FAMILY INDEPENDENCE ADMINISTRATION

Seth W. Diamond, Executive Deputy Commissioner

James K. Whelan, Deputy Commissioner
Policy, Procedures, and Training

Lisa C. Fitzpatrick, Assistant Deputy Commissioner
Office of Procedures

POLICY DIRECTIVE #08-39-SYS
(This Policy Directive Replaces PD #99-97, PD #02-20-SYS, and PB #03-56-OPE)

CLIENT NOTICES SYSTEM (CNS)

Date: October 6, 2008	Subtopic(s): Client Notices System (CNS)

AUDIENCE	The instructions in this policy directive are for all staff in Job Centers, Non Cash Assistance Food Stamp (NCA FS) Centers and ancillary sites. This procedure serves as information for all others.
POLICY	Whenever action is taken to accept, deny, discontinue, reduce or recoup Cash Assistance (CA), Food Stamp (FS), and/or Medical Assistance (MA) benefits, the household must be notified in writing of the Agency's decision.
BACKGROUND	The Client Notices System (CNS) was developed to relieve Workers of the time-consuming task of manually preparing and sending individual notices each time an action is proposed or taken on a case. Prior to CNS, a great deal of time was spent by Workers preparing notices, copying and rewriting the same basic information over and over again.

Notice numbers are system-generated and are not data entered by Workers for No Fill notices.

The TAD must be completed for both Fill and No Fill notices.

Notices are generated by CNS when entering actions on the Turn-Around Document (TAD) to open (AC/SI), close (CL), deny (RJ) or sanction (SN) a case or line or when authorizing a budget without any other action (e.g., recertification no change action, increase in shelter expense, change in vendor rent designation).

Some actions require JOS/Workers to enter more details about the activity in CNS. These actions are called "Fill" notices.

When JOS/Workers do not have to enter any additional details about the activity in CNS, these actions are called "No Fill" notices.

HAVE QUESTIONS ABOUT THIS PROCEDURE?
Call 718-557-1313 then press 3 at the prompt followed by 1 or
send an e-mail to *FIA Call Center*

Distribution: X

Codes that begin with the letter **Y** require a manual notice.

The first letter of the CNS reason code on the chart below can help to determine if a notice requires additional action by a JOS/Worker in order to be generated:

Transaction	Degree of Worker Involvement	
	No Fill	Fill
Openings	A, F	Q
Closings/Denials/Sanctions	E, F, G, J, P	I, M, N, U, V, W

Notices produced by CNS are:

- generated overnight in both English and Spanish or English only based on the Spanish indicator (**SP IND** in element **273** of the TAD) in WMS.
- saved electronically. Reprints can be obtained from CNS and copies from the Computer Output to Laser Disk (COLD) application (see the Guide to Using the COLD Application [**Attachment A**]).

CNS notices also:

- contain Unit ID, Job Center, and NCA FS Center address and telephone number information based on the address tables maintained by Management Information Systems (MIS); and
- are designed to allow rapid modification to the text of the notices as dictated by policy, legislation, regulation changes or litigation.

Manual Notice

A CNS notice is not used and a manual notice must be sent when:

- An **M3E** indicator of **A** (Adequate) or **T** (Timely) is entered in element **053** (CNS Notice Suppressed) on the TAD.
- A code that starts with the letter **Y** is used to close or open a case (e.g., **Y99** [Other – Manual Notice Required]).
- Multiple CA denial/closing reasons (e.g., **N15** [Failure to Keep Appointment] and **U40** [Excess Resources]) are used.
- An application for CA and FS is rejected as follows:

  - **CA**/**FS** status from **AP** (Approved)/**SI** (Single Issue) to **RJ** (Rejected)/**CL** (Closed)
  - **CA/FS** status from **SI/AP** to **CL/RJ**

In these instances, Job Center staff must manually complete the Action Taken on Your Application: Public Assistance, Food Stamp Benefits and Medical Assistance Coverage (NYC) Part A (**LDSS-4013A NYC**) and Action Taken on Your Application: Public Assistance, Food Stamp Benefits and Medical Assistance Coverage (NYC) Part B (**LDSS-4013B NYC**). NCA FS Center staff must use the Action Taken on Your Food Stamp Benefits Case (NYC) (**LDSS-3152 NYC**). All staff must ensure that the appropriate language and citation(s) are used on the notice and that a notice number is <u>not</u> entered in element **280** of the TAD.

Address Change

When both a change in address and an action which generates a timely CNS notice require processing in WMS, to ensure that the CNS notice is sent to the correct address, the address change must be processed first. After the address change is entered, the case action can then be processed. This is because most case actions require a 10-day timely notice period to elapse before taking effect. If an address change is processed simultaneously with the case action, the CNS notice will be erroneously sent to the old address. In instances where only an adequate notice is required, all actions can be processed concurrently.

