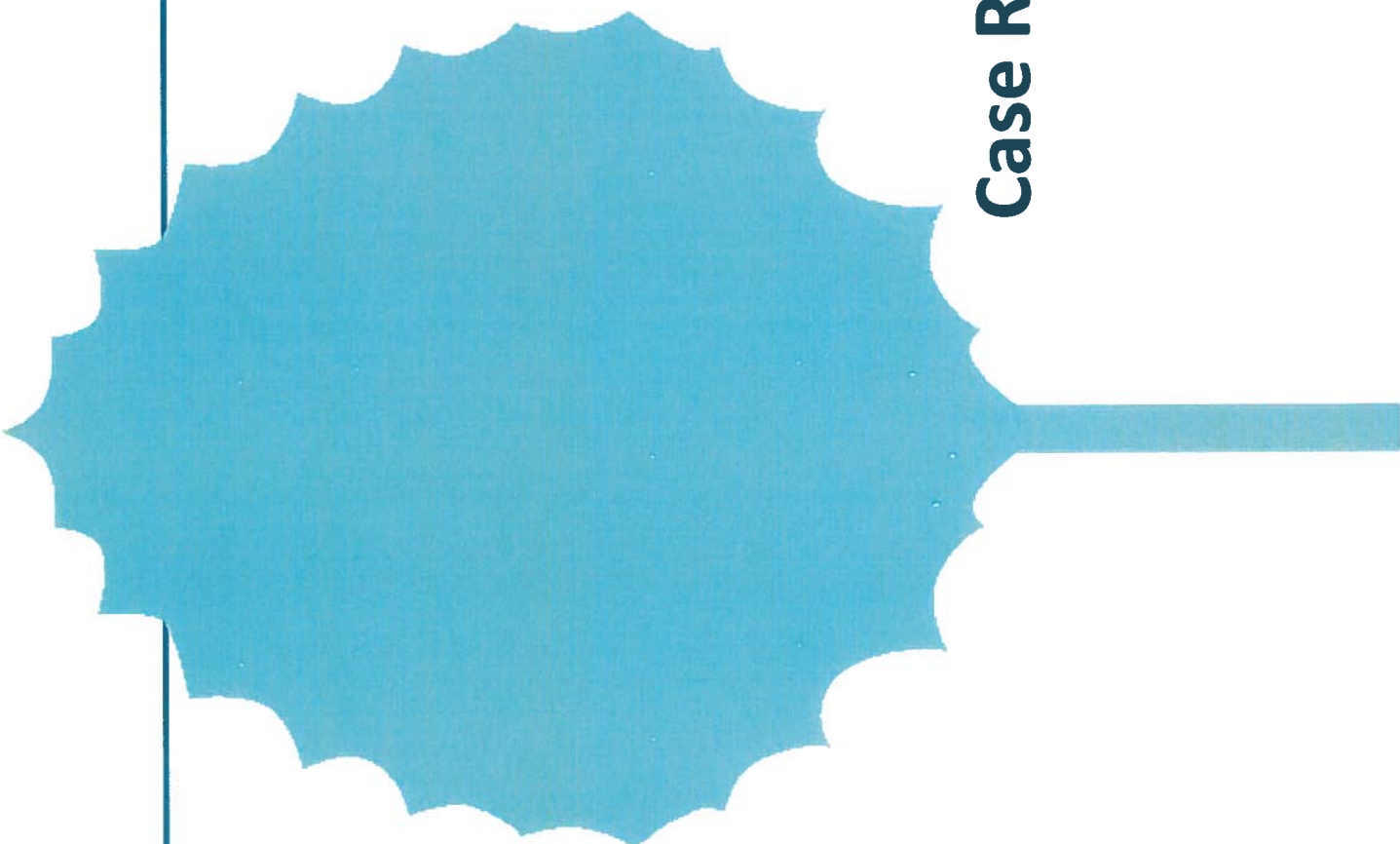
Program	Program Status
SNAP	Approved
SNAP	Approved

Once this Criteria is set, it cannot be changed. Select YES for both Activate Criteria and Create Complete on the drop downs. Click Update.



