



FAMILY INDEPENDENCE ADMINISTRATION

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POLICY DIRECTIVE #11-14-ELI

(This Policy Directive Replaces PD #00-09, PD #01-32R, PD #01-39-ELI, and PB #03-85-ELI)

BUDGETING EARNED INCOME ON CASH ASSISTANCE CASES

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|--------------------------------|----------------------------------|
| Date: April 22, 2011 | Subtopic(s): Budgeting |
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AUDIENCE The instructions in this policy directive are for Job Center staff, and are informational for all other staff.

POLICY All earned income must be verified and budgeted against the needs of the applicant's/participant's household.

A report of initial or increased earned income made more than 10 days after its receipt is not considered to be timely. In addition, if the income is reported less than 10 days prior to the end of the month, it is not considered timely reporting for the following month.

Failure to report new or increased earned income timely can result in a recoupment and/or Food Stamp (FS) claim as well as the loss of the income disregards for the period of overpayment.

Income received from employment programs under Title V of the Older Americans Act: Senior Community Service Employment Programs (SCSEP), such as Easter Seals, is not exempt for Cash Assistance (CA) or Medicaid purposes, and should be budgeted as earned income. These earnings are exempt for FS purposes, and income should be excluded.

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 Fax* or fax to: (917) 639-0298

BACKGROUND

Income reported by an applicant must be budgeted in his/her initial CA budget at the time of eligibility determination.

Timely and Untimely Reporting of Earned Income

Timely Reporting:

CA participants must report the receipt of new or increased earned income within 10 calendar days of receiving their first paycheck to be considered timely.

Untimely Reporting:

If earned income is reported more than 10 days after receipt of the first paycheck, it is considered to be untimely.

However, if the income is reported more than 10 days prior to the end of the month, it is considered timely with respect to the next month.

Participants may report earned income during a recertification interview or at any other time.

Earned income may be reported:

- at application
- at recertification
- at any participant contact/call-in
- to the Vendor
- by mail/fax
- by telephone

Earned Income Disregard and Standard Deduction

Some CA participants with earned income are eligible for a \$45 semimonthly standard deduction and a percentage earned income disregard (EID), which is adjusted annually on June 1. The standard deduction and EID are not counted as income when their CA budget is calculated.

If verification of employment has not been submitted, the JOS/Worker must give the applicant/participant the Documentation Requirements and/or Assessment Follow-Up (**W-113K**) form to return with verification.

Applicants will always be considered timely in reporting income. Once an applicant has been deemed financially eligible to receive CA, he/she will be eligible for the earned income disregard.

See PD #09-21-ELI for information on determining eligibility for the earned income disregard.

A budget must be calculated, without the standard deduction and earned income disregard, to determine whether an overpayment occurred in each month the earned income went unreported.

For participants who report their earned income timely, the JOS/Worker must allow the \$45 semimonthly standard deduction and the EID (currently 52%).

Note: Sanctioned individuals with employment income are entitled to the standard deduction and earned income disregard. JOS/Workers must not suppress the disregards when an individual's line is in **SN** status.

The following case types will receive the earned income disregard when earned income is budgeted:

- Family Assistance (FA) households.
- Safety Net Assistance (SNA) households that include a pregnant woman or at least one child under the age of 18, or aged 18 and attending secondary school or the equivalent full-time.

For dependent children/minors who are part-time or full-time students and are also working, all earnings must be considered exempt when determining eligibility or degree of need for CA. This exemption also includes essential persons on an FA case, up to age 21.

If a participant fails to report new or increased earned income timely, his/her household is ineligible for the standard deduction and earned income disregard for all months in which the income was not reported. However, if the participant is still employed, both the standard deduction and the earned income disregard are applied when calculating a prospective budget.

Example

Mary Jones began working on April 3, 2010. She received her first paycheck on April 21, 2010. Mary reported her earnings on July 20, 2010. Because Mary reported her income late, the standard deduction and earned income disregard must be suppressed when determining her overpayment for April, May, June, and July.

Participants who fail to report new or increased earned income timely may also be subject to a CA recoupment and/or FS claim for the overpayment of benefits during the period the income went unreported.

Administrative Ease Period

When a CA participant has reported new or increased earnings in a timely manner, there is an “administrative ease” period of at least one full semimonthly payment cycle, which the Welfare Management System (WMS) will wait before processing the changes to the budget. For example, for a participant who reports earned income in a timely manner in the middle of the 2A payment cycle, the change in budget would not take effect until the 3A cycle.

This administrative ease period is necessary to help avoid the necessity of calculating and recovering overpayments related to new or increased earnings.

For CA participants who do not report new or increased income timely, the administrative ease period does not apply.

Entering Information on the FIA3A

Note: The JOS/Worker must ensure that an Employment Plan (EP) is initiated for all applicants before the **FIA3A** is completed.

When earned income is reported, the JOS/Worker must enter the information in the New York City Work, Accountability and You (NYCWAY) automated **FIA3A**.

The two types of **FIA3A** are:

- Earned Income **FIA3A** (“regular”)
- Documentation Only **FIA3A** (“informational only”)

Whenever an applicant/participant reports earned income, the JOS/Worker must choose whether to complete an Earned Income **FIA3A** or a Documentation Only **FIA3A**, based on the following guidelines:

An Earned Income **FIA3A** is completed:

- for applicants who are reporting earned income.
- for participants who are reporting earned income at any time other than a recertification interview.

Note: At participant recertification and during any client contact, the JOS/Worker must check to see whether there is an existing **FIA3A**. If so, the JOS/Worker must compare the previously reported income and hours to the participant's current documentation.

Note: At participant recertification, a new Earned Income **FIA3A** should not be completed. The JOS/Worker must complete a Documentation Only **FIA3A** instead to record the current information. The participant must present his/her most recent pay stubs or other current documentation to confirm his/her current income and hours worked.

A Documentation Only FIA3A is completed:

A budget must be completed in POS whenever a Documentation Only **FIA3A** is completed for participants.

- for applicants applying for a one-time emergency payment (One-Shot Deal).
- for participants reporting income at a recertification interview.
- for participants who are dependent students under the age of 21.
- to update information if a participant already has income budgeted on his/her case and reports that there have been no changes in earned income.
- when an individual with an employment sanction provides verification that he/she is employed 30 hours per week or more.
- for participants in the Grant Diversion Program (GDP)/TEAP (Parks Opportunity Program) or Advantage Rental Assistance Program.

See PD #10-32-ELI for more information about eligibility reviews for sanctioned individuals

Note: Current documentation of employment must be scanned and indexed even if there are no changes in amount or frequency of income.

Refer to PD #10-07-EMP and PD #10-31-ELI for more information.

Note: Participants in GDP and Advantage require specialized budgeting. Only designated staff may budget these cases.

JOS/Workers must verify employment documentation using TALX/The Work Number Service. See PD #11-11-EMP for more information.

All part-time and full-time earnings, and number of hours worked, must be verified through current pay stubs, income statements, or a letter from the employer. Documentation must be scanned and indexed into the employment folder in the HRA OneViewer. JOS/Workers must access TALX/The Work Number Service to attempt to verify employment.

REQUIRED ACTIONEntering Information in the Earned Income **FIA3A**

Earned income may be reported to:

- the JOS/Worker, or
- the Vendor

Income Reported to the JOS/Worker

Reporting Initial and Subsequent Employment Income

When an applicant reports earned income, or when a participant reports initial or increased earned income at any time other than a recertification interview, the JOS/Worker must obtain and enter the following information on the Earned Income **FIA3A** in NYCWAY:

An Earned Income **FIA3A** must be completed for applicants and for participants who report earned income at any time other than a recertification interview.

