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| LOCAL COMMISSIONERS MEMORANDUM |
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Transmittal No: 91 LCM-51

Date: March 29, 1991

Division: Family & Children
Services

TO: Local District Commissioners

SUBJECT: Automation of 153-d Sanction Process

ATTACHMENTS: #1 Sanction Compliance Turnaround Report is not available on-line.
#2 Compliance Code Dictionary is not available on-line.
#3 Sanction Process Options is available on-line.

The purpose of this letter is to advise you of our efforts to further automate and streamline the 153-d Sanction process. These changes in the process were effective beginning with the month of July 1990 with a turnaround date of October 31, 1990 and will continue with a 3 month turnaround requirement for all subsequent months. A number of districts have already submitted sanction documentation for the time period of January-June 1990, and we will review this documentation as submitted. However, all future responses for both Foster Care and Preventive sanctions must meet the requirements of one of the two options specified in the attached materials. This approach combines our authority to conduct Section 153-d reviews and to ensure that CCRS contains timely and accurate information, with our goal of reducing both workload and paperwork requirements of local district staff with respect to the provisions of Section 153-d of the Social Services Law (SSL).

Depending upon the option you select, this process will require the utilization of either a Sanction Compliance Turnaround Diskette/Report (SCTD/R) approach as outlined in Option I, or the Sanction Compliance Turnaround Report (SCTR) approach, as outlined in Option II (Attachment # 3). The option utilized will be dependent upon your district's needs and systems capabilities. A brief description of these processes follows.

Option I, Sanction Compliance Turnaround Diskette/Report (SCTD/R), is a four step process as outlined in the attached procedures. Under the SCTD/R Option, we will forward both the monthly diskette and SCTR documents (see Attachment #1) indicating sanctionable cases to those districts having automated capabilities compatible with our D-BASE III+ processing system. The SCTR document can then be utilized as both a working and data entry document.

Districts utilizing this method will, as in the past, research their case records to identify data which addresses all overdue cues for sanctionable cases, transcribe this data to the SCTR document(s) and then enter the requisite compliance action(s) on the turnaround diskette. This would include the signature date of the case manager on the UCR, effective dates of legal documentation or the New York State Adoption Service (NYSAS) correspondence date. This diskette will then be returned to the Bureau of Program Assistance (BPA) for final processing and determination of the district sanction liability.

Option II, Sanction Compliance Turnaround Report (SCTR), is a simplified version of the current sanction process in that the districts will no longer be required to copy and submit the actual UCR or other documentation satisfying the sanction condition. This approach is to be utilized by districts when Option I is not feasible either due to a small number of sanctionable cases or the lack of suitable systems capabilities. As in Option I, we will produce the SCTR document (see Attachment #1), and forward it to the local districts. Data in the case record addressing the sanction will then be transcribed onto the SCTR document; however, the SCTR document rather than the diskette will be returned to BPA for final processing and determination of sanction liability. This process is outlined in the attached procedures titled Option II-Sanction Compliance Turnaround Diskette/Report (SCTD/R). Both of these options can be found in Attachment # 3.

We have also enclosed Attachment #2 containing a list of standardized sanction compliance codes which must be utilized in responding to the respective overdue cues under both options.

It should be noted that under either option, the district will continue to receive the monthly CWRA Sanction Report directly from the Bureau of Services Information Systems (BSIS). Since this process involves a monthly reconciliation, cases must be addressed each time they appear on the monthly CWRA Sanction Report, i.e., if a case appears on January and also on February, it must be submitted for both months.

This process requires that all data being provided to BPA in satisfaction of the sanction condition(s) be entered into CCRS as well. This is provided for in Department Regulations Part 430 which requires the district to provide for the timely entry of the appropriate data into the Child Care Review Service. Failure to do so could result in a reinstatement of the sanction, either in whole or in part, retroactive to the original date of non-compliance.

Your staff should also be aware that, as part of this 153-d process, they do not have to address the following UR Exception CUES:

<u>CUE</u>	<u>Out of Compliance Condition</u>
405	Adoption Placement Overdue
950	Adoption UR Approval Expired
920	Return Home Overdue
921	Return Home UR Approval Expired

The information supplied on either the SCTD/R diskette or the Sanction Compliance Turnaround Report (SCTR) shall be considered as a certification by the district as being representative of the data contained in both the case record and CCRS. Thus, it will be viewed as such in all subsequent reviews and processes including Fair Hearings.

We believe that this automation effort should greatly reduce workload demands existing under the current approach, while at the same time providing for an enhanced process with more timely resolution and identification of sanction information. To ensure that the new process works to the maximum benefit of the local districts in reducing their sanction liability, we ask that you designate a contact person to facilitate implementation of this approach. Under separate cover, you should have already received the diskettes and/or Sanction Compliance Turnaround Reports for the January through July 1990 time period. Designation of the contact person as well as questions regarding the process, computer capability, or other problems such as non-receipt of the diskettes/reports should be directed to either Peter Mattimore or Richard Monks of my staff at 1-800-342-3715, extension 4-9452.