If you are certain that this criteria is set then, click OK. If you are not certain, click cancel and review the criteria selections before activation.

**\*\*\* Document your Criteria ID #. You will need it to request a sample in the next step.**



# Case Read Sampling

# Case Read Sampling

History Case Info  
Navigation Organizer  
ASPEN Home  
EDM  
Application Registration  
Self Service  
Data Collection  
Eligibility  
Case Maintenance  
NM Works  
Simulation  
Waitlist  
Benefit Issuance  
Benefit Recovery  
Correspondence  
Recertification  
SCI Employer Groups  
Interfaces  
Inquiry  
Alerts  
Manage Office  
Resources  
Reports  
Case Reads  
Criteria  
Sampling  
Search/View Sample Request  
Case Reader

Search/View Sample Request Sample Request

20502: No Records Exist

Criteria ID: 20000200 Sample ID: Process Switch: Employee User ID: bleaka

Add Search

Criteria ID	Sample ID	Description	Begin Month	End Month	Process Status	Case Reader	Create Date
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When the criteria is set, you will need to pull a sample of cases to read. Start by going to Left Nav> Case Reads> Sampling> Search/View Sample Request. Enter the Criteria ID and click ADD.

\*Note: The request will need to batch overnight. The person requesting the sample will be the person assigned to Read the cases.

# Case Read Sampling

Add/View/Edit Sample Request ? ★ ⓘ

Case Read SampleID Detail Cancel

Criteria ID: 20000200 Description: Denied SNAP

Sample Request Detail

\* Sample Size:  \* Year:  \* Month:

Sample Period

\* Begin Date:  /  /  \* End Date:  /  /  \* Level:

Office:  County: Bernalillo Region: Region 01

Reset Submit Cancel

How many cases do you want in the sample? →

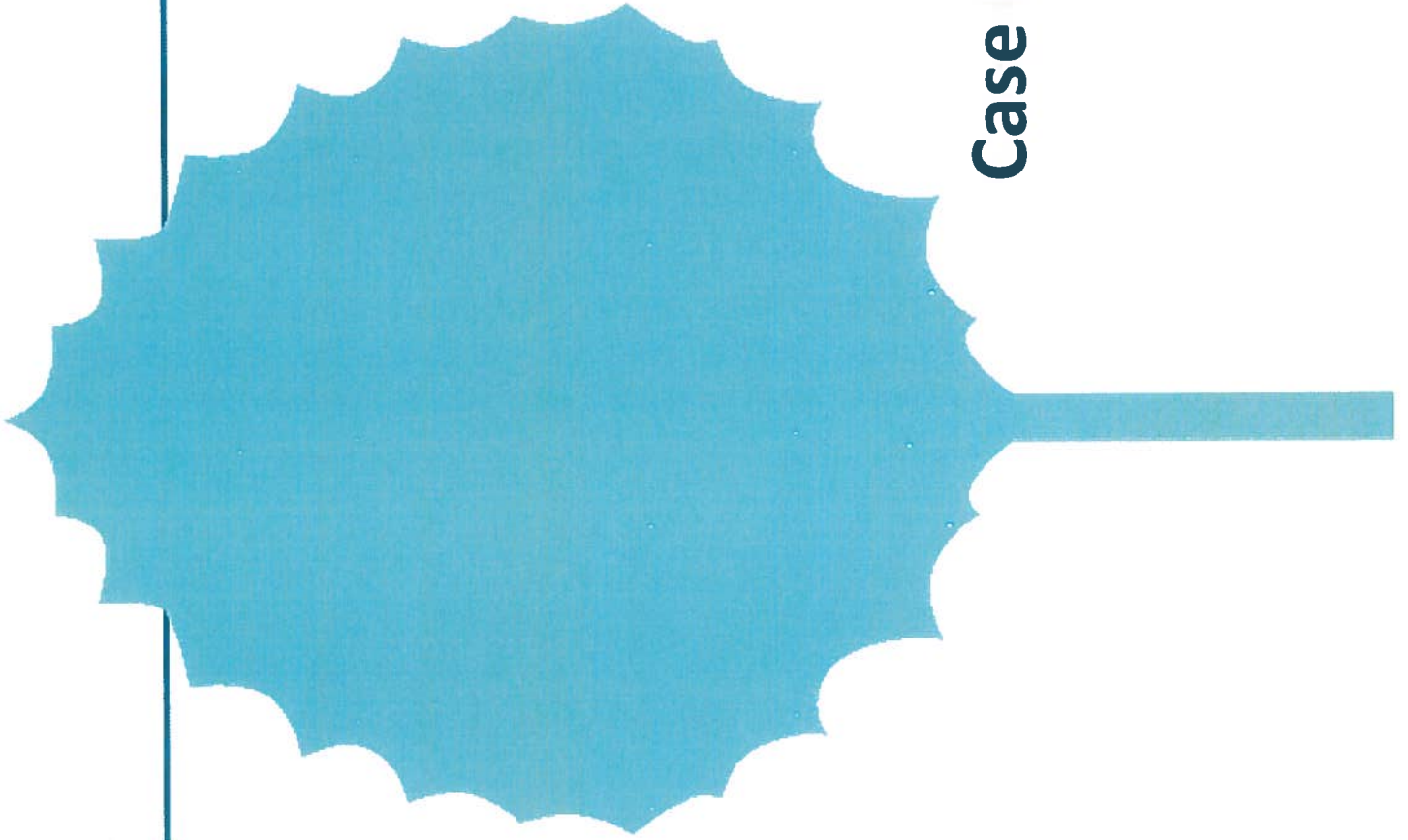
Enter the Year and Month you are requesting the sample. →