- Employer's name, address, and telephone number
- Employment start date (actual start date, e.g., 3/5/90)
- Hours worked
- Frequency (e.g., weekly, biweekly, semimonthly, monthly)
- Salary (gross income amount)
- Date of first pay or increase in pay
- Documentation type
- Child Care Information (Y/N).

See **Attachment A** for screenshot

Note: If a "Y" is entered in the Child Care Information field, an alert will pop up to remind the JOS/Worker that child care information is required in the Automated Child Care Information System (ACCIS). This will require a referral to the authorized ACCIS Liaison to complete the information.

Note: JOS/Workers must ensure that the entries for number of hours worked per month are the same on the **FIA3A** and in WMS.

After the Earned Income **FIA3A** is initiated, it must be signed off by the JOS/Worker. This will allow the automated **FIA3A** processing to begin.

Once the **FIA3A** is initiated, an action code is posted in NYCWAY.

- If the **FIA3A** is initiated by the JOS/Worker, Action Code **167I** (**FIA3A** in Process) will post.
- If the **FIA3A** is initiated by the Vendor, Action Code **167V** (**FIA3A** Initiated by Vendor) will post after the **167I**.

Action code **167I** indicates that the **FIA3A** is incomplete and the case is not yet ready for rebudgeting. Cases with code **167I** are listed on the **FIA3A** Worklist to be reviewed by the Supervisor.

Note: The Supervisor must review all cases with code **167I** and ensure that they are moved off of the **FIA3A** Worklist.

Income Reported to the Vendor

When an applicant/participant reports new or increased employment income to the Vendor, the Vendor is responsible for entering the appropriate information in the Earned Income **FIA3A**. All documentation must be scanned and indexed into the employment folder in the electronic record.

Action code **167V** (Vendor initiated **FIA3A**) will automatically post in NYCWAY and the case will appear on the **FIA3V Worklist**.

Since Vendors cannot sign off on the **FIA3A**, the Job Center Director must designate a JOS/Worker to access the **FIA3V Worklist** and view the list of cases with action code **167V**. For each case, the JOS/Worker must review all information entered by the Vendor and check the HRA OneViewer to confirm whether verification of employment is consistent with the employment information entered on the **FIA3A**.

The JOS/Worker must access the Worker Complete screen and enter his/her name and telephone number to sign off on the **FIA3A**.

Once the FIA3A is signed off, the automated budgeting process will begin.

Processing of the Earned Income FIA3A

See **Attachment C** for a list of action codes and descriptions.

The following action codes will post, depending on whether the case qualifies for the automated budgeting process:

- Action code **167U** will post if the case meets the criteria for automated rebudgeting. Information will be sent to WMS for rebudgeting once the date of first pay has arrived. When action code **167U** posts, the case is placed on the **AUTOR Worklist**.
 - When the budget is sent to WMS and is accepted for Full Time employment, action code **167F** is posted. (Action code **167W** [instead of **167F**] will post if the **FIA3A** has been completed for a case with full-time employment with no documentation submitted [Documentation Pending, 999]). Codes **167F** and **167W** will be listed on the **EMPFT Worklist**.

- When the budget is sent to WMS and is accepted for Part Time employment, action code **167P** is posted on the case. (Action code **167Q** [instead of **167P**] will post if the **FIA3A** has been completed for a case with part-time employment with no documentation submitted [Documentation Pending, 999]). Codes **167P** and **167Q** will be listed on the **EMPPT Worklist**.
 - If the budget is accepted for processing in WMS, the pending budget will appear on the **Pending Actions and Outstanding Items** screen in WMS (Option **08 – Pending Actions** from the WMS Case Inquiry menu).

Action code **167M** will post when an automated budget was sent to WMS and is rejected for lockdown.

- If the budget is rejected by WMS, action code **167M** will be posted, and the case placed on the **FIA3A Worklist** for manual processing. The reason for the rejection will appear in the Comment field of the **167M**.

The JOS/Worker must alert the Supervisor that the **FIA3A** did not go through automated rebudgeting.

- Action code **167D** will post if the case does not meet the criteria for automated rebudgeting. The JOS/Worker must calculate a manual budget in POS or WMS and answer the required questions in NYCWAY (see **Attachment A**). The case will be placed on the **FIA3A Worklist**. The JOS/Worker must forward the case to the Supervisor for approval.

Note: The Supervisor must review all cases with code **167D** and ensure that they are moved off of the **FIA3A Worklist**.

Action code **167R** is only posted following action code **167D**.

- Once the Worker Complete section is signed off in NYCWAY, action code **167R** will post, indicating that the JOS/Worker has calculated and saved a WMS budget and has completed the budget questions on the Earned Income **FIA3A**. The case is ready for the Supervisor to review for approval or denial. Action code **167R** will be listed on the **FIA3A Worklist**.

Supervisory Responsibilities

After action code **167R** is posted, the Supervisor must proceed as follows:

The Supervisor must approve the action taken on the case in POS, in addition to signing off on the action in NYCWAY.

- If the budget action is correct, the Supervisor must complete all fields that apply to the case on the **Re-Budgeting or Closing for Job Number** screen in NYCWAY and enter a **Y** and the date of approval at the bottom of the screen. Action code **167F** or **167P** will post once the Supervisor has approved a manual budget.
- If the budget action is incorrect or documentation is missing, the Supervisor must return the case to the JOS/Worker for correction and enter an **N** at the bottom of the **Re-Budgeting or Closing for Job Number** screen. Action code **167N** will post:
 - **167N** indicates that the **FIA3A** has not been approved. The manual case actions to budget the earned income were reviewed by the Supervisor and returned to the JOS/Worker for corrections. The JOS/Worker must end the existing **FIA3A** using action code **167X**, then start a new **FIA3A** using action code **167I** and resubmit it. The Supervisor must ensure that all corrections are completed and approve the case in a timely manner.

Entering Information in the Documentation Only **FIA3A**

For applicants/participants who require a Documentation Only **FIA3A** (refer to page 5 for a detailed list), the JOS/Worker must obtain and data-enter the following information on the Documentation Only **FIA3A**:

- Employer's name, address, and telephone number
- Employment start date
- Hours worked
- Frequency (e.g., weekly, biweekly, semimonthly, monthly)
- Salary (gross income amount)
- Date of first pay or increase in pay
- Child Care Information (Y/N)

See **Attachment A** for screenshot

Note: If a "Y" is entered in the Child Care Information field, an alert will pop up to remind the JOS/Worker that child care information is required in the Automated Child Care Information System (ACCIS). This will require a referral to the authorized ACCIS Liaison to complete the information.

Note: JOS/Workers must ensure that the entries for number of hours worked per month are the same on the **FIA3A** and in WMS.

See **Attachment A** for screen shots and instructions on entering information in the Documentation Only **FIA3A**.

NYCWAY will post action code **16FI (FIA3A – Informational Only)** after the Documentation Only **FIA3A** is completed.

Income Averaging

If an applicant/participant reports income that varies from paycheck to paycheck, the JOS/Worker must enter the reported amounts (weekly, biweekly, or monthly) in the paycheck average calculator on the **FIA3A**.

The paycheck average calculator will convert these amounts to a monthly amount. The monthly amount is sent to WMS for budgeting.

