



FAMILY INDEPENDENCE ADMINISTRATION

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POLICY DIRECTIVE #10-14-SYS

WELFARE MANAGEMENT SYSTEM (WMS) SOFTWARE RELEASE VERSION 2010.1

Date: March 12, 2010	Subtopic(s): WMS
AUDIENCE	The instructions in this policy directive are for all Welfare Management System (WMS) users in Job Centers, Non Cash Assistance Food Stamp (NCA FS) Centers, and ancillary sites. They are informational for all other staff.
POLICY	New York State's WMS is updated on a regular basis to reflect changes in City, State, and Federal regulations. The WMS software release for 2010.1 migrated to production on February 16, 2010.
SYSTEM ENHANCEMENTS	<p>Changes that became effective with the February 16, 2010, release of WMS software version 2010.1 include:</p> <ul style="list-style-type: none"> • An employment status indicator edit for Able Bodied Adults Without Dependents (ABAWD) in WMS. • Allowing a line to be rejected (RJ) when opening cases for immediate needs. • A fix to the recoupment adjustment process in Electronic Benefit Transfer (EBT). • Data entry capability to the recoupment subsystem for repayment entries. • New alien/citizenship code (ACI) for victims of human trafficking. • New drug/alcohol closing/sanction reason codes. • Automated bump-up of FS sanctions on NCA/FS cases. • A new Cash Assistance (CA) single issuance code.

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send an e-mail to *FIA Call Center Fax* or fax to: (917) 639-0298

- Automation of moving recoupment balances from closed to active cases.
- New income source code for census income.
- Disabling of additional needs codes **43** (LTSP Recurring Rent Supplement) and **44** (EIHP Recurring Rent Supplement).
- Exclusion of Unemployment Insurance Benefits (UIB) supplement for FS.

ABAWD
employment status
indicator edit in
WMS

Able-Bodied Adults Without Dependents (ABAWD) is a classification of individuals who are receiving FS and are subject to certain work requirements. To ensure that the FS Employment Status (ES) code **WR** (Work Regulations Required) is being used correctly in WMS, an edit has been developed to ensure that code **WR** is only allowed if the participant is between 18 and 49 years of age, and there are no dependent children (including unborns) on the case.

If code **WR** is entered incorrectly, the error message will read: **“INVALID AGE WITH EMPLOYMENT CODE WR.”** Error message relates to age only.

Allow line **RJ** when
opening cases for
immediate needs

When an immediate needs or Expedited Food Stamps benefit (EFS) is being issued on an application case and not all household members are eligible for assistance, the JOS/Worker cannot reject the ineligible household member at the line level at the same time that the case is being placed in single issue (SI) status.

Effective with this release, the JOS/Worker can place a case in **SI** status while rejecting an individual line at the same time. If an immediate needs and/or an EFS grant is being issued, opening code **Y41** (CA) or **Q22** (NCA) must be used. This process is the same if the household is applying for either CA or FS, or both. In addition, a budget will not be required for this transaction.

Example:

A household of three (mother and two children) applies for NCA FS. The household is eligible for EFS; however, the mother is ineligible for FS because of her alien status. The Worker should use code **Q22** to place the FS case in SI status and use individual rejection code **F92** on the ineligible mother’s line.

Fix to Recoupment
Adjustment Process
in EBT

Some of the functionality from the Electronic Payment Fund Transfer (EPFT) program was never installed in EBT when WMS made the switch from EPFT to EBT. These changes will ensure that EBT now has the same processes.

EBT was updated with this release to ensure when a CA case is closed, the final benefit is prorated. In addition, EBT will ensure the recoupment amounts are also prorated, or adjusted to zero if no benefit is issued during the final payment period.

To complete this process, WMS automatically pulls code **05** (recurring grant) and creates two CA single-issue codes for the final benefit cycle. On the benefit issuance screen, code **02** (regular-all) is used to cover the period during which the case is open, and code **68** (prorated final issuance) is used for the period after the closing date and is only issued if the case remains open (e.g. Fair Hearing aid to continue).

Outlined below are three scenarios in which CA recoupments will be automatically adjusted by WMS when a case is closed or benefits are cancelled.

Example 1:

Code **68** grant is not issued. As a result, an adjustment is needed for the period covered by code **68**. The amount recouped will be automatically prorated by WMS for the final payment period.

Example 2:

Code **02** grant is cancelled prior to redemption. As a result, the amount recouped for the final cycle will be automatically adjusted to zero by WMS.

Example 3:

Code **05** is issued and there is no proration, but the entire final cycle is cancelled prior to redemption. As a result, the recoupment amount collected for the final cycle is automatically adjusted to zero by WMS.