REQUIRED ACTION

Generating Fill Notices

To generate a Fill notice in CNS, the JOS/Worker must take the following action:

- From the **WMS Host System Menu**, select Option **12** (Client Notices System).
- The **WMS/CNS Subsystem Menu** appears. Enter the following and transmit:

  - Case number in the **Case Number** field
  - Suffix in the **Suffix** field
  - **01** (Notice Entry) in the **Indicate Selection Number Field**

WMS/Client Notices Subsystem Menu

Enter case number

Enter suffix

Enter **01**
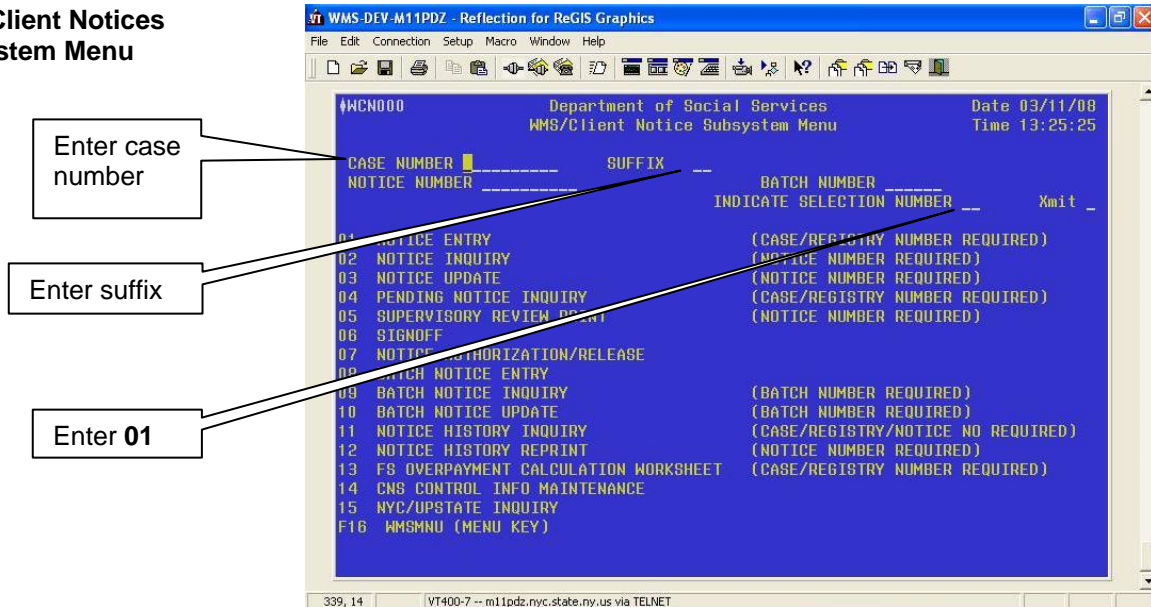
- The **Reason Code Screen** appears. Enter the following and transmit:

  - The appropriate transaction code in the **Trans Type** field, as follows:

    – **AC** for application approvals
    – **RC** for recertification case closings
    – **CL** for all other types of case closings
    – **CH** for line closings and line sanctions

  - For application approvals and case closings, the case opening/closing code in the **Case Reasons** section; or
  - For line closings and line sanctions, the line number in the **LN** column and line closing/sanction code in the appropriate program type column (**PA** and/or **FS**) in the **Individual Reasons** section.

Reason Code Screen

For case openings/closings, enter CNS code here.

For line sanctions/line removals, enter line number and CNS code here.

Enter transaction code
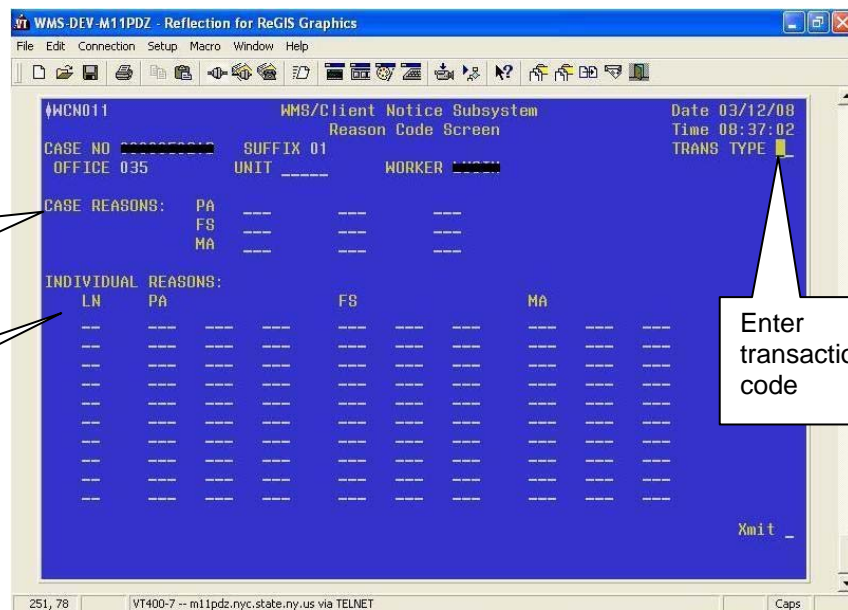
For Job Centers only

- For Job Center staff only, based on the information entered on the **Reason Code Screen**, the following screens may appear when generating a Notice of Intent for engagement and eligibility infractions (see PD #08-23-OPE: Guide to Manual Notice of Intent [NOI] Process for NOI Clerks):