To access the paycheck average calculator, the JOS/Worker must select the “**Avg Pay**” button (F3) on the bottom of the **Employer Data for Job Set/Job Number** screen in the **FIA3A**.

Example

Jane Doe reports the following weekly earnings:

- May 6 - \$100
- May 13 - \$150
- May 20 - \$270
- May 27 - \$180

The JOS/Worker must enter each weekly amount in the paycheck average calculator on the **FIA3A** and click the “OK” button:

| | paycheck amt. | | hours on | paycheck |
|----|---------------|-------|----------|----------|
| | dollars | cents | paycheck | period |
| 1. | \$ 100 | 00 | 10 | Weekly |
| 2. | \$ 150 | 00 | 15 | Weekly |
| 3. | \$ 270 | 00 | 27 | Weekly |
| 4. | \$ 180 | 00 | 18 | Weekly |
| 5. | \$ | | | Weekly |

Buttons: OK, Clear, Cancel

The paycheck average calculator will take the sum of these four amounts (100 +150 +270 +180), or \$700, and divide it by four to get the average weekly amount of \$175. NYCWAY will convert the average weekly amount to a monthly amount and transmit the monthly amount to WMS.

If the budget is calculated manually in WMS, the JOS/Worker must multiply the average weekly amount of \$175.00 by 4.333 to get the monthly dollar amount of \$758.28. This monthly dollar amount must be entered as the gross income on the employed individual's income/needs screen (**NSBL06**) in WMS.

Information entered in the paycheck average calculator will automatically populate the Salary, Salary Frequency, and Weekly Hours fields on the **FIA3A**.

Note: If the income for one of the four weeks was \$0, the JOS/Worker must enter zeros in the "paycheck amount" and "hours on paycheck" fields.

Budgeting of Income for "In-Kind Services"

When an applicant/participant provides a service and is compensated in-kind with shelter, the value of the shelter must be budgeted as a shelter expense on the ABEL budget using the estimated value from the client/landlord. The amount being paid to the participant from the landlord should be counted as earned income, and all applicable disregards should be applied.

Example:

Sam Smith rents an apartment that costs \$600 per month. The Agency pays \$215 toward the rent, and Sam pays off the balance by working as the building's superintendent. The landlord does not pay him a salary in addition to the in-kind rent payment of \$385.

When budgeting the income, the JOS/Worker must enter \$215 as the FS and PA shelter amounts. The "in-kind payment" of \$385 must be entered as income for CA only. For FS, the \$385 must not be counted as a shelter cost or as income.

Sam can provide a statement to verify the number of hours that he works each work as the building superintendent. Otherwise, the number of hours per week would be found by dividing his monthly earnings of \$385 by federal minimum wage, currently \$7.25 per hour.

If Sam is found to be working less than the 35 hours per week required by HRA, he must be engaged in other activities to fulfill the 35-hour weekly requirement.

Budgeting of Earned Income

Calculating and Saving the Budget

See **Attachment B** for screen shots and instructions on calculating budgets in POS.

When a Documentation Only **FIA3A** is completed, a manual budget is required. The JOS/Worker must calculate a new budget in POS (see **Attachment B**).

If POS is unavailable, the new budget must be calculated using WMS.

Note: Multi-suffix cases must be budgeted in WMS.

For earned income reported in a timely manner, JOS/Workers must refer to Form **W-203** or **W-203A** for the correct effective date of the new budget.

When completing a budget for earned income reported in a timely manner, the JOS/Worker must refer to the Recurring Roll Deadline Schedule (**W-203** or **W-203A**) form to determine the correct effective date based on the applicant's/participant's TOE digit.

Note: Effective date must be placed in the upper-right-hand corner of the WMS/NYC Authorization Form (**LDSS-3517**) (TAD).

When calculating and saving a budget in WMS, the JOS/Worker must enter the following on the employed individual's Individual Income/Needs screen (**NSBL06**):

- The appropriate employability status code in the **EMP** field:
 - **01** Dependent Student-Employed Full Time or Part Time
 - **02** Non-Dependent Student-Employed Full Time or Part Time
 - **04** Non-Student Employed Full Time or Part Time
 - **10** Striker
 - **13** Employed, No Work Deductions
- The **monthly** number of hours worked in the **HW** field.
- The appropriate income source code in the **SRC** field.
- The gross earned income amount received (per paycheck) in the **GROSS** field.
- The frequency (**FREQ**) based on how often the pay is received: weekly (**W**), biweekly (**B**), semimonthly (**S**), or monthly (**M**).
- **B** (Both CA and FS) for program indicator (**PROG**).

To save the budget, the JOS/Worker must enter a **Y** to the right of the “SAVE?” question on the Budget Results Screen (**NSBL80**) in WMS and press the Transmit Key. The WMS System Acknowledgement Screen (**NSYSAK**) will appear with the applicant’s/participant’s case number, and the new budget number will be displayed.

The new budget number must be placed in element **015** of Form **LDSS-3517** (TAD) and circled in red. The JOS/Worker and Supervisor must both sign off on the case action, and forward to Control for data entry into WMS.

Budgeting of Earned Income Reported Timely

Refer to page 2 for an explanation of when reported income is considered timely and untimely.

When the JOS/Worker budgets income for a participant who has reported earned income timely (within 10 days of first pay, or within 10 days of the end of the month to be considered timely for the next month), the current monthly standard deduction and earned income disregard are automatically applied.

Example:

John Smith and his eight-year-old son are receiving CA. On January 3, John starts a job. He receives his first pay on January 9 and reports it to the JOS/Worker on January 15. The JOS/Worker completes an Earned Income **FIA3A**, allowing the current monthly standard deduction and earned income disregard. The JOS/Worker determines that John’s income makes him ineligible for CA. The 10-day clock-down period for closing John’s CA case is initiated on January 15. No overpayment is calculated for January.

Budgeting of Income Reported Untimely

Income information can come from a computer match. Refer to PD #10-30-OPE for information regarding computer matches.

When unreported income is discovered on a CA participant’s case, a budget must be calculated to determine the overpayment amount, if any. When recalculating the budget for overpayment purposes, the JOS/Worker must suppress the standard deduction and earned income disregard for each month the income went unreported.

If the untimely report is made more than 10 days prior to the end of the month, it is considered timely for the following month. In these instances, the standard deduction and earned income disregard must be counted for the following month.

Example:

Jim Adams and his two children are receiving ongoing CA. Jim begins employment and receives his first paycheck on June 10, 2010. He does not report these earnings to the Agency until August 28. The report for the initial month (June) was not timely because it was not made within 10 days of the initial receipt of pay. No disregards are given for June. The reports for July, August, and September are also not timely, because they were not made at least 10 days before the starts of those respective months. No disregards are given for July, August, or September. October is the first month disregards can be given, because income was reported at least 10 days before the start of October. A scratch-pad budget must be completed for June–September to determine whether there was an overpayment.

A prospective budget must be done effective 10/A/10 to determine whether the Adams' household remains eligible for CA and FS.

When calculating a budget for a participant who reported earned income in an untimely fashion, the JOS/Worker must:

- calculate the budget without the earned income disregard or the standard deduction for each month that the income was earned but not reported. This may be done manually using a Cash Assistance Budget Computation (**W-648**) form, or in WMS.
- make the following entries on the employed individual's **NSBL06** screen when calculating a budget in WMS:
 - **13** (Employed, No Work Deductions) as the employability status code (**EMP**). This will suppress the standard deduction and the earned income disregard.
 - The monthly number of hours worked in the **HW** field.
 - The appropriate income source code in the **SRC** field.
 - The gross earned income amount received in the **GROSS** field.
 - The frequency (**FREQ**) based on how often the pay is received: weekly (**W**), biweekly (**B**), semimonthly (**S**), or monthly (**M**).
 - **B** (Both CA and FS) for program indicator (**PROG**).