Enter the Year and Month you want to sample →

Enter the Sample period Begin and End Dates (month you want to review) and the select the Level: Region, County or Office. Click Submit.

Document your Sample ID as you will need it the next day to begin the Case Reading Process.





## Case Read Process

# Case Read

The screenshot displays the 'Case Read' application interface. At the top left, there is a navigation menu with 'History' and 'Case Info' tabs. The 'Case Info' tab is active, showing a 'Navigation Organizer' with various menu items such as 'ASPEN Home', 'EDM', 'Application Registration', 'Self Service', 'Data Collection', 'Eligibility', 'Case Maintenance', 'NM Works', 'Simulation', 'Waitlist', 'Benefit Issuance', 'Benefit Recovery', 'Correspondence', 'Recertification', 'SCI Employer Groups', 'Interfaces', 'Inquiry', 'Alerts', 'Manage Office Resources', 'Reports', 'Case Reads', 'Criteria', 'Sampling', 'Search/View Sample Request', and 'Case Reader'. The 'Search/View Sample Request' item is highlighted in red.

Below the navigation menu, there are search filters: 'Criteria ID:' with an input field, 'Sample ID:' with an input field, 'Process Switch:' with a dropdown menu, and 'Employee User ID:' with an input field containing 'bleaka'. There are 'Add' and 'Search' buttons.

The main content area shows a table of search results:

Criteria ID	Sample ID	Description	Begin Month	End Month	Process Status	Case Reader	Create Date
20000150	20000101		12/01/2013	12/31/2013	Yes	<a href="#">bleaka</a>	01/22/2014

At the bottom right, there are navigation icons (back, forward, search, refresh) and the text 'Record Set 1 of 1'.

To Begin a case read on the sampled cases go to Left Nav> Sampling> Search/View Sample Request. Notice your Criteria ID and Sample ID are listed. Click on the Sample ID hyperlink.