  - **PA and FS Employment Reason Entry Screen**

PA and FS Employment Reason Entry Screen

```
*WCN150              WMS/Client Notice Subsystem          Date XX/XX/XX
                 PA and FS Employment Reason Entry Screen   Time XX:XX:XX


CASE NAME
CASE NO            SUFFIX
INDV REASON WX1 : FL CMP EMP - 1
EMPLOYMENT ACTIVITIES:

_ FAILED TO KEEP/COMPLETE ASSESSMENT APPOINTMENT

_ FAILED TO KEEP/COMPLETE AN EMPLOYMENT/TRAINING APPOINTMENT

_ FAILED TO GO TO AN EMPLOYMENT/TRAINING ASSIGNMENT
_ FAILED CONTINUATION OF EMPLOYMENT/TRAINING ASSIGNMENT
_ FAILED TO KEEP/COMPLETE JOB SEARCH APPOINTMENT
_ FAILED TO COMPLETE JOB SEARCH
_ FAILED TO GO TO A JOB OPENING INTERVIEW

_ FAILED TO TAKE A JOB

_ FAILED TO PROVIDE A MEDICAL REPORT

_ FAILED TO PROVIDE A MEDICAL REPORT (LIMITATIONS)

_ FAILED TO KEEP/COMPLETE A MEDICAL EXAM APPOINTMENT

_ FAILED TO KEEP/COMPLETE A MEDICAL EXAM APPOINTMENT (LIMITATIONS)

  FAILED TO WORK REGISTER

  FAILED TO PROVIDE EMPLOYMENT STATUS

  FAILED TO ACTIVELY SEEK EMPLOYMENT AND PROVIDE PROOF

_ OTHER

                                                            xmit _
```

  - **Notice Entry Screen**

Notice Entry Screen

```
3.)  CASE NAME ▮▮▮▮▮▮▮▮▮▮▮▮▮▮
CASE NO ▮▮▮▮▮▮▮▮F    SUFFIX 01
INDV REASON WE1 : FL CMP EMP-1          LINE NO 01
SELECTION: FAILED TO TAKE A JOB

                       DATE 072407
 INFO SILVER LAKE_____
       42 REVERA STREET/UNIVERSTY PLACE_____
             _____
             _____
             _____


ENTER DATE: JOB OFFER DATE (MMDDYY)    ENTER INFO: JOB LOCATION
```
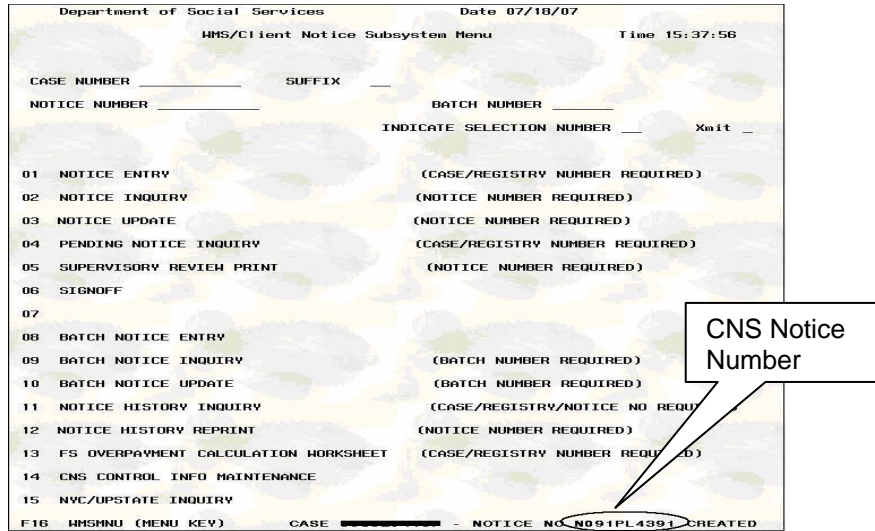
Enter the required case information on the CNS screen(s) as prompted and transmit to continue (see the Processing Manual NOIs in WMS/CNS Desk Guide [**W-116Y**]).

Job Center and NCA FS Center staff

- For both Job Center and NCA FS Center staff, upon completion, the **WMS/Client Notices Subsystem Menu** appears with the pending notice number displayed at the bottom right of the screen. A CNS Supervisory Review Report with the pending notice number and variable data entered is automatically generated.

WMS/Client Notices Subsystem Menu Screen

```
        Department of Social Services                Date 07/18/07
                   WMS/Client Notice Subsystem Menu            Time 15:37:56

        CASE NUMBER _____    SUFFIX  __
        NOTICE NUMBER _____              BATCH NUMBER _____
                                      INDICATE SELECTION NUMBER __    Xmit _

        01  NOTICE ENTRY                    (CASE/REGISTRY NUMBER REQUIRED)
        02  NOTICE INQUIRY                  (NOTICE NUMBER REQUIRED)
        03  NOTICE UPDATE                   (NOTICE NUMBER REQUIRED)
        04  PENDING NOTICE INQUIRY          (CASE/REGISTRY NUMBER REQUIRED)
        05  SUPERVISORY REVIEW PRINT        (NOTICE NUMBER REQUIRED)
        06  SIGNOFF
        07
        08  BATCH NOTICE ENTRY
        09  BATCH NOTICE INQUIRY            (BATCH NUMBER REQUIRED)
        10  BATCH NOTICE UPDATE             (BATCH NUMBER REQUIRED)
        11  NOTICE HISTORY INQUIRY          (CASE/REGISTRY/NOTICE NO REQU...)
        12  NOTICE HISTORY REPRINT          (NOTICE NUMBER REQUIRED)
        13  FS OVERPAYMENT CALCULATION WORKSHEET  (CASE/REGISTRY NUMBER REQU...D)
        14  CNS CONTROL INFO MAINTENANCE
        15  NYC/UPSTATE INQUIRY
        F16  WMSMNU (MENU KEY)       CASE _____ - NOTICE NO. N091PL4391 CREATED
```

CNS Notice Number

- Enter the notice number in element **280** of the TAD. Because a notice number is entered, no entry is required in the following elements of the TAD:

  - **221** (PA Status) and **222** (PA Reason) for CA.
  - **230** (FS Status) and **231** (FS Reason) for FS.