The WMS budget is used to determine whether there was an overpayment. This budget is not saved.

Eligibility Determinations After Budgeting Earned Income

- If the household remains eligible for CA, the JOS/Worker must save and authorize the budget. The budget number must be entered in the WMS Budget Number field on the POS TAD, or in Element **015** of the TAD. The case action must be forwarded to the Supervisor for approval.
- If the household is no longer eligible for CA based on the saved budget, the JOS/Worker must close the case as follows:

POS Instructions:

- Go to “Change Case Data.”
- Enter the ineligible budget number in “Notice Bdgt Number” field on the POS TAD.
- Change the PA Status to “Closed.”
- Enter closing code **E30** (Excess Earned Income, Ineligible Budget Required) or closing code **E31** (Increased Employment Earnings) in the Status Reason field.
- Forward the case to the Supervisor for approval.

WMS Instructions:

- Enter closing code **E30** (Excess Earned Income, Ineligible Budget Required) or closing code **E31** (Increased Employment Earnings) in Element **222** of the TAD.
- Enter the ineligible budget number in Element **016** of the TAD and forward to the Supervisor for sign-off.
- The Supervisor must forward to Control for data-entry into WMS.

Overpayment Calculations

Note: For CA cases, the JOS/Worker must determine the amount of overpayment for each month that the income was unreported.

- If the participant is still eligible for a CA grant during the period of overpayment, recoup the difference between the amount the participant received and the amount that he/she should have received, for each month the participant failed to report the earned income.

Example:

A household has been receiving a semimonthly CA grant of \$300. The budget is recalculated when new earned income is discovered. The JOS/Worker calculates a new semimonthly budget of \$250 without allowing the earned income disregard, since the income was not reported in a timely manner. \$50 (the difference between the old grant of \$300 and the new grant of \$250) must be recouped for each cycle that has passed.

- If the budget result indicates that the household is ineligible, recoup the entire semimonthly CA grant for each month the participant failed to report the earned income.
- The JOS/Worker must then calculate and save a prospective budget, allowing the standard deduction and earned income disregard for the month in which the earned income is reported timely. The JOS/Worker must enter the following on the employed individual's **NSBL06** screen:
 - **04** (Non-Student Employed Full Time or Part Time) as the employability status code (**EMP**), if the participant is a non-student employed full-time or part-time.
 - The monthly number of hours worked in the **HW** field.
 - The appropriate income source code in the **SRC** field.
 - The gross earned income amount received in the **GROSS** field.
 - The frequency (**FREQ**) based on how often the pay is received: weekly (**W**), biweekly (**B**), semimonthly (**S**), or monthly (**M**).
 - **B** (Both CA and FS) for program indicator (**PROG**).

Note: The standard deduction and earned income disregard must be applied for prospective budgeting. JOS/Workers must not close CA cases based on scratch-pad budgets used to determine overpayments due to the untimely reporting of earned income.

Refer to PD #07-11-ELI for information regarding the processing of FS claims.

For FS cases, the Office of Food Stamp Claims must determine the amount of overpayment for each month that income was unreported.

Recoupments

Recoupments

If an overpayment occurs as a result of budgeting income that was reported untimely, a recoupment must be initiated. The JOS/Worker must prepare the PA Recoupment Data Entry Form (**LDSS-3573 NYC**), as follows:

Offense Type code **E** (Agency Error) is used when a participant reports income timely, but an overpayment occurs because the Agency fails to take timely action.

Offense Type code **C** (Concealment) is used when a participant fails to report earned income in a timely manner.

- Place a checkmark in the “New Claim” box (1).
- Enter “**C**” (Concealment) or “**E**” (Agency Error) as the offense type in the Offense Data section.
- Enter “**01**” (Receipt of Employment Earnings by the Grantee/Spouse) or “**02**” (Receipt of Employment Earnings by a Family Member other than Grantee/Spouse) as the offense subtype in the Offense Data section.
- Enter the recoupment amount in dollars and cents as the offense amount in the Offense Data section.
- Enter the date overpayment began and date overpayment ended in the Offense Data Section.
- Sign the form and ensure that it is forwarded to the Supervisor for signature.

If verification of the participant’s employment information has not been submitted, the JOS/Worker must not recoup any payments until the information has been verified.

See PD #07-03-OPE for more information.

A referral to the Bureau of Fraud Investigation (BFI) may be required for participants requiring an overpayment recoupment.

PROGRAM IMPLICATIONS

Paperless Office System (POS) Implications

Screen shots and instructions on calculating budgets in POS may be found in **Attachment B** of this procedure.

Food Stamp Implications If an FA case or a Safety Net Assistance (SNA) case with children becomes ineligible for CA due to an increase in earned income, the household may be eligible for five months of transitional FS benefits as part of the Transitional Benefit Alternative (TBA) Program. SNA cases without children will receive FS extended to the end of their recertification period.

Medicaid Implications Participants whose CA cases are closed due to excess earned income will receive transitional Medical Assistance (MA).

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 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 Offices, 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 a participant has presented good cause for reporting his/her income late, or that the outstanding Notice of Intent needs to be withdrawn for other reasons, the FH&C AJOS/Supervisor I will post action code **70CL** and enter detailed case notes in NYCWAY. The FH&C AJOS/Supervisor I must scan and index all documentation submitted by the participant into the employment folder, and forward the documentation to the appropriate JOS/Worker for corrective action to be taken. The participant must be referred back to the JOS/Worker by posting action code **11FH**. A copy of the **11FH** Appointment Notice must be given to the participant.

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**), which will remove the adverse action in the **08** screen in WMS, or prepare and submit a PA Recoupment Data Entry Form (**LDSS-3573**) to delete a recoupment. The AJOS/Supervisor I must complete a Conference Report (**M-186a**).

If the determination is that the participant has not shown good cause for reporting his/her income late, or that the Agency’s action(s) should stand, then the AJOS/Supervisor I will explain to the applicant/participant why he/she cannot settle the issue(s) in conference (SIC). The AJOS/Supervisor I must complete Form **M-186a**.

Should the applicant/participant elect to continue his/her appeal by requesting or proceeding to a Fair 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.

Evidence Packets

All Evidence Packets must contain a detailed history, copies of relevant WMS screen printouts, other documentation relevant to the action taken and copies of NYCWAY “Case Action History Print.”

REFERENCES

90-INF-33
08 ADM 07
01 ADM 13
GIS 10 TA/DC014
GIS 01 TA/DC010
18 NYCRR 351.1 (b)(2)(ii)(e)
18 NYCRR 351.24 (d) and (f)
18 NYCRR 352.20 (c)(3)
18 NYCRR 352.19 (a) and (b)(3)
Temporary Assistance Source Book (TASB), Chapter 18, Section A

RELATED ITEMS

PD #11-11-EMP
PD #10-32-ELI
PD #10-30-OPE
PD #09-21-ELI
PD #07-11-ELI
FIA3A User Guide

ATTACHMENTS

| | |
|---------------------|---|
| Attachment A | Entering Earned Income Information in the Automated FIA3A |
| Attachment B | Paperless Office System (POS) Screens for Budgeting Earned Income |
| Attachment C | Descriptions of FIA3A Action Codes |

Attachment A

Entering Earned Income Information in the Automated **FIA 3A**

Initial earned income and subsequent employment-related changes must be entered in the New York City Work, Accountability and You (NYCWAY) automated **FIA 3A**.