Data entry capability to recoupment subsystem for repayment entries

The Agency currently collects recoupments that are owed for various reasons (e.g. lawsuit settlements). These payments are received in connection with a participant who has an outstanding overpayment balance on either an open or closed CA case.

Some of these payments are processed electronically by WMS, but not all payments can be transmitted through WMS. Effective with this release, when the Claims and Collections Division within the Investigation, Revenue, and Enforcement Administration (IREA) enters a payment for all or some of an outstanding balance, the recoupment system will apply it to the overpayment balance. The payments received that are applied against a participant's recoupment balance apply to all sub-types of overpayments and are for CA cases only. Participants will receive a CNS that reflects any changes to the recoupment balance.

New ACI code for victims of human trafficking

Alien Citizenship Indicator (ACI) Code **D** is used to identify federally certified victims of severe forms of human trafficking (e.g. slavery/prostitution).

Use Code **D** to identify federally certified victims of severe forms of human trafficking.

Individuals with code **D** are eligible for all CA categories and FS. The Date of Status (DOS) is a required field with ACI Code **D**. The DOS will be indicated on the Office of Refugee and Resettlement (ORR) Certification Letter for adults, and on the Eligibility Letter for minors under 18. The DOS must be the same as the Date Entered Country (DEC). A host level error message will appear if the DOS and DEC dates are not the same.

The message will read, "DEC and DOS must be the same for ACI **D**."

Note: Alien Registration Number is an optional field with ACI code **D**.

Refer to [PD #03-30-ELI](#) for instructions on processing cases for victims of human trafficking.

New drug/alcohol closing/sanction reason codes

The following CA closing/sanction reason codes are now obsolete:

- **F44** - Fail to Comply with Drug/Alcohol Screening
- **F45** - Fail to Comply with Drug/Alcohol Assessment
- **F46** - Fail to Comply with Drug/Alcohol Release Information
- **GX1-3** - Failure to Take Part in Rehabilitation Program – 1st, 2nd, and 3rd Offense, and
- **FX1-3** - Failure to Take Part in Rehab - 1st, 2nd and 3rd Occurrence.

Refer to [PD #09-13-SYS](#) for detailed instructions on creating a Client Notice System (CNS) notice.

These codes are being replaced by the following closing/sanction reason codes, respectively: **P44**, **P45**, **P46**, **PX1-3**, and **MX1-3**. These new codes will require a manual entry in CNS and will contain the same language as the codes they are replacing.

Note: In many instances, the closing/sanction will be processed by NYCWAY.

Automated bump-up of FS sanctions on NCA/FS cases

The Family Independence Administration (FIA) is preparing to roll out the Food Stamp Employment and Training (FSET)/ABAWD process. When the FS participant fails to comply or keep an appointment with the vendor, a FS sanction must be imposed. An automated Bump-Up of FS sanctions will be implemented on NCA/FS cases, similar to what is currently done on CA/FS cases. The proper sanction offense for NCA/FS cases will be identified by this automated process.

Currently, the Crawford v. Bloom (CvB) process identifies the prior sanction offenses for CA/FS cases and bumps up the sanction to the next level, which will now be done for NCA/FS cases as well.

Food Stamp Employment Sanction Code:

WE1 – Failure to Comply with Employment Requirement 1st Occurrence (2 months and until compliance) is data-entered, and it will be automatically bumped up to one of the higher sanctions for the second or subsequent offense as detailed below:

WE2 – Failure to Comply with Employment Requirement 2nd Occurrence (4 months and until compliance)

WE3 – Failure to Comply with Employment Requirement 3rd Occurrence (6 months and until compliance)

New CA SI code

The new CA SI Code **W7** (Housing Development Cooperative Unit) will be used for the purchase of a low income co-op apartment. The Rental Assistance Unit (RAU) may approve a grant not to exceed \$2,500 toward the purchase of an interest in a cooperative unit in a low-cost housing development. The applicant's/participant's equity in such cooperative housing must be assigned to HRA. There will be an edit to allow this payment only to cases in AC or SI status.

This payment is non-assistance and, by definition, cannot be used in meeting a need that extends beyond four months. Workers should not issue a second \$2,500 to the same person during the same four-month period.

When an SSI individual applies for this grant, the category must be Emergency Safety Net Assistance (ESNA) instead of EAA, because this payment cannot be authorized under EAA.