  However, entry of the **AMP** date in element **225** (Amplification Date) of the TAD is required for CA cases.

- Scan and index the CNS Supervisory Review Report into the electronic case record and send the completed TAD to the Supervisor electronically for approval.

  If necessary, an additional printout of the CNS Supervisory Review Report can be obtained from the **Pending Notice List** screen by entering an "**X**" in the **SUP REV** field or from the **WMS/Client Notices Subsystem Menu** screen using option **5** (Supervisory Review Print).

The Supervisor performs the following:

- Match the notice number on the CNS Supervisory Review Report with the number entered in element **280** of the TAD**.**
- If the closing code involves excess income, ensure that the ineligible budget number is entered in element **016** (Ineligible Budget Number) of the TAD. Additionally, if another suffix is being kept active, enter the eligible budget number in element **015** (Budget Number).
- If necessary, return any errors to the responsible Worker for correction.
- After reviewing and approving the completed work, transmit the TAD to WMS by clicking the **Xmit** button on the **Approval** window in POS.

Accessing Pending Notices

The **Pending Notice List** screen allows staff with WMS access to view a list of all pending notices for a case. To access this screen:

- Enter the case number on the **WMS/Client Notices Subsystem Menu**.
- Select option **04** (Pending Notice Inquiry) and transmit.

If there are no pending notices, the message "No Pending Notices For Case Number" appears.

Pending Notice List screen

List of pending notices
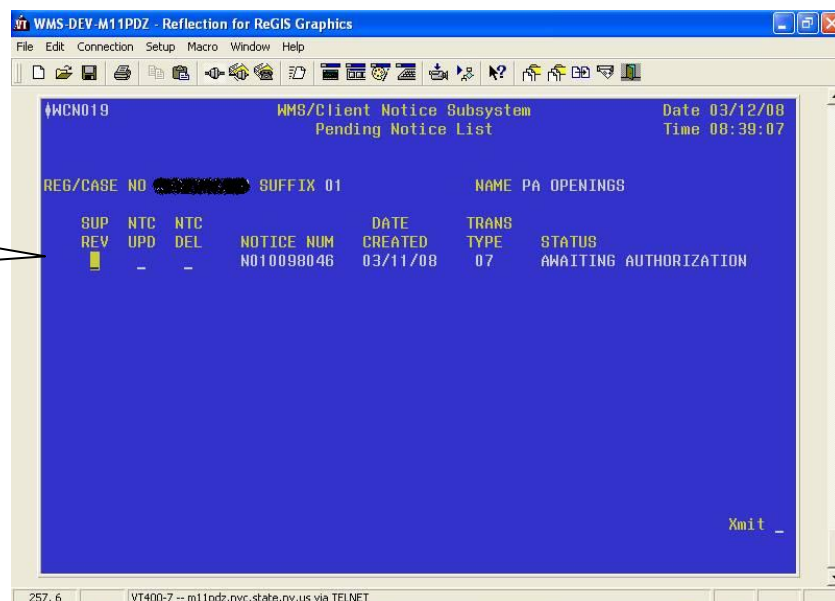
Notice History Screens

Authorized notices are stored in WMS up to six years after the case closes. The **Client Notices List Screen** allows you to view all notices for a case. To access this screen:

- Enter the case number and suffix on the **WMS/Client Notices Subsystem Menu**.
- Select option **11** (Notice History Inquiry) and transmit.
- To get detailed information about a specific notice such as the closing code, enter an "**X**" in the "**DT**" field next to the notice number and transmit.

Client Notices List Screen

Enter an **X** by requested notice and transmit to view notice details
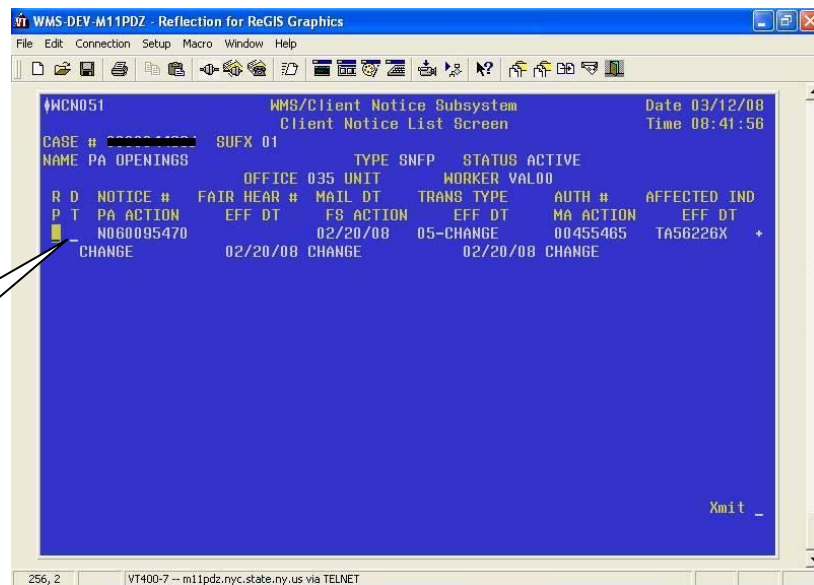
- The **Client Notices Detail Screen** appears. If there are no authorized notices, the message "No Authorized Notices for Case Number" appears.