# Case Read







## Sampled Cases

Sampled Cases ? ★

## Search Criteria

Sample ID:  Begin Month:  /  End Month:  /

Employee User ID:

Sample ID	Case #	EDG #	COE	Error (Y/N)	Case Reader	Case Read Status	Case Read Type	Start Case Read
20000101	<a href="#">120002378</a>	<a href="#">10018142</a>	SNAP	YES	<a href="#">bleaka</a>	Certified	Case Read	
20000101	<a href="#">120002982</a>	<a href="#">10021949</a>	SNAP	NO	<a href="#">bleaka</a>	Case Read Initiated	Case Read	
20000101	<a href="#">120003085</a>	<a href="#">10019618</a>	SNAP	NO	<a href="#">bleaka</a>	Case Read Initiated	Case Read	
20000101	<a href="#">120003147</a>	<a href="#">10021943</a>	SNAP	NO	<a href="#">bleaka</a>	Case Read Initiated	Case Read	
20000101	<a href="#">120003155</a>	<a href="#">10020704</a>	SNAP	NO	<a href="#">bleaka</a>	Case Read Initiated	Case Read	
20000101	<a href="#">120003254</a>	<a href="#">10015205</a>	SNAP	NO	<a href="#">bleaka</a>	Case Read Initiated	Case Read	

 Record Set 1 of 2

The requested sample of cases are ready for Case Read. To begin with the case read, click on the green arrow under Start Case Read.

# Case Read

Initiate Action

Initiate Action ? ★ [grid icon] [Q] [red square icon]

Reset Next

Initiate Action

Case Name:

Office Name:

Case or Application or Provider #:

120002378

Case Action?

Case read

To view historical records:

To view historical and replaced/voided records:

Between:

[mm] / [dd] / [yyyy]

and

[mm] / [dd] / [yyyy]

Reset Next

You will be directed to Initiate Action. The Case number and Case action will be automatically populated. Click Next.

# Case Read

Case Action Confirmation

Case Action Confirmation ? ★ ⓘ ? [Q] [R] [ECF]

Reset Next

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Case Action Confirmation

Case Name: Trujillo, Dexter      Case/Application Number: 120002378

Current Action:      New Action: Case read

By answering **Yes** to this question and clicking the **Next Button**, you are accepting the action for the case name and number listed above.

\* Do you wish to continue?

NO YES

Do you wish to continue?

Reset Next

On the drop down for \*Do you wish to continue, select YES and click Next.

# Case Read

Visited 4 of 29 Pages

Initiate Case Read

Initiate Case Read ?     

Case Name: Trujillo, Dexter      Case #: 12002378      Case Action:      Case Status: Closed

Reset Next

Create Date: 01/22/2014

Sample ID:	EDG #	COE	Read Status	Case Reader	Select EDG
20000100	10018142	SNAP	Case Read Initiated	Carolyn Craven	<input type="checkbox"/>

Reset Next

Select the EDG you wish to Case Read by clicking in the box. You will be taken through Data Collection Screens for review in Read Only mode.

# Case Read

Summary Visited 66 of 66 Pages

[History](#) [Case Info](#) [Navigation](#) [Organizer](#)

- ASPEN Home
- EDM
- Application Registration
- Self Service
- Data Collection
- Initiate Action
- Case Comments
  - Individual Information
  - Non Financial
  - Absent Parent
  - Sanctions
  - Assets
  - Income
  - Expenses
  - Wrap Up
  - Miscellaneous
- Case Reading Results
  - Verification Checklist
  - Program Denial
  - Add Back
  - Household Members
  - Opt In/Opt Out
  - Eligibility
  - Case Maintenance

---

**Case Reading Results - Summary** Case Status: Closed

Case Name: Trujillo Dexter Case #: 120002376 Case Action:

EDG #  COE SIAP

Error Reason  Error Type

Error Category  Payment Error

Error Category  Error Reason  Payment Error

---

Read Payment Error Amount

Reread Payment Error Amount

Case Status

Employee User ID:

---

Household Comments:

Income Comments:

Case Read Comments:

Non Financial Comments:

Assets Comments:

Specialist Comments:

After reviewing the case, the LUW will direct you to Miscellaneous> Case Reading> Case Reading Results Summary. This is where your results/comments will be entered.