The JOS/Worker must enter the following information on the **FIA 3A**:

- Employment start date
- Hours worked
- Salary (gross income amount)
- Frequency (e.g., weekly, biweekly, semimonthly, monthly)
- Evidence of Employment/Income
- Employer's name, address, and telephone number
- Date of first pay or increase in pay
- Child Care Information (Y/N)

MAPER2-E (99995)

File Edit Functions Scripts Session Release Help

09/09/2010 New York City - Work, Accountability and You (NYCWAY) Tk891.001
11:07 Employer Data for Job Set/Job Number 01-1 User Id: E9999

Case Number CIN ES Code 20 Office F11
Name DoB 10/17/1964 SSN Sex Female
Status WORK ACTIVITY - BEGIN LANGUAGE PROG Case Type FA IndStat AC

| | | | |
|--------|--------|------------------|--------------------|
| Title | Start | Reported | Is Job Subsidized? |
| Sector | Salary | Salary Frequency | Weekly Hours |

| | | |
|-------------------------------|-------------------------|-----------------|
| Evidence of Employment/Income | Date Enrolled w/ Vendor | |
| Employer | How Reported | Source Code |
| Address | | |
| City | State | |
| Zip | Phone K | NYC Agency Job? |

| | | | | |
|------------------------------|---------------|-----|-------------------|-----|
| In-Home Baby Sitting y/n? | PA exempt amt | .00 | FS exempt amt | .00 |
| Third Party Health Insurance | Amount | .00 | Unemployment Ins? | |
| Date 1st Paycheck Received | | | | |

Child Care Information? (Y/N)

AvgPay Abort Next ActInq NwCase Help Menu MnMenu

The “**Help**” tab at the bottom of the screen displays the entry codes and definitions for the Title, Sector, Salary Frequency, Evidence of Employment/Income, and How Reported fields.

Attachment A

Applicants/participants must submit documentation, such as pay stubs, business records, or a letter from an employer, to verify their employment.

Documentation must be submitted within 10 days of the applicant's/participant's receipt of first pay.

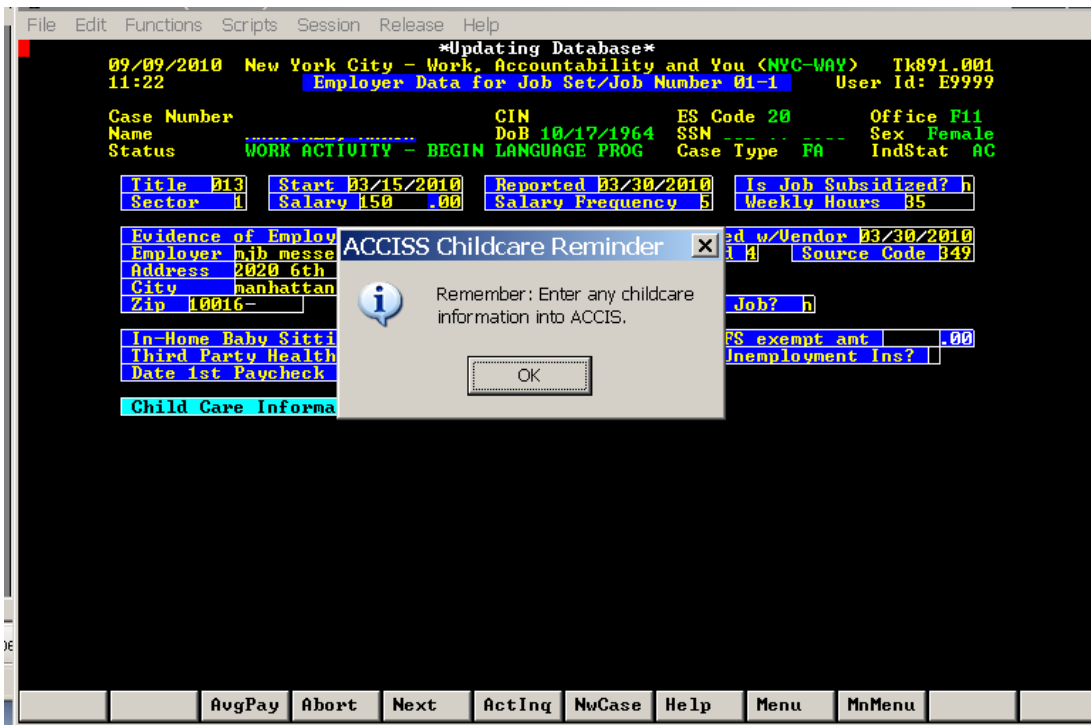
Highlight the code for the type of documentary evidence submitted by the applicant/participant, and click **"Select"**:

The screenshot shows the MAPER2-E (99995) application window. The title bar reads "MAPER2-E (99995)". The menu bar includes "File", "Edit", "Functions", "Scripts", "Session", "Release", and "Help". The main window displays a form for "New York City - Work, Accountability and You (NYC-WAY)". The form includes fields for "Code 20", "Office F11", "Sex Female", "IndStat AC", "Is Job Subsidized?", "Weekly Hours", "lled w/ Vendor", "ted", "Source Code", "cy Job?", "FS exempt amt .00", and "Unemployment Ins?". A dialog box titled "Choose Documentary Evidence" is open, listing options: "001 PAY STUB(S)", "002 EMPLOYMENT LETTER", "003 EMPLOYER CONTACT", "005 BUSINESS RECORDS", "006 TAX RECORDS", and "999 DOCUMENTATION PENDING". The "Select" button in the dialog is highlighted with a red circle. The bottom menu bar includes buttons for "AvgPay", "Abort", "Next", "ActInq", "NwCase", "Help", "Menu", and "MnMenu".

For variable income entries, click on the AvgPay button.

Attachment A

When “Y” is entered for “Child Care Information,” an alert will pop up reminding the JOS/Worker to enter childcare information in ACCIS:



The screenshot shows a terminal window titled "Updating Database*" with the following data:

09/09/2010 New York City - Work, Accountability and You (NYC-WAY) Tk891.001
11:22 Employer Data for Job Set/Job Number 01-1 User Id: E9999

Case Number: [redacted] CIN: [redacted] ES Code 20 Office F11
Name: [redacted] DoB 10/17/1964 SSN [redacted] Sex Female
Status WORK ACTIVITY - BEGIN LANGUAGE PROG Case Type FA IndStat AC

Title 013 Start 03/15/2010 Reported 03/30/2010 Is Job Subsidized? n
Sector 1 Salary 150.00 Salary Frequency 5 Weekly Hours 35

Evidence of Employ [redacted] ad w/ Vendor 03/30/2010
Employer n/b messe 1 4 Source Code 049
Address 2020 6th
City manhattan
Zip 10016

In-Home Baby Sitti [redacted]
Third Party Health [redacted]
Date 1st Paycheck [redacted]

Child Care Informa [redacted]

