

**County Analysis – Non-Compliance with Processing Thresholds or
Thresholds for Denials, Withdrawals, Inquiries**

I. NON-COMPLIANCE

A. APT/PPT Thresholds

1. Which program category(s) failed threshold(s)?

2. Give APT and PPT for affected Month

Month _____	PRO/CAT _____	APT _____	PPT _____
	PRO/CAT _____	APT _____	PPT _____

Month _____	PRO/CAT _____	APT _____	PPT _____
	PRO/CAT _____	APT _____	PPT _____

Month _____	PRO/CAT _____	APT _____	PPT _____
	PRO/CAT _____	APT _____	PPT _____

B. Denial, Withdrawal and Inquiry Thresholds

What is compliance rate for 12 month monitoring sample?

Denials_____ Withdrawals_____ Inquiries_____

II. PLEASE ANSWER THE FOLLOWING QUESTIONS WHERE RELEVANT

A. Organization and Management

1. Was one worker or unit responsible?

2. What action has been taken to notify the responsible worker/unit?

What measures have been implemented to improve performance for that worker/unit?

Is disciplinary action indicated/date taken?

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(II.A)

3. Was non-compliance due to excessive illness or absenteeism?

If so, what is your plan to cover vacant caseloads due to excessive absence?

4. Was non-compliance due to unexpected turnover?

What is your evaluation of the reasons for the turnover?

5. Do supervisory staff use the application management reports, and other best practices recommended to keep abreast of each worker's performance?

6. Do the workers use the application management reports to handle their caseloads?

7. How is work assigned to ensure workloads are evenly divided?
Please explain.

8. Analyze the flow of work from receptionist to IMC to identify any problems.

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B. Staffing and Productivity

1. Was understaffing the cause for non-compliance?

If so, what is your current staffing level and what is your staffing shortage?

What is supervisory to worker ratio?

Using the last three months of data, illustrate your staffing needs.

What, if any, action has been taken to obtain the needed staff?

2. What is the productivity level of:
 - a. Each worker?
 - b. Each unit?
 - c. All workers/units?

C. Policy and Procedure

1. Was non-compliance a result of incorrect policy interpretation regarding application processing (e.g. use of client statement)?

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(II.C. 1)

What was the incorrect interpretation?

What steps have been taken to arrange for or provide training?

2. Was non-compliance a result of failure by the worker or data entry to use correctly the EIS Date screen?

Please cite specific case examples.

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(II.C.)

3. If non-compliance was in the Other category:

a. Does problem appear to be limited to one or two aid/program categories?

If so, which ones?

b. Was it caused by worker failure to recognize potential for coverage under other categories and not authorizing benefits until late in the application process?

c. Is training needed in this area? For a worker? The entire unit? Who will give it? When?

d. Is this a problem for an individual worker or an entire unit?

Is this a problem that would have been identified by 2nd party review?
What steps were taken to strengthen 2nd party review?

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(II)

D. External Forces

1. Did your county experience an unexpected influx of applications in the non-compliance month?

Please provide number of applications for the prior three months as well as the month of non-compliance.

2. Did a catastrophic occurrence cause or contribute to the non-compliance (fire, flood, hurricane, etc.)? Please explain.

3. Did excessive downtime of EIS cause non-compliance?

If so, please indicate number of applications not keyed timely as a result.

Please list these indicating date completed by IMC and date keying was attempted.

4. Was non-compliance caused by excessive processing time by DDS?
Please cite specific cases and pertinent dates.

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(II)

E. Other - Any other reason not listed above.

1. Was non-compliance due to supervisor's inability to manage the supervisory workload?
What actions have been taken to prevent recurrence?

I) Please detail your plan of action including action dates and person(s) responsible to prevent future non-compliance with the thresholds. Incorporate in your plan action steps to deal with any of the factors listed above which contributed to non-compliance.