The edits for the **W7** are as follows:

- The “TO DATE” must be prior to the current date. The “Period Covered” field is a required field.
- Restricted Indicator Codes:
 - 1 – Direct Restriction
 - 2 – Two-Party Restriction

Automation of moving recoupment balances from closed to active cases

Changes to the current process will shorten the time frame for identifying outstanding recoupment balances from six years to six months, and will result in adult non-heads of households being equally responsible for recoupments left on closed cases.

Currently, when a case is closed with an outstanding recoupment balance, the recoupment remains dormant until the casehead becomes active again. Effective with this release, the recoupment will be transferred to any adult at least 21 years of age as of the recoupment **Offense Date**, who was active on the previous case at the time the recoupment was initiated.

The new changes will match the case number with the Client Identification Number (CIN) in order to identify individuals on closed cases with outstanding recoupment balances that have moved to a new CA case. This automated process will transfer the previous recoupment balance to the new case number, but will only do so if the individual is the head of the household on the new case.

If WMS finds more than one individual from the original case number now active on separate cases, the balance will be transferred to the oldest individual found on an active CA case. WMS will send the Division of Accounts Receivable and Billing (DARB) a file of individuals with a transferred recoupment balance in order to avoid duplicate collection of the recoupment.

Example of applying the new rule:

Mr. and Mrs. Jones and their two children were in receipt of CA. The Jones family’s case closed in November 2009 with an outstanding recoupment balance of \$400. Mr. Jones reapplies for CA under a different case number in February 2010. WMS will transfer the \$400 recoupment balance to the new case number.

Two new messages will be implemented onto the original case's inquiry screen in WMS:

- RECOUPMENTS TRANSFERRED TO NEW CASE (to be used when the only condition is that the recoupments are being transferred to the new case).
- SOME RECOUPS ARCHIVED/OTHERS TRANSFERRED (to be used when two conditions exist for the original case; recoupments were archived, and recoupments are transferred to a new case).

As a result of these changes, the Notice of Intent to Reduce Cash Assistance (**M-328A**) will be generated for any member of the household at least 21 years of age whose recoupment balance has been moved to a new case. Revised Fair Hearing language is also being generated to accompany these changes.

The Fair Hearing subsystem has been modified to allow the same actions on the transfer recoupment as on all others. JOS/Workers have the ability to enter Fair Hearing aid status codes **1-9** on the Fair Hearing Update Data Form ([LDSS-3722](#)) for recoupment transfers.

New Income Source Code for Census Income

Income source code **75** (census income) has been created to identify temporary earnings from the 2010 Census. Income source code **75** will be counted as earned income for CA and will be exempt as income for FS.

Refer to [PB 10-13-ELI](#) for detailed instructions.

Code **75** will be valid for input on active (AC, AP, SI, SN) CA individual lines.

Code **75** is invalid on NCA/FS cases or on any NCA/FS line on a CA/FS case.

Disabling of additional needs codes **43** and **44**

The Long Term Stayers Program (LTSP) and the Employment Housing Initiative Program (EIHP) have ended. As a result, usage of Additional Needs Codes **43** and **44** has been disabled in WMS effective February 1, 2010. Refer to [PB #10-12-OPE](#) for detailed instructions concerning this issue.

Exclusion of UIB supplement for FS

As a result of the "Worker, Homeownership, and Business Assistance Act of 2009," the American Recovery and Reinvestment Act (ARRA) has been amended to ensure that the additional unemployment compensation (\$25 per week per individual) is not included as income and resources for FS households. The additional compensation should not be subtracted from the gross UIB income.

Refer to [PB #10-09-ELI](#) for more information.

MRB Processed in
January 2010

Currently, unemployment benefits are counted as unearned income for both CA and FS. With these changes, a monthly amount of \$108.33 (\$25 per week x 4.333) will be disregarded from the UIB income input for FS. A mass re-budgeting was performed in January 2010 to exclude this monthly amount from FS on cases currently receiving UIB.

A retroactive payment from November 2009 through January 2010 has been paid to eligible participants. There is no change to how the unemployment benefits are counted as income for CA.

**REQUIRED
ACTION**

Allow line to be **RJ** when opening cases for immediate needs

To reject an individual line on an application case that is eligible for an immediate needs grant or EFS, the JOS/Worker must enter opening code **Y41** (CA) or **Q22** (NCA) in element **231** of the POS TAD, along with the appropriate individual denial reason code in elements **330** (PA STAT), **331** (PA REAS), **332** (PA DATE) and elements **350** (FS STAT), **351** (FS REAS), **352** (FS DATE).

Note: No budget is required for these cases.

Refer to the Authorization of Grants manual for detailed instructions on Opening a Case and Rejecting an Individual.