ACCIS Childcare Reminder

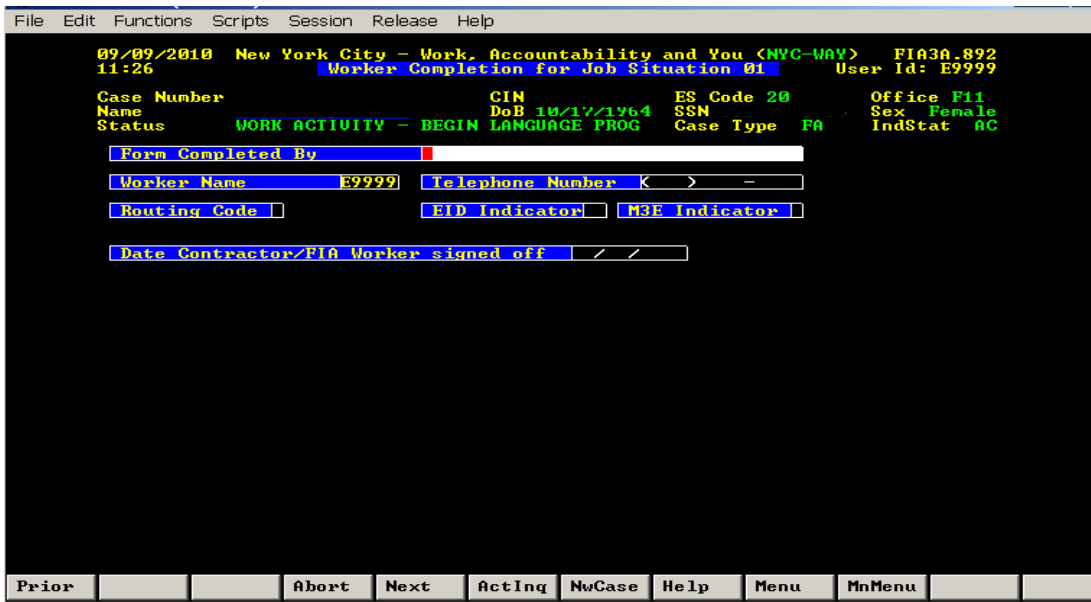
Remember: Enter any childcare information into ACCIS.

OK

Job? n
PS exempt amt [redacted].00
Inemployment Ins? [redacted]

Buttons: AvgPay, Abort, Next, ActInq, NwCase, Help, Menu, MnMenu

Click “OK” and the Worker Completion Screen will appear. The JOS/Worker must enter his/her name, telephone number, and the sign-off date:



The screenshot shows a terminal window titled "Worker Completion for Job Situation 01" with the following data:

09/09/2010 New York City - Work, Accountability and You (NYC-WAY) FIA30.892
11:26 Worker Completion for Job Situation 01 User Id: E9999

Case Number: [redacted] CIN: [redacted] ES Code 20 Office F11
Name: [redacted] DoB 10/17/1964 SSN [redacted] Sex Female
Status WORK ACTIVITY - BEGIN LANGUAGE PROG Case Type FA IndStat AC

Form Completed By [redacted]

Worker Name E9999 Telephone Number [redacted]

Routing Code [redacted] EID Indicator [redacted] M3E Indicator [redacted]

Date Contractor/FIA Worker signed off [redacted]

Buttons: Prior, Abort, Next, ActInq, NwCase, Help, Menu, MnMenu

Attachment A

After the Worker signs off, the automated budgeting process will begin.

Action code **167U** will post if the case meets the criteria for automated rebudgeting. Information will be sent to WMS for rebudgeting, and the pending budget will appear on the **08** screen in WMS.

Action code **167D** will post if the case does not meet the criteria for automated rebudgeting. The JOS/Worker must answer the questions on the following screen and calculate a manual budget in POS or WMS and enter the signed-off date. The JOS/Worker must forward the case to the Supervisor for approval. The Supervisor must enter a "Y" to approve or "N" to not approve the JOS/Worker's entry, enter the date he/she signed-off, and click "update."

MAPER-A (99547)

File Edit Functions Scripts Session Release Help

04/22/2010 11:49 New York City - Work, Accountability and You (NYC-WAY) FIA3A.895
Re-Budgeting or Closing for Job Number 011 User Id: L24
Auto Budget Exempt - Relationship code is < >

Case Number 00 CIN ZE ES Code 20 Office ADM
Name DAVIS, DoB 09/2 SSN Sex Male
Status FIA - PENDING REBUDGETING Case Type SNCA IndStat AP

Recurring Child Care Supplemental Payment <Y/N>
Case Active, Earnings ReBudgeted <Y/N>

Case Closed for Employment <Y/N> | Closed Code | Date / /

Public Assistance Recoupment Initiated <Y/N> | Amount |
Food Stamp Recoupment Initiated <Y/N> | Amount |

Reason for no action taken to CLOSE or REDUCE grant

Date Eligibility Specialist Signed-Off / /

Supervisor Approved Y/N | Date Supervisor Signed-Off / /

Prior | | | Abort | Update | ActInq | NwCase | Help | Menu | MnMenu | |

Attachment A

The Employment Tracking screen will appear, displaying the applicant's/participant's employment history, including his/her current employment:

The screenshot displays a terminal window with a menu bar at the top: File Edit Functions Scripts Session Release Help. The main content area shows the following information:

Current FIA 3a awaiting Vendor/Worker Sign-Off at Office F11.
09/09/2010 New York City - Work, Accountability and You <NYC-WAY> Trk890.002
11:31 F103A Employment Tracking User Id: E9999

Case Number CIN ES Code 20 Office F11
Name DoB 10/17/1964 SSN Sex Female
Status WORK ACTIVITY - BEGIN LANGUAGE PROG Case Type FA IndStat AC

Employment History Trk890.002

| Jobs | Date Job Began | Date Job Reported | Employer's Name | Job Title | Pay Twice per Month | Hrs/Week | Src |
|------|----------------|-------------------|--------------------|-------------|---------------------|----------|-----|
| 01-1 | 03/15/10 | 03/30/10 | njb messenger serv | Bookkeeping | 324.98 | 35.0 | 349 |

Choose ONE and Press Enter

At the bottom of the screen, there is a navigation bar with buttons: Prior, Abort, ActInq, NwCase, Help, MnMenu.

Attachment A

Click on the “Act. Inq.” (Activity Inquiry) tab on the bottom of the screen to display the activity inquiry history and the associated action codes:

| DATE | ACTION/DESCRIPTION | STATUS | CMP | FUT DATE | OFF | WORKR | SITE |
|---------------|----------------------|--------|------|----------|-----|--------|-------|
| 09/08/10 210A | COMPLIED TRIMNT APPT | EMPFT | | 09/08/10 | B39 | STARS | |
| 09/08/10 167W | EMPLD F/T: PEND DOC | EMPFT | | 09/08/10 | SYS | SYSTEM | |
| 09/07/10 167U | DATA COMP AWAIT AB | SACB4 | 167W | 09/07/10 | b39 | L1555 | |
| 09/07/10 167I | FIA 3A IN PROCESS | SACB4 | 167U | 09/07/10 | b39 | L1555 | |
| 09/07/10 200A | CASE NOTE ENTRY:SA | SACB4 | 200A | / | / | nad | G4163 |
| 09/07/10 200L | Assessment Conducted | SACB4 | 200L | / | / | B10 | G4163 |
| 09/07/10 224D | PGM REFERL-DRUG-FREE | SACB4 | | 09/08/10 | B10 | G4163 | D2510 |
| 09/07/10 225 | CONSENT DISCLOSURE | SACB4 | 224D | 09/07/10 | B39 | G4163 | |
| 09/07/10 284X | INACCURATE SITE CODE | SACNA | 224D | 09/07/10 | B10 | G4163 | |

In this example, action code **167I** was posted when the **FIA 3A** was in process but incomplete.