Joseph Semidei
Deputy Commissioner
Division of Family & Children
Services

SANCTION PROCESS OPTIONS

OPTION I-SANCTION COMPLIANCE TURNAROUND DISKETTE/DOCUMENT (SCTD/D)

This process requires a district to have an IBM compatible computer which uses 5 1/4 double sided/double density diskette. All sanction information will be downloaded and converted to the Dbase III + software language. Our systems must be compatible to ensure that there is a smooth transfer of sanction data.

Each month a district will receive a diskette containing the Foster Care and/or Preventive sanction data base file (DBF) and appropriate menu driven programs. The DBF will be named in the following manner:

770190FC.DBF

- ..The first two digits (77) represent District Code
- ..The next four digits (0190) represent month and year
- ..The next two alphas (FC or PV) represent foster care or preventive sanctions

NOTE: When entering the name of the Data Base, the .DBF extension does not have to be entered.

The following steps are necessary to initiate the process:

Step 1:

- ..Bring up Dbase III+ software package
- ..Insert diskette into A drive

- ..Set the Dbase drive to the A drive by Typing: SET DEFAULT TO A at Dot Prompt and hit enter key

- ..Initiate the program by Typing: DO 153D and hit enter key

- ..When the program asks for your database name, enter the name of the file without the .DBF extension, and hit enter key

e.g., Please Enter Database Name: [770190FC]

NOTE: The 77 representing district code is just an example. Each district should enter their own designated WMS district code.

Option 1-Sanction Compliance Turnaround Diskette/Document (SCTD/D)

Step 2:

The 153-d Sanction Application Screen will appear (Example 2)

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+-----+
|               153D SANCTION APPLICATION               |
+-----+
|               1. Edit/Review Records                  |
|                                                       |
|               0. Exit                                 |
+-----+
|-----+-----+ Enter Choice ... [1] -----|

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Choose Number 1 to edit the records.

Step 3:

Sanction Input Screen (Example 3 below) will appear below without any data. Enter the CIN# in the blinking CIN field and hit enter key.

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+-----+-----+ 153D SANCTION INPUT SCREEN -----+
|
| Distcode: 14   Local Office: 5   Unit: 555   Worker: 55E
| Cin: AF00000A Caseno: A00000    Name: DOE   JOHN
|
| Cue1:                               Compcode1: [   ]
| Cue Date1:                               Comp Date1: [ / / ]
|
| Cue2: C103                               Compcode2: [   ]
| Cue Date2: 880623                       Comp Date2: [ / / ]
|
| Cue3:                               Compcode3: [   ]
| Cue Date3:                               Comp Date3: [ / / ]
|
+-----+-----+
|<Esc> Exit/Abort   <CTRL+End> Exit/Save <Pg UP/Pg DN>Next/Prev.Page

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Additional client data will appear above, and the CompCode and CompDate fields will blink for all applicable cue codes.

Option 1-Sanction Compliance Turnaround Diskette/Document (SCTD/D)

Enter the CompCode and CompDate for each applicable cue code. (See Attachment 2 for overdue codes).

Step 4:

Upon entering all Compliance Codes and Dates, there are three options available which are indicated at the bottom of the input screen (Example 3- see above).

OPTION 1-<Esc> Exit/Abort, hit Esc Key. This option will take you back to the menu screen (See in Step 2, Example 2) without your input being saved. TYPE 0 and you will be prompted with a Yes/No exit. TYPE Y and hit the Enter Key to exit the system.

OPTION 2-<CTRL + END>Exit Save-Hit the CTRL + END Key at the same time and your data entry will be saved and the input screen will reappear with a blinking CIN # (start step 3 again).

OPTION 3-<Pg. Up./Pg. DN>Next/Prev. Page

PGUP or PGDN key saves the data you last keyed and takes you to the previous or next record in the DBF in the following sequence;

<u>Local Off</u>	<u>Unit</u>	<u>Worker</u>	<u>CIN</u>
1	1	1	1-5

Example: If Worker 1 belongs to Local Off 1, Unit 1, and has 5 records, these 5 records would be in CIN# order. Worker 2 records would appear next in CIN# order for the same Local Office and Unit etc.

The Sanction Compliance Turnaround Document (Attachment 1) will accompany the diskette and should be completed by the worker and then used as a data entry document to the 153-d sanction input screen (See Example 3). Upon completion of the diskette, it should be forwarded to the Bureau of Program Assistance (BPA) for final processing and determination of the district sanction liability.

OPTION II-SANCTION COMPLIANCE TURNAROUND REPORT (SCTR)

In those districts where the Sanction Compliance Turnaround Report (SCTR) approach is more applicable due to either the low volume of potentially sanctionable cases or the lack of suitable systems capabilities, we will produce this document (see Attachment #1) and forward it to the districts. The districts will then review all out of compliance conditions (CUES) indicated against data in the case record. After completing this task, districts will then transcribe to the COMP CODE and COMPLIANCE DATE fields of the SCTR document, the data from the case record addressing the sanction. A list of acceptable Compliance Codes to be utilized in responding to the respective Overdue Cues is contained in Attachment #2. When completed, the SCTR will be returned to BPA for final processing and determination of the district's sanction liability. This report can also be used as a reconciliation document for addressing sanctionable cases in succeeding months.