New drug/alcohol closing/sanction reason codes

Refer to [PD #09-13-SYS](#)

For Substance Abuse closings/sanctions processed through NYCWAY's automated process, NYCWAY will pass a file to WMS that includes the date of the infraction (Future Action Date (FAD) on the referral for Failure to Report [FTR] or Action Date on infraction code for Failure to Comply [FTC]) issues and the location of the appointment (FIA Intake at 16th St, CSM in the Bronx and Brooklyn, or Treatment Program). WMS will use the information in the file to create the CNS notice and will close/sanction the case with the appropriate substance abuse (SA) code.

NYCWAY will not process an automated closing/sanction on multi-person households, or on single person households with an Employment Status code not equal to **63** (Substance Abuser/Exempt). In these instances the case will appear on the NOI worklist for a manual closing/sanction.

To create a CNS notice for these cases, the NOI Clerk or designated staff person must first access the Activity Inquiry Screen in NYCWAY and:

- Locate the referral if the issue is an FTR. The FAD associated with the referral code is the appointment date. This is the date that must be entered in CNS as the infraction date.
- Locate the infraction code if the issue is an FTC. The FAD associated with the infraction code is the infraction date. This is the date that must be entered in CNS as the infraction date.
- Reprint the referral notice to obtain the name and location of the office/program.

Refer to [PD#09-13-SYS](#) for detailed instructions on accessing and creating notices in CNS.

After the information is obtained from NYCWAY, the NOI Clerk or designated staff person must access CNS and enter the following on the **WNC011** and **WNC012** screens:

- On the **WNC011** Screen (CNS Reason Code Entry Screen) enter:
 - **CH** as the transaction type.
 - The line number of the noncompliant individual in the line number field.
 - The reason code in the PA and FS (if applicable) fields and transmit.
- On the **WNC012** screen (Notice Entry Screen) enter:
 - The date of noncompliance – this is the FAD or Action date (obtained from NYCWAY) depending on the issue (FTR or FTC).
 - The location or facility name indicated on the referral notice.

These steps are in addition to normal steps taken to close or sanction a case.

New CA SI code

When RAU approves payment toward a low income co-op apartment for a household without children, the JOS/Worker must prepare the **LDSS-3575** as follows:

- Enter the applicant's/participant's name in the **Name** field.
- Select either Special Roll or E-check in the **Pick Up Codes** field.
- Enter **W7** in the **Issuance Code** field.
- Enter the maximum amount for an E-check or Special Roll check (preparation of more than one **LDSS-3575** may be required, but the total cannot exceed \$2500).
- Enter the date of file in the **From** field, and the last day of the month in the **To** field.
- In the **payee** field, make the check a direct vendor check (example: UHAB for Jane Doe).

HRA is currently working with the Urban Homesteading Assistance Board (UHAB) on these cases.

Note: In POS, this request will be tracked in the Single Issue Grant Request process.

PROGRAM IMPLICATIONS

Model Center Implications

There are no Model Center Implications.

Paperless Office System (POS) Implications

Refer to [PB #10-10-SYS](#) and [PB #10-11-SYS](#) for POS implications related to the WMS Software Version 2010.1

Food Stamp Implications

Only \$25 per week of UIB may be excluded from FS budgeting. Please see [PB #10-09-ELI](#).

Medicaid Implications

A separate Medicaid determination is required for cases closed or sanctioned for failure to comply with substance abuse requirements.

LIMITED ENGLISH SPEAKING ABILITY (LESA) AND HEARING-IMPAIRED IMPLICATIONS

For Limited English-Speaking Ability (LESA) and hearing-impaired applicants/participants, make sure to obtain appropriate interpreter services in accordance with [PD #10-12-OPE](#) and [PD #08-20-OPE](#).

FAIR HEARING IMPLICATIONS

Avoidance/Resolution

Ensure that all case actions are processed in accordance with current procedures and that electronic case files are kept up to date. Remember that applicants/participants must receive either adequate or timely and adequate notification of all actions taken on their case.

Conferences at Job Centers

An applicant/participant can request and receive a conference with a Fair Hearing and Conference (FH&C) AJOS/Supervisor I at any time. If an applicant/participant comes to the Job Center requesting a conference, the Receptionist must alert the FH&C Unit that the individual is waiting to be seen. In Model Centers, the Receptionist at Main Reception will issue an FH&C ticket to the applicant/participant to route him/her to the FH&C Unit and does not need to verbally alert the FH&C Unit staff.

The FH&C AJOS/Supervisor I will listen to and evaluate any material presented by the applicant/participant, review the case file and discuss the issue(s) with the JOS/Worker responsible for the case and/or the JOS/Worker's Supervisor. The AJOS/Supervisor I will explain the reason for the Agency's action(s) to the applicant/participant.

