



## PROCESS AND CRITERIA FOR CLOSING A FRAUD ALLEGATION REVIEW AND ASSESSMENT (FARA)

1. The IRIS Consultant Agency (ICA) and the Fiscal Employer Agent (FEA) will complete the FARA. When the FARA is complete, the ICA will change the status to “Review-DHS” in the DHS/FARA SharePoint site.
2. On a regular basis, the Department of Health Services (DHS) will review FARAs with the status of “Review-DHS” in the DHS/FARA SharePoint site.
3. When the Department has additional questions or recommendations for additional action, these will be communicated via the “DHS Requested Follow Up” box in DHS/FARA SharePoint site and will change the status to “OPEN-ICA” or “OPEN-FEA” depending on which agency is to be responsible for providing the additional information or taking the additional action, and provides a due date.
4. The ICA or FEA will provide the additional information or summary of action in the same “DHS Requested Follow Up” box in DHS/FARA SharePoint site and will change the status back to “Review-DHS” within the prescribed time frame. The exchange outlined in Steps 3-4 will reoccur until the FARA meets the criteria outlined in Step 5.
5. The Department will close a FARA and change the status to “Closed” in DHS/FARA SharePoint site when the following criteria are met. For cases recommended and approved for referral to the Office of the Inspector General (OIG), DHS changes the status to “Open – OIG.”
  - **All fields must be completed.** The only permitted exceptions are fields related to referral to DHS, OIG, or DOJ when these referrals are not made, or health and welfare related fields when health and welfare concerns are not reported as part of the fraud allegations.
  - **Contact documentation is detailed and complete.** The Department reviews the contact documentation in the DHS/FARA SharePoint site to ensure an accurate description of what happened, how the FARA team determined the FARA outcome, and the appropriateness of the fraud mitigation strategies.
  - **The mitigation strategies are adequate.** The Department reviews the FARA to ensure the actions taken are sufficient to ensure the fraud issues are mitigated and that appropriate monitoring systems are in place. Referrals to OIG are preceded with confirmation from DHS. The Department sends the referral to OIG.
  - **The outcome of the case is appropriate.** The Department reviews to ensure the outcome selected, “Fraud Substantiated,” “Abuse,” “Fraud Unsubstantiated,” or “Insufficient Information to Determine” is congruent with the information in the FARA record.
  - **Attachments are present.** The Department ensures the FARA team attached all documents used during the course of the FARA.
  - **Health and welfare concerns are mitigated.** The Department reviews to ensure that the ICA ensures the participant’s immediate and ongoing health in FARAs that also contain allegations of health and welfare concerns.
6. For cases in which the Department confirms the recommendation to submit the FARA to OIG, DHS changes the status to “Open – OIG” and emails the referral to OIG.