**Appendix C. CA Task Based Quality Review Checklist**

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| **Introduction** | This appendix contains information on the CA Task Based Quality Review Checklist, including   * CA Task Based Quality Review Checklist * instructions and guidelines for CA review, and * CA review elements. |

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| **Change Date** | August 2021 |

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| **a. CA Task Based Quality Review Checklist** | Below is a sample of the CA Task Based Quality Review Checklist.   |  |  | | --- | --- | | **CA Specific Questions** | | | **1. Was the Claimant Correctly Identified in all systems?** | ☐ Yes  ☐ No  ☐ NA | | **Error Description** |  | | Documents contained in the mail packet under review were not uploaded to the correct e-folder related to the correct Veteran |  | | Incorrect action regarding any unidentified mail |  | | Incorrectly updated appropriate systems for any name, including spelling, and/or address changes |  | | Failed to identify and/or took incorrect action regarding any duplicate records identified for the Veteran or other claimant. (i.e. Dup-C) |  | | Incorrectly created a duplicate corporate record for the same Veteran |  | |  | | | **2. Did the CA correctly determine that a new end product control was needed; and, if so, did CA establish it correctly?** | ☐ Yes  ☐ No  ☐ NA | | **Error Description** |  | | An EP was not required and/or not established based upon the packet or other assignment under review |  | | The incorrect Date of Claim was established |  | | The incorrect End Product Code was established |  | | The Benefit Type, payee code, and/or claim label were incorrectly established, where applicable (based upon current manual guidance) |  | | Failed to request folder at the time of claim establishment |  | | System letter not generated or suppressed incorrectly (i.e. 5103) |  | |  | | | **3. Electronic Record Updates: Did CA take correct actions to update systems to allow complete tracking and routing of claims and benefits?** | ☐ Yes  ☐ No  ☐ NA | | **Error Description** |  | | VBMS Manage Evidence screen and/or legacy systems incorrectly completed when evidence is received |  | | Contentions and Tracked Items were not input and, when required, updated incorrectly |  | | Priority flashes and/or special issues were incorrectly established when required |  | | Power of Attorney (POA) incorrectly updated, to include granting appropriate access (if VA Form 21-22 submitted with mail packet). Prior POA not revoked when applicable |  | | Documents uploaded to the electronic folder were incorrectly indexed |  | | VACOLS was incomplete and/or inaccurately updated as required |  | | Direct Deposit information was input or updated incorrectly |  | | Any Notice of Death (FNOD)was input incorrectly |  | | Intent to File (ITF) information input or updated incorrectly, when applicable |  | |  | | | **4. Other CA Actions: Were any and all other necessary CA actions taken, and taken correctly?** | ☐ Yes  ☐ No  ☐ NA | | **Error Description** |  | | Hearing Scheduled: Actions pertinent to the scheduling of an individual hearing were incomplete |  | | Non-system generated correspondence incorrectly prepared and/or released (e.g., Request for Application (RFA), Intent to File (ITF), Benefits Verification letter, Commissary letter) |  | | Any one-time end product PCLR incorrectly completed, when applicable |  | | Incorrect exam request follow-up was initiated |  | | Incorrect Folder boxed, shipped and tracked |  | | Incorrect FOIA, privacy or other request logged |  | | Incorrect FOIA, privacy or other response |  | | Incorrect Centralized Mail printing and mailing (Assistance with Work-at-Home Letters) |  | | Any Folder Request not associated with the establishment of a claim was initiated incorrectly |  | | Incorrect Burial Development or Award |  | | Incorrect Re-assignment or Re-routing of mail packet |  | |  | | |