# Case Read Results – Drop down options

summary Visited 55 of 55 Pages

Case Reading Results - Summary

Case Name: Case #: Case Action: Case Status: Closed

EDG # 10018142 COE: SNAP

Error Reason Error Type

Error Category Payment Error

Reset Add

Error Reason:

- Data not updated
- Documentation lacking
- Math or transcription error
- No action on reported information
- Other
- Policy not correctly applied
- System caused error
- Verification

Error Category:

- Individual Information
- Non Financial Assets
- Income
- Wrap Up

Payment Error:

- NO
- YES

Error Type:

- Alien/Refugee
- Burial Asset
- Dependent Care
- Disability
- Disability Benefits
- Employment
- Employment Services
- Expedited Service
- Household
- IAA
- IPV Sanctions
- Immunization
- Individual
- Individual Demographics
- Liquid Assets
- Living Arrangement
- Lump Sum
- Medical Expenses
- Miscellaneous Payments
- Non-Cooperation
- Notice
- Out of State Benefits
- Pregnancy
- Processing
- Real Property
- Relationship
- Room Board
- Room and Board
- STFS
- Self Employment



# Case Read Results

summary Visited 56 of 55 Pages

Case Reading Results - Summary ? Case Action: Case Status: Closed

Case Name: Case #: COE: SNAP

EDG # 10018142

Error Reason Error Type

Error Category Payment Error

Reset Add

Select Error Reason, Error Type, Error Category, Payment Error options and click Add.

Error Reason Error Type

Error Category Payment Error

Error Category Error Reason Error Reason

Income Employment Verification YES

Reset Add

The selected information will automatically populate in the next section below the summary.



# Case Read-Instructions

Error Category:  
Individual Information  
Data Not Updated

**Household Comments:**

Household Composition  
Individual Information  
SSN Verifications

Error Categories:  
Non-Financial  
Wrap Up

**Non Financial Comments:**

Special Accommodations, Timeliness/Expedite  
NVRTA, Documentation, Forms, Language,  
Student Status, TPL / Employment Services / AP

**Income Comments:** Error Category: Income

Earned Income  
Unearned Income

**Assets Comments** Error Category: Assets

Assets  
Expenses

**Case Read Comments:**

Enter additional comments to the  
specialist for correction/response

**Specialist Comments:**

Enter responses/comments back to  
the Case Reader

# LiHEAP Case Read-Instructions

Error Category: Individual Information  
Data Not Updated

**Household Comments:** Math Transcription Error

Household Composition  
Individual Information  
SSN Verifications  
Points Issued

**Income Comments:** Error Category: Income

Earned Income  
Unearned Income

Error Categories:  
Non-Financial / Wrap Up

**Non Financial Comments:**

Special Accommodations, Timeliness/Expedite  
NVRTA, Documentation, Forms, Language,  
Student Status, TPL / Employment Services / AP

**Assets Comments** Error Category: Assets

Assets  
Expenses

**Case Read Comments:**

Enter additional comments to the  
specialist for correction/response

**Specialist Comments:**

Enter responses/comments back to  
the Case Reader

# Case Read-Instructions with Details

## Error Category crosswalk:

<u>If the Error Category selected is:</u>	<u>Comments should be entered under:</u>
Individual Information	- Household Comments
Non-Financial	- Non Financial Comments
Assets	- Assets Comments
Income	- Income Comments
Wrap Up	- Non Financial Comments
Data Not Updated	- Household Comments
Math Transcription Error	- Household Comments (use for Lineap Points)