Action code **167V** was posted once the Vendor entered employment information.

Once the **FIA 3A** was completed and ready for automatic budgeting, action code **167U** was posted.

Action code **167W** indicates that the **FIA 3A** is complete for an applicant/participant working full-time, but that documentation has not been received.

Attachment B

Paperless Office System (POS) Screens for Budgeting Earned Income

Answer all questions on the **Employment Information** screen:

| INDICATE IF YOU OR ANYONE WHO LIVES WITH YOU THAT IS APPLYING: | | Yes | No |
|--|----------------------------------|----------------------------------|----|
| Is Employed? | <input checked="" type="radio"/> | <input type="radio"/> | |
| Is Self-Employed? | <input type="radio"/> | <input checked="" type="radio"/> | |
| Is Unemployed? | <input type="radio"/> | <input checked="" type="radio"/> | |
| Could You Accept a Job Today? | <input type="radio"/> | <input checked="" type="radio"/> | |
| Participating In A Strike? | <input type="radio"/> | <input checked="" type="radio"/> | |
| Is Anyone in the Household a Migrant or Seasonal Farm Worker? | <input type="radio"/> | <input checked="" type="radio"/> | |

Spanish Next Previous

Click **“Next.”**

Attachment B

Select the name of the employed individual from the drop-down menu in the “Who” field and complete all employment information, then click “OK.”

“Who” field

| Info from WRS | | Who | | Start Date | Expected End Date |
|---------------|-----------------------|--|---------------|--|-------------------|
| Employee | Mouse Keteer | 10/18/2009 | 00/00/0000 | | |
| Type of Work | Computer | Gross Income | \$125.00 | \$125.00 | \$125.00 |
| Employer | xxx computer services | Frequency | Hours/Freq... | Taxes Withheld | Day Paid |
| Street | 15 Metro Tech | W | 35 | <input type="radio"/> Yes <input type="radio"/> No | Friday |
| City | brooklyn | Is Health Insurance Available through Your Employer (even If you are not participating)? | | <input type="radio"/> Yes.. <input checked="" type="radio"/> No | |
| State | NY | Zip | 10031- | Do you have child or dependent care expenses due to employment (including job search)? | |
| Contact | | Title | | supervisor | |
| Phone | 718-555-6767 | Document... | | Scan | Comment |

OK Cancel

Attachment B

Select “**New Budget**” and then “**Next**” to begin calculating a new budget.

The screenshot shows the 'Version 13.3 - Paperless Office System - [Existing Budgets]' window. The title bar includes the time '12:59:26 PM' and the date 'Wednesday, January 13, 2010'. The menu bar contains 'File', 'Edit', 'Tools', 'Window', and 'Help'. The toolbar has various icons for file operations and editing. Below the toolbar, a message reads: 'Click on the 'New Budget' button to calculate a new budget.' A table displays budget information:

| Case No: | POS Suf Bdqt No | Author-izable | Authorized Budget? | WMS Bdqt No | Type | Save Date | Effective Dates | Description |
|----------|-----------------|---------------|--------------------|-------------|---------|--------------------|-----------------|----------------------|
| | 1 | 1 | N | N | PA & FS | 1/13/2010 12:59:18 | 02A10 | POS Interview Budget |

Below the table are four buttons: 'New Budget', 'View Selected Budget', 'View Budget Result', and 'Next'. Two white arrows point to the 'New Budget' and 'Next' buttons. The text 'Select "New Budget."' is positioned to the left of the first arrow, and 'Click "Next."' is positioned to the left of the second arrow.

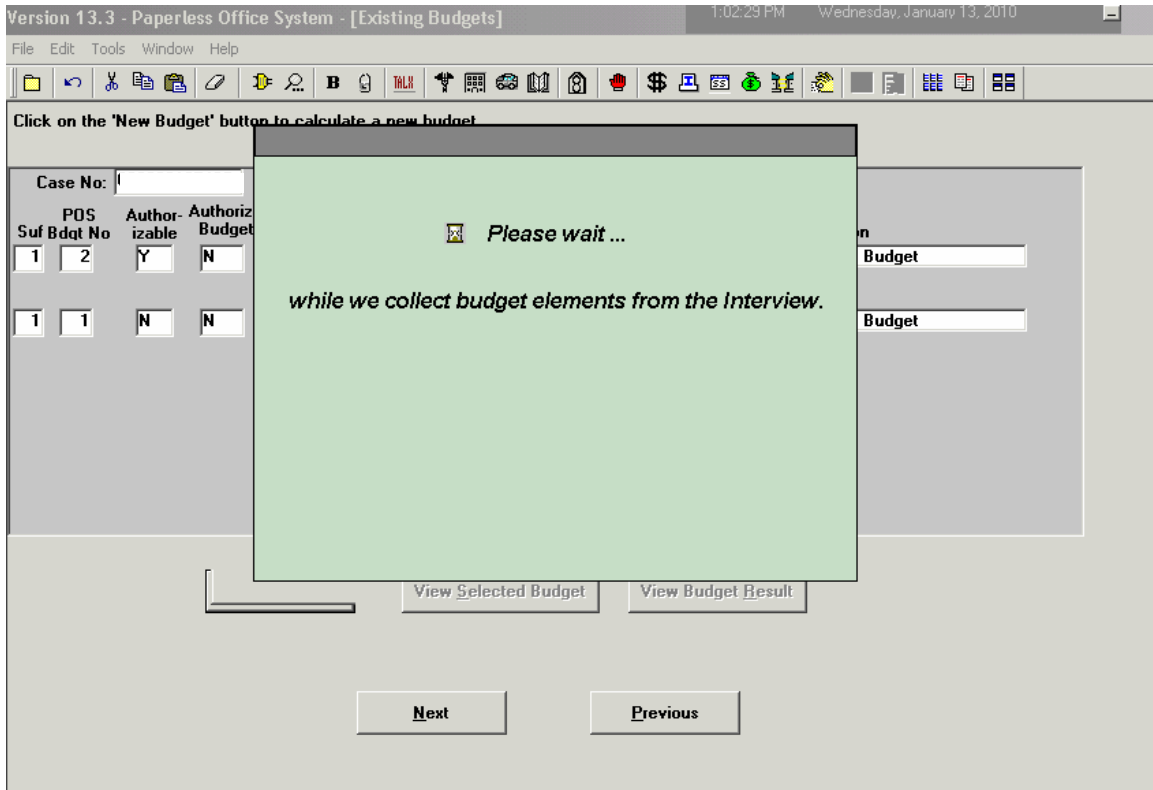
POS will automatically suggest an Effective Date for the new budget.

Confirm that the Effective Date is correct, using the current Recurring Roll Deadline Schedule Form (**W-203** or **W-203A**). Adjust the date if necessary.

The dialog box has a blue title bar that reads 'Select Effective Date for Budget'. The main area contains the text: 'Please enter the beginning Effective Date for this budget.' Below this text is a text input field containing the value '02A10'. At the bottom center of the dialog is an 'OK' button.

Attachment B

POS will display the following screen, and then the Household Screen will appear:



Attachment B

POS will populate certain fields based on information captured during the interview. Add any missing information and click the **“Income or Results”** button.