Client Notices Detail Screen
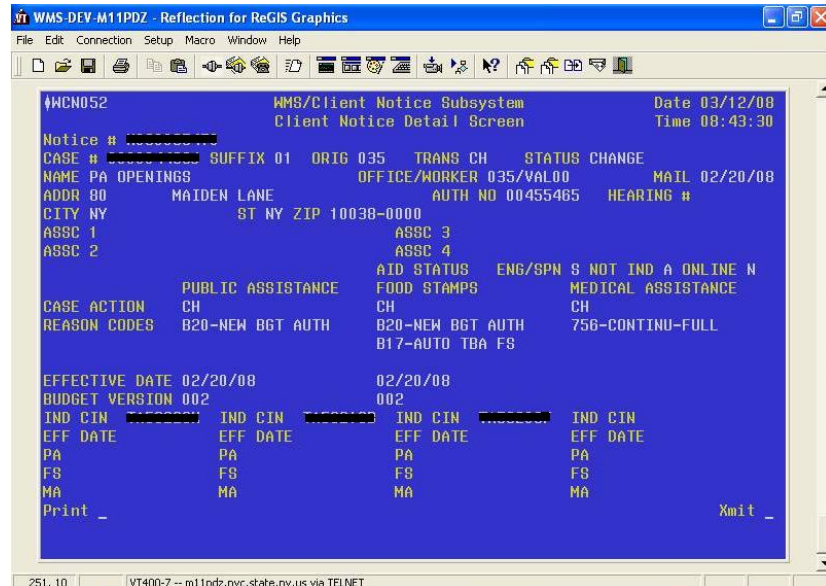
Obtaining Reprints or Copies of CNS Notices

Reprint of CNS Notice

Reprints of the original CNS notice can be obtained from the **Notice Reprint Cover Sheet information** screen, which can be accessed by any of the following methods:

- From the **Client Notices List Screen** (shown on the previous page), enter an "**X**" in the **RP** field next to the number of the notice to be reprinted and transmit.
- From the **Client Notices Detail Screen**, enter an "**X**" in the **Print** field and transmit.
- If the number of the notice to be reprinted is known, from the **WMS/Client Notices Subsystem Menu**, enter the case number and notice number, select option **12** (Notice History Reprint) and transmit.

Once on the **Notice Reprint Cover Sheet Information** screen, enter the following and transmit:

- Office ID, Worker ID, Worker name and Center number to which the notice is to be sent.
- Subject and message information to appear on the Notice Reprint Cover Sheet, if necessary. The Notice Reprint Cover Sheet will be the cover page of the notice.

Notice Reprint Cover Sheet Information screen

Enter Office ID, Worker ID, Worker name and Center number

Enter subject and message
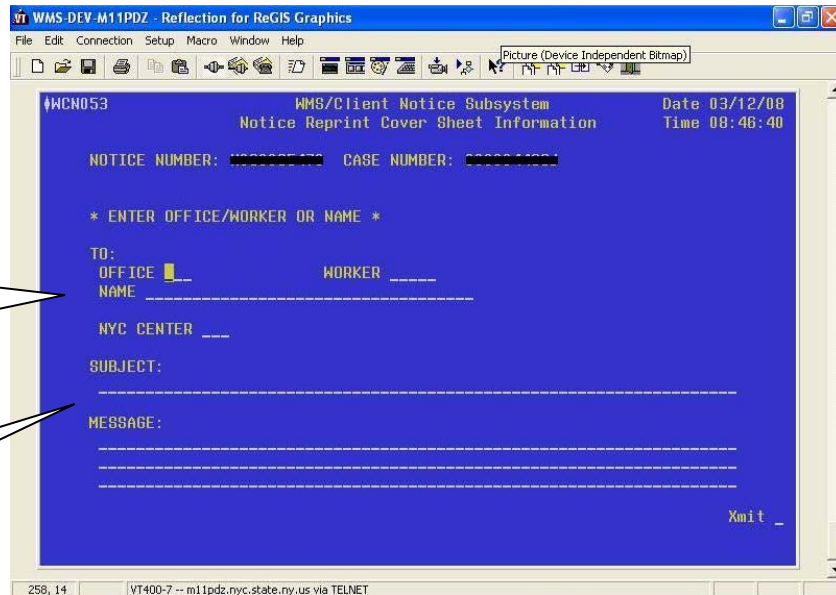
All notice reprints are sent to the site overnight in batch format. The Control Unit will print all notices requested the previous day from the Print Distribution System (PDS).

Copy of CNS Notice

To obtain a copy of the original CNS notice, follow the instructions in the Guide to Using the COLD Application (**Attachment A**).

Suppressing CNS Notices

If a CNS code that begins with the letter **Y** is used, the CNS notice is automatically suppressed and there is no need to enter an **M3E** indicator on the TAD.

While CNS is a very comprehensive system, there are instances where the CNS notice will not contain all the required language and a manual notice will need to be issued. Except when a CNS code that begins with the letter **Y** is used, the automated CNS notice must be suppressed by entering one of the following codes in element **053** (**M3E** indicator) of the TAD:

- **A** (Adequate) – This code is to be used when a notification of an action taken or to be taken is needed. The code will override a timely 10-day notice and the intended action will take effect immediately. A CNS notice will not be produced. A manual notice with the appropriate reason language and regulatory citations must be prepared.
- **T** (Timely) – This code must be used when an intended case action requires that the affected participant be informed a minimum of 10 days prior to taking the action, thus affording him/her the opportunity to resolve the issue before having the adverse action take effect. This code will allow the intended case action to clock down and will not produce a notice. A manual notice with the appropriate closing reason language and regulatory citations must be prepared and issued at the same time the intended action is submitted for data entry. `

For both codes, a notice number in element **280** of the TAD must not be entered.