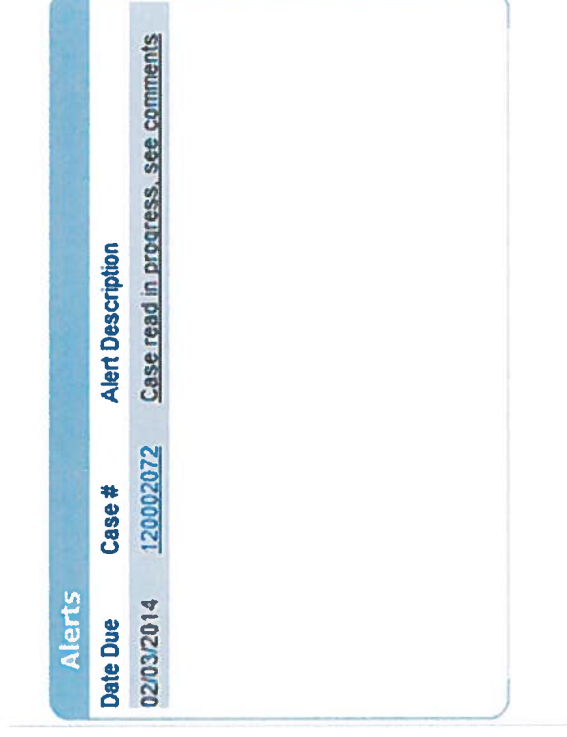
## Details for Comments Boxes:

<u>Household Comments:</u>	
Household Comp	- all household members listed
Individual Information	- names/dob/ssn are entered correctly
SSN Verification	- verified after two contacts made with HH
<u>Non-Financial Comments:</u>	
Special Accommodations	- offered to applicant/recipient, documented on ASPEN-case comments and Household information
Timeliness/Expedite	- case processed timely
NVRA	- offered to client/VR form given or mailed to client
Language	- coded correctly
Forms	- correct forms used and in the correct language
Documentation	- case comments
Student Status	- college Student
Third Party/Emp/ Svc/ AP	- non-financial questions/responses from Data Collection>Non Financial
<u>Income Comments:</u>	
Earned Income	- enter comments related to earned income
Unearned Income	- enter comments related to unearned income
<u>Assets Comments:</u>	
Assets	- assets / resources information
Expenses	- expenses

**NOTE:** If comments are entered in the comments boxes, the Error Reason, Error Type, Error Category and Payment Error drop downs must be selected.

Under Error Reason, do not use the option "Other"