If the determination is that the applicant/participant has presented good cause for the infraction or that the outstanding Notice of Intent (NOI) needs to be withdrawn for other reasons, the FH&C AJOS/Supervisor I will Settle in Conference (SIC), post Action Code **820** (Good Cause Granted) or **820H** (Good Cause Granted for Wellness, Comprehensive Assessment, Rehabilitation and Employment [WECARE] infractions), refer the applicant/participant back to the JOS/Worker by posting Action Code **10FH** or **16FH** (for referrals back to WeCARE), and enter detailed case notes in New York City Work, Accountability and You (NYCWAY). The AJOS/Supervisor I will forward all verifying documentation submitted by the applicant/participant to the appropriate JOS/Worker for corrective action to be taken.

In addition, if the adverse case action still shows on the "Pending" (**08**) screen in WMS, the AJOS/Supervisor I must prepare and submit a Fair Hearing/Case Update Data Entry Form ([LDSS-3722](#)), change the **02** to **01** if the case has been granted Aid to Continue (ATC), or prepare and submit a PA Recoupment Data Entry Form – WMS ([LDSS-3573](#)) to delete a recoupment. The AJOS/Supervisor I must complete a Conference Report ([M-186a](#)).

If the participant fails to show good cause for the infraction or if it is determined that the Agency's action(s) should stand, the AJOS/Supervisor I will explain to the applicant/participant why he/she cannot SIC. The AJOS/Supervisor I must complete an **M-186a** form.

Should the applicant/participant elect to continue his/her appeal by requesting a Fair Hearing or proceeding to a hearing already requested, the FH&C AJOS/Supervisor I is responsible for ensuring that further appeal is properly controlled and that appropriate follow-up action is taken in all phases of the Fair Hearing process.

Conferences at NCA FS Centers If an applicant/participant comes to the NCA FS Center and requests a conference, the Receptionist must alert the Center Manager’s designee that the applicant/participant is to be seen. If the applicant/participant contacts the Eligibility Specialist directly, advise the applicant/participant to call the Center Manager’s designee. In Model Centers, the Receptionist at Main Reception will issue an FS Conf/Appt/Problem ticket to the applicant/participant to route him/her to the NCA FS Reception area and does not need to verbally alert the Site Manager. The NCA Receptionist will alert the Center Manager once the applicant/participant is called to the NCA FS Reception desk.

The Center Manager’s designee will listen to and evaluate the applicant’s/participant’s complaint regarding the case closing. The applicant/participant must provide current verification of address to resolve the issue. After reviewing the documentation, case record, and discussing the issue with the Group Supervisor/Eligibility Specialist, the Center Manager’s designee will decide to resolve or defend the case based on all factors and whether the case was closed correctly.

The Center Manager’s designee is responsible for ensuring that further appeal by the applicant/participant through a Fair Hearing request is properly controlled and that appropriate follow-up action is taken in all phases of the Fair Hearing process.

Evidence Packets All Evidence Packets must contain a detailed history (e.g., copies of POS “Case Comments” and/or NYCWAY “Case Notes,” History Sheet [\[W-25\]](#)), copies of relevant WMS screen printouts, notices sent, and other documentation relevant to the action taken.

REFERENCES

- SPP #2009-00211 ABAWD employment status indicator edit in WMS
- SPP #2009-00430 Allowing line RJ when opening case for immediate needs
- SPP #2009-00500 A fix to recoupment adjustment process in EBT
- SPP #2009-00531 Data entry capability to recoupment subsystem for repayment entries
- SPP #2009-00546 A new alien citizenship code for trafficking in persons
- SPP #2009-00612 New drug/alcohol reason codes

SPP #2009-00468	Automated bump-up of FS sanctions on NCA/FS cases
SPP #2009-00616	A request for a new Cash Assistance (CA) single issuance code
SPP #2007-00317	Automation of moving recoupment balances from closed to active cases
SPP #2009-00818	New income source code for census income
SPP #2009-00767	Disabling of additional needs codes 43 and 44
SPP #2009-00819	Exclusion of Unemployment Insurance Benefits (UIB) supplement for FS
18 NYCRR 385.3 (d)(5)(ii)(a)	
GIS 10 TA/DC001	

RELATED ITEMS

- [PD #03-30-ELI](#)
- [PD #08-20-OPE](#)
- [PD #09-13-SYS](#)
- [PB #10-09-ELI](#)
- [PB #10-10-SYS](#)
- [PB #10-11-SYS](#)
- [PB #10-12-OPE](#)
- [PB #10-13-ELI](#)