Note: **M3E** indicator code **1** (Immediate Action for Administrative Reasons) will not suppress the CNS notice.

Error Messages and Correction

Data Entry Errors

When data entering information on CNS, the system will indicate an error with a blinking field on the screen. A corresponding message will be displayed indicating the nature of the error. For an alphabetical listing of data entry error messages and their required corrective actions, see Section H of the New York State (NYS) Office of Temporary and Disability Assistance (OTDA)-produced Client Notices System Manual.

Correction of Notices

To change a pending notice:

- Select option **03** (Notice Update) from the **WMS/Client Notices Subsystem Menu**.
- Access the CNS screens.
- Enter the correct information.
- Enter the new notice number in element **280** of the TAD.
- Resubmit the TAD and a new CNS Supervisory Review Report to the Group Supervisor for approval.

Post Data Entry Errors

After data entry, any processing errors (e.g., WMS case data is not consistent with the CNS reason and transaction) will be listed on the Error Report (**WINR0125**).

If the error is on the TAD, POS will display the error in the Worker's Queue. Follow the current error correction procedure and resubmit the TAD and the CNS transaction for re-processing.

If incorrect information was entered on a CNS screen, follow the instructions in the Correction of Notices section on page 13.

Error Messages

The following are the most common error messages to appear on the Error Report and their required corrective action:

- **E1538** (TAD Reason Code Requires Notice Information) – Required information must be entered on the CNS screens and the CNS notice number must be entered on the TAD.
- **E1565** (TAD Notice Not In CNS) – The notice number entered on the TAD is incorrect. Check CNS and enter the correct number on the TAD.
- **E1569** (Notice Budget Number Required) – The case was closed for excess income but the ineligible budget number is missing. Enter the ineligible budget number in element **016** on the TAD.

Control Unit Reports

CNS produces several reports. These reports are assigned to PDS and are specific to CNS case actions taken as follows:

- **CNS00000** (Cover Page) – This cover page is produced daily and lists all possible CNS Reports. Reports generated for the specified location are identified with an "**X**" next to the report.
- **CNS00001** (Informational) – This report lists TAD's processed with a timely (**T**) or adequate (**A**) value in the **M3E** indicator field. These cases will require manual notices as the automated CNS notices were suppressed.

- **CNS00005** (Manual Notice Required) – This report lists all **Y98** and **Y99** closings where a manual notice is required.
- **CNS00006** (Participant Notices Not Generated) – This report lists all closings not requiring a notice except for **Y98** (Other – Manual Notice Required [No MA Ext]) and **Y99** (Other – Manual Notice Required) closings that are listed on report **CNS00005**. This report also lists all closing codes that start with the letter "**Y**."
- **CNS00009** (Manual Notice Required) – This report lists notices with data errors that prevented the generation of the notice.

PROGRAM IMPLICATIONS

Food Stamp Implications

The CNS notice will have the appropriate FS language based on the case action.

Medicaid Implications

The CNS notice will have the appropriate MA language based on the case action.

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 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 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 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 an **01** if the case has been granted aid continuing (ATC), or prepare and submit a CA Recoupment Data Entry Form (**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**.

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 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 a FS Conf/Appt/Problem ticket to the applicant/participant to route him/her to the NCA Reception area and does not need to verbally alert the Center Manager. The NCA Receptionist will alert the Center Manager's designee once the applicant/participant is called to the NCA Reception desk.

The Center Manager's designee will listen to and evaluate the applicant's/participant's complaint regarding the adverse action. 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 on 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.

REFERENCE   Client Notices System (CNS) Manual

ATTACHMENT
⌨ Please use Print on Demand to obtain copies of forms.

Attachment A   Guide to Using the COLD Application

Guide to Using the COLD Application

To obtain a copy of an original Client Notice System (CNS) notice, access the Computer Output to Laser Disk (COLD) application as follows:

- Click on the **CENTRPORT NYS** icon on your desktop.

  Note: Contact your system administrator if this icon is not available on your desktop.

Click on **CENTRPORT NYS** icon

- The **NYSDS Login** page appears. Enter your username and password and click the **Login** button.