# Case Read-Alert

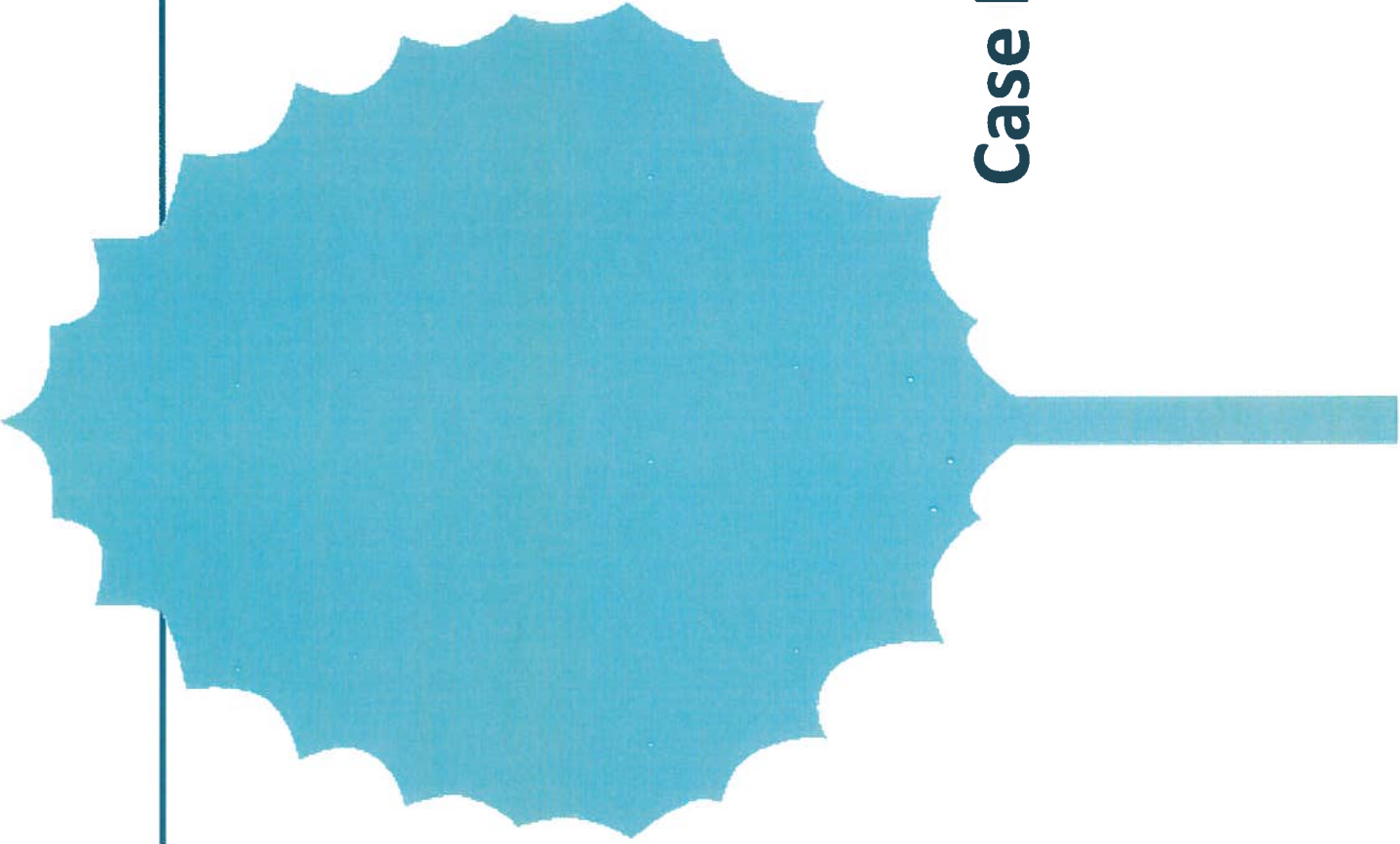


The screenshot shows a table with a blue header bar containing the word "Alerts". The table has three columns: "Date Due", "Case #", and "Alert Description". There is one row of data with the following values: "02/03/2014", "120002072", and "Case read in progress. see comments".

Date Due	Case #	Alert Description
02/03/2014	120002072	Case read in progress. see comments

The specialist will receive an Alert on their dashboard with a due date to complete the Case Read. Click on the Alert Description hyperlink to Initiate Action. Review the Case Read Results, make necessary corrections and send to Reader when complete (following the instructions on slides 15-16). Remember to dispose the Alert after each task is complete.

See Job Aid 10 – Alerts



# Case Read Reports

# Case Read - Reports

See Job Aid: 15 - Reports

MR- 012	Monthly Case Read Results by Office
MR- 013	Monthly Case Read Results by Office
MR- 014	Monthly Case Read Error Report by Region
MR- 018	Monthly Case Read Results by County
MR- 019	Monthly Statewide Case Read Results by Office
MR- 020	Case Read Errors by Program by Region
MR- 024	Monthly Case Read Porgress Report by Office
MR- 025	Semi Monthly Case Read Progress Report by State
MR- 026	Monthly Case Read Progress report by Region
MR- 027	Monthly Case Read Progress report by County
MR- 030	Monthly Benefit Accuracy Report by Office
MR- 031	Monthly Benefit Accuracy Report
MR- 032	Monthly Benefit Accuracy Report by Region
MR- 033	Monthly Benefit Accuracy Report by County



# Questions



**Contact:**

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