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| **b.  Instructions and Guidelines for CA Review** | The scope of the Quality Review questions below is limited to the mail packet or other work assignment selected for random quality review at your station. These instructions and guidelines have been developed to promote consistency and uniformity in the review of cases selected for local CA IQRs.  Use these instructions/guidelines in conjunction with the CA Task Based Quality Review Checklist. |
|  | The CA Task Based Quality Review Checklist is a task based checklist. The task based checklist reviews different tasks taken during the CA intake process. For each case reviewed, a CA Task Based Quality Review Checklist must be completed and all questions answered. The employee will be reviewed for each task they completed for the case selected. At the time of the review, the reviewer will determine which tasks are applicable. There are three possible answers for each of the tasks. A task is considered “accurate” when “Yes” is selected for that task indicating that the activity associated with the question was completed accurately. A task is considered “in error” when “No” is selected for that task indicating that the activity associated with the question was “in error.” A task is considered not applicable to the review when “NA” is selected for that task indicating that the question is not applicable to the case under review.  A CA’s quality will be calculated based on “root cause” errors, in order to evaluate the actual cause of the error(s) rather than also calculating all of the subsequent consequences resulting from the initial error.  For example, a CA generates the incorrect EP for a dependent which results in an incorrect claim.  The CA would be cited for one error for the incorrect EP.  The subsequent error (incorrect notification letter) would not be cited because it was caused by and the direct result of the original EP error.  The notification error, however, would be captured in the comments for training purposes.    Each task on the checklist is associated with multiple error descriptions.  The error descriptions are meant to provide an additional level of information on the error cited to better identify error trends.  The main task question (ex: Were all mail issues addressed and decided?) is what is used to determine if there is an error for that task.  The error descriptions are only there to further identify error trends; they are not meant to determine whether there is an error.  ***The only exception is Task 11 systems compliance errors.  Only those errors that fit under the specific error descriptions are errors under Task 3***.    The guideline is that an error will be recorded when an action is taken that violates current regulations, policies, and procedures.  A narrative summary is required with statutory, regulatory, judicial, or manual references for any “error” or “No” answer recorded.  A judgment or a difference of opinion reflecting a possible better practice or solution is recorded as a remark rather than an error.  If an error is identified that is not related to the individual’s scope, that error is recorded as a remark.  For example, the reviewer finds an incorrect entry made by a VSR that the CA did not make.  The reviewer would not cite an error on the CA for the incorrect entry since it is due to the incorrect entry from the VSR.  This would be outside the scope of the CA.  The reviewer is advised to capture the error as a remark and return to the VSR to ensure review and possible correction, as well as for training purposes.    ***Notes***:   * The lack of a note in VBMS is not grounds for an error citation. |

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| **c.  CA Review Elements** | The following is a list of explanations of the elements of the CA Task Based Quality Review Checklist.   |  |  | | --- | --- | | **CA Specific Questions** | | | 1. Was the Claimant Correctly Identified in all systems? | This question is applicable when Documents contained in the mail packet under review were uploaded to the correct e-folder related to the correct Veteran. Claim Assistant (CA) took correct action regarding any unidentified mail. CA correctly updated all appropriate systems for any name, including spelling, and/or address changes. The CA identified and took corrective action regarding any duplicate records identified for the Veteran or other claimant. (i.e. Dup-C). The CA did not create a duplicate corporate record for the same Veteran. | | 2. Did the CA correctly determine that a new end product control was needed; and, if so, did CA establish it correctly? | This question is only applicable when the packet or other assignment under review requires end product (EP) establishment. It does not apply to a one-time clearing of EP (PCLR) or to EPs already pending at the time of the CA review. Any errors found in an EP pending either prior to or after the CA's review will not be coded as errors, but will be noted in the comment section to ensure that corrective action may be taken | | 3. Electronic Record Updates: Did CA take correct actions to update systems to allow complete tracking and routing of claims and benefits? | This question is applicable when the mail packet or other assignment under review requires the CA to update claim or claimant level information in the electronic record (typically VBMS, Virtual VA or other corporate system) to allow for the efficient processing of the claim and/or correct routing of mail and benefits to the claimant. It most typically applies when a CA establishes an End Product, manages mail received for an existing claim or is required to update a POA, an address, or direct deposit information. | | 4. Other CA Actions: Were any and all other necessary CA actions taken, and taken correctly? | “The following descriptor is only applicable when a hearing is scheduled: All actions pertinent to the scheduling of an individual hearing were completed correctly.”? Hearing notification, appeal election, other letter was correct. Non-system generated correspondence prepared and released by the CA was done so correctly (e.g., Request for Application (RFA), Intent to File. (ITF), Benefits Verification letter, Commissary letter). Any one-time end product PCLR correctly completed, when applicable. Exam request follow-up was initiated correctly. Folder boxed, shipped and tracked. FOIA, privacy or other request logged. FOIA, privacy or other response. Centralized Mail printing and mailing (Assistance with Work-at-Home Letters). Any Folder Request not associated with the establishment of a claim was initiated correctly. Burial Development or Award completed correctly. Re-assignment or Re-routing of mail packet was appropriate and to the correct location. | |