  Note: Username is the WMS User ID. Contact your system administrator if you do not have access to the Centraport system.
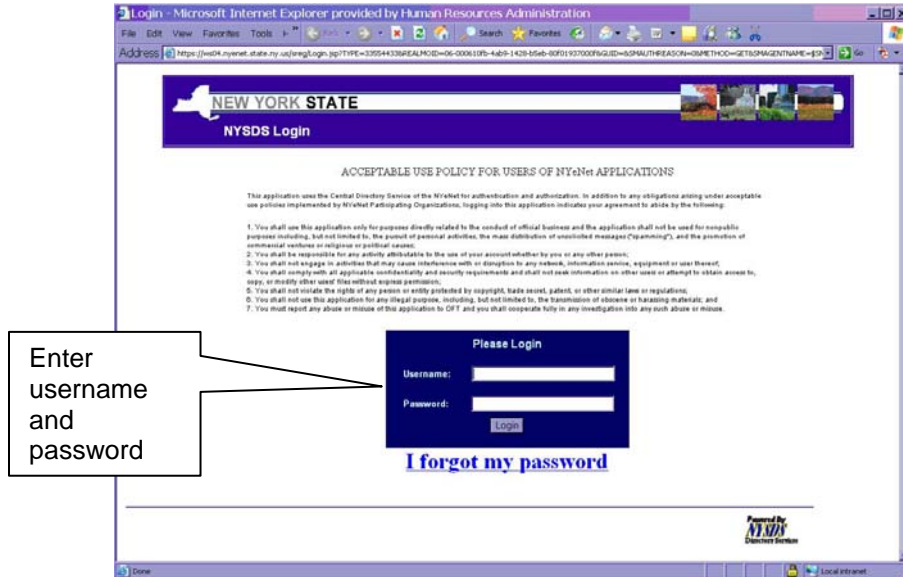
- The **Welcome to CentraPort** page appears with confidentiality and authorization information. Click the **Agree** button to consent and continue.
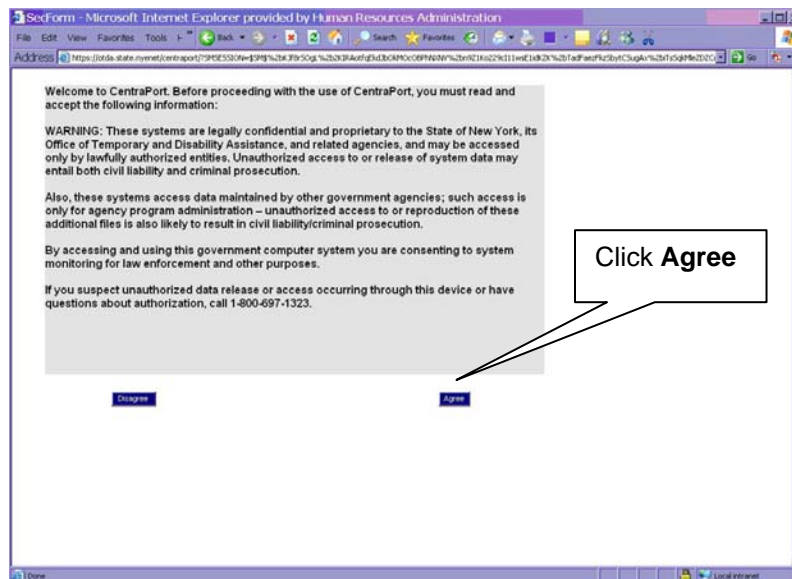
- The **CentraPort** homepage appears with a menu of options. Click the **+** sign by the **Applications** option.
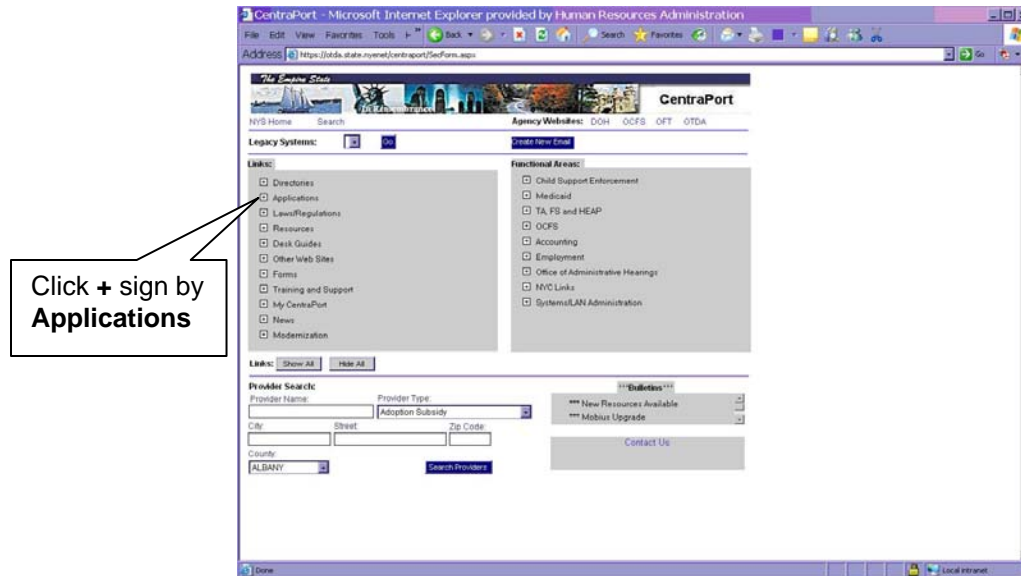
- A menu of applications appears. Click the **COLD (COLD Authorized Users Only)** option. A pop-up window appears to inform you that you are about to leave a secure Web site. Click the **Yes** button to continue.
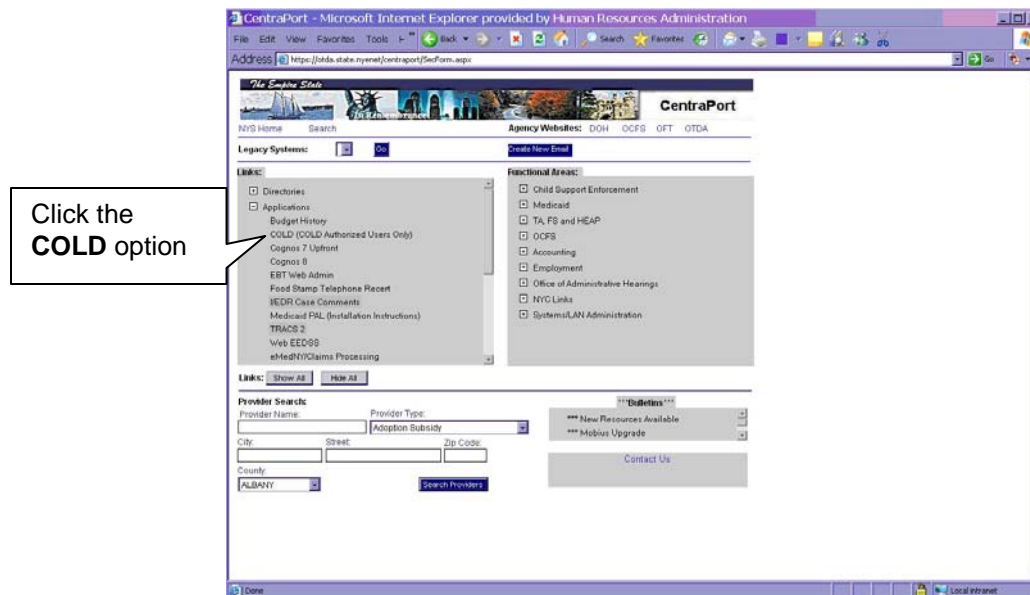
- The **ESP+Web** page appears. Ensure the **Autologin** box is checked and click the **Submit** button.
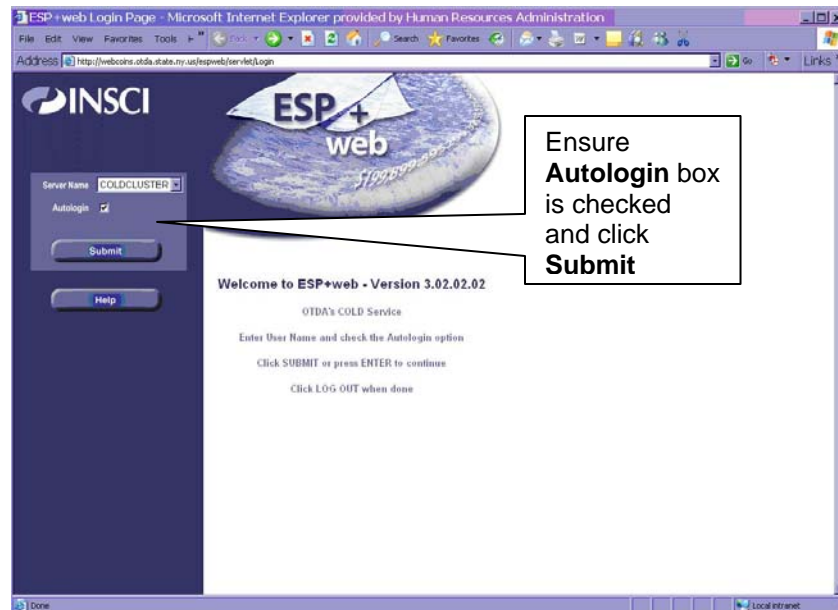
- The **Datagroup Search** page appears. Click the **Client Notices Nov. 1998 to Present** or **Client Notices Prior to Nov. 1998 (to 1/24/95)** option based on the date of the original CNS notice.
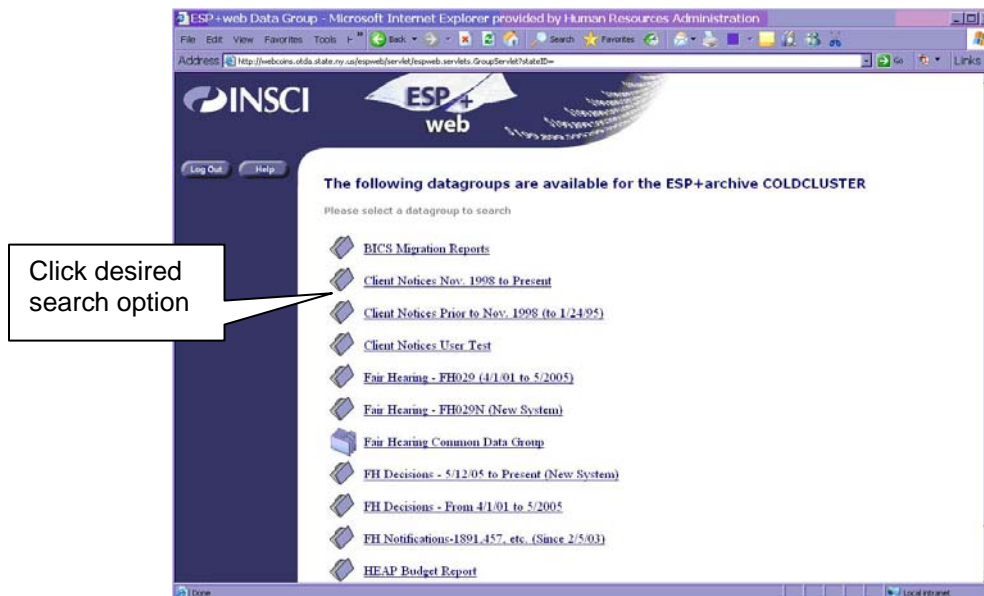
- The selected Data Group search page appears. Enter search criteria such as:

  - Notice Number
  - Unit Number
  - Unit/Worker Name
  - Telephone Number
  - Case Number
  - Case Name
  - Office Number
  - Worker Number
  - Date
  - Location

- After entering the search criteria, click the **Search** button. The **Search Results for Data Group** page appears with the search results.