Version 13.3 - Paperless Office System - [Household / Suffix Financial Needs] 1:10:42 PM Wednesday, January 13, 2010

File Edit Tools Window Help

Center Worker Name Case No Suffix Client Name Effective Dates Budget Type
 040 00123 1 02A10- PA & FS

Shelter Type WMS Budget POS Budget
 Unfurnished Apartment or Room #5 1/13/2010 13:10:37

| Amount | Period | Water Amount | Period | FR No.LRR | Proration | Child Heap | HAI |
|----------|---------|--------------|--------|-----------|-----------|------------|-----|
| \$283.00 | Monthly | | | 0 | | | |

Utilities Allowances Indicator Type
 FSUA
 FSUT

Food Stamp Program Suffix Status No. in FS Hh FS Routing Catg. Eligibility
 1 ACTIVE 2

| Suffix | Type | Status | No. in PA Suffix | Routing | Fuel (absent from home) | PA Shelter | Total Resources | Suffix | Type | Amount | Period |
|--------|------|--------|------------------|---------|-------------------------|------------|-----------------|--------|------|--------|--------|
| 1 | FA | ACTIVE | 2 | | | 283.00 | \$0.00 | 1 | | | |
| 1 | | | | | | | | 1 | | | |

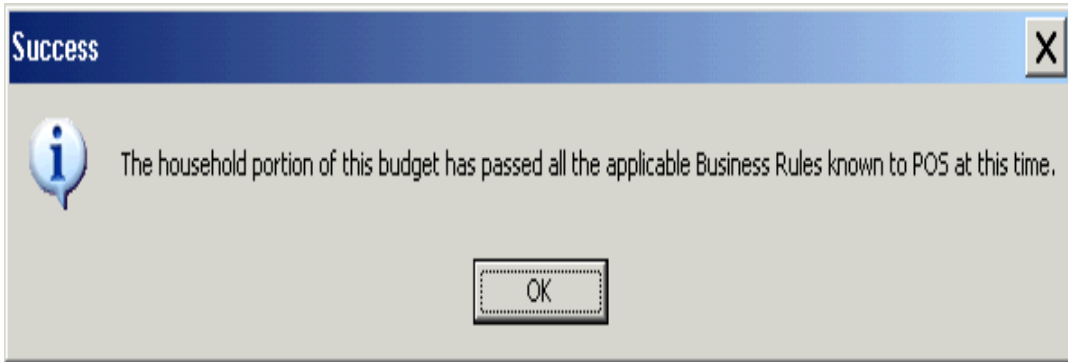
Restrictions: Suffix Type What Sent to:
 1 Direct Involuntary (PA L) Shelter xxx
 111 xxx
 xxxx NY 11111

Select “Income or Results.”

Income or Results Existing Budgets

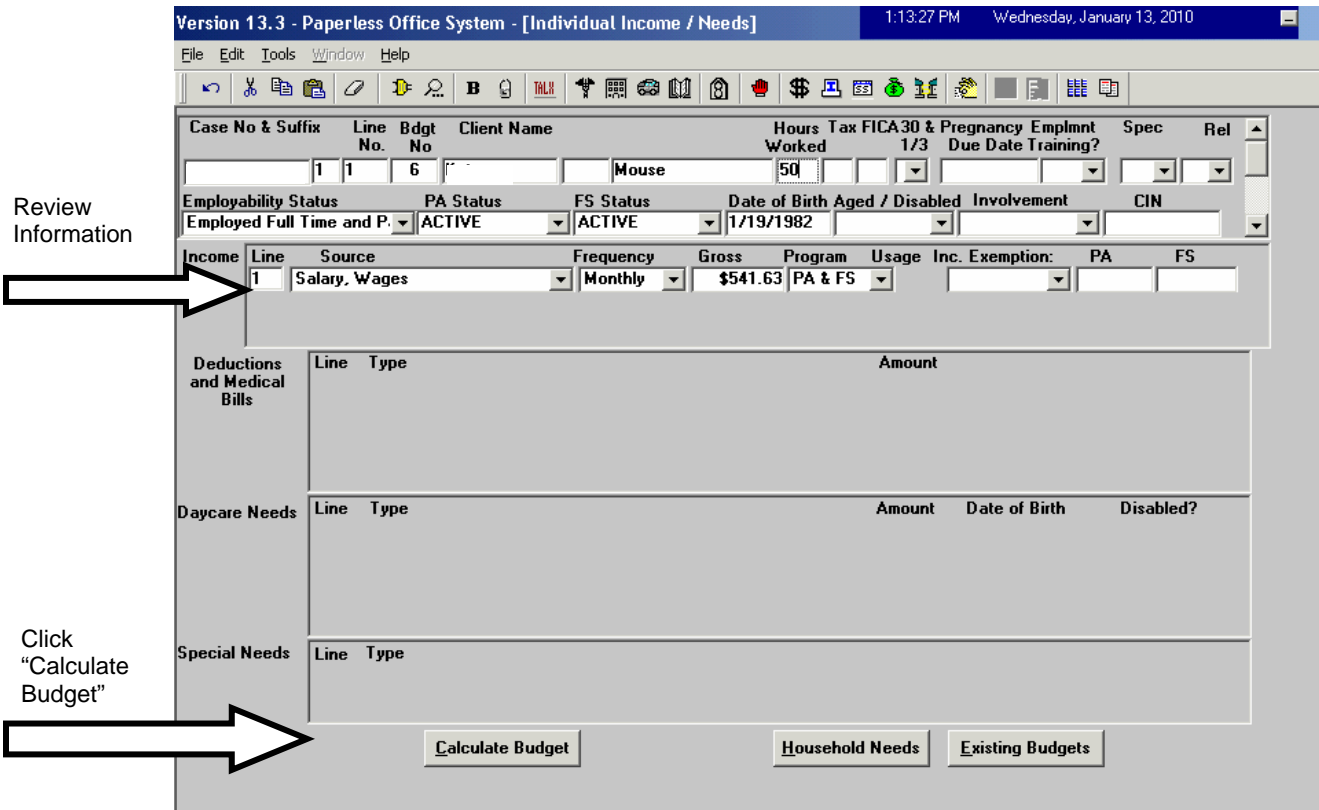
The following pop-up message will appear if the Household portion of the budget has passed all applicable Business Rules. Click **“OK.”**

Attachment B



The **Individual Income/Needs** screen will be displayed.

Review the information to ensure it is correct and matches the information previously entered in POS, and click the **“Calculate Budget”** button.



Version 13.3 - Paperless Office System - [Individual Income / Needs] 1:13:27 PM Wednesday, January 13, 2010

File Edit Tools Window Help

| Case No & Suffix | Line No. | Bdgt No. | Client Name | Hours Worked | Tax FICA 30 & Pregnancy | Empmnt Due Date | Spec | Rel |
|------------------|----------|----------|-------------|--------------|-------------------------|-----------------|------|-----|
| | 1 | 6 | Mouse | 50 | 1/3 | | | |

Employability Status: Employed Full Time and P. PA Status: ACTIVE FS Status: ACTIVE Date of Birth: 1/19/1982 Aged / Disabled: Involvement: CIN:

| Income Line | Source | Frequency | Gross | Program | Usage | Inc. Exemption: | PA | FS |
|-------------|---------------|-----------|----------|---------|-------|-----------------|----|----|
| 1 | Salary, Wages | Monthly | \$541.63 | PA & FS | | | | |

Deductions and Medical Bills: Line Type Amount

Daycare Needs: Line Type Amount Date of Birth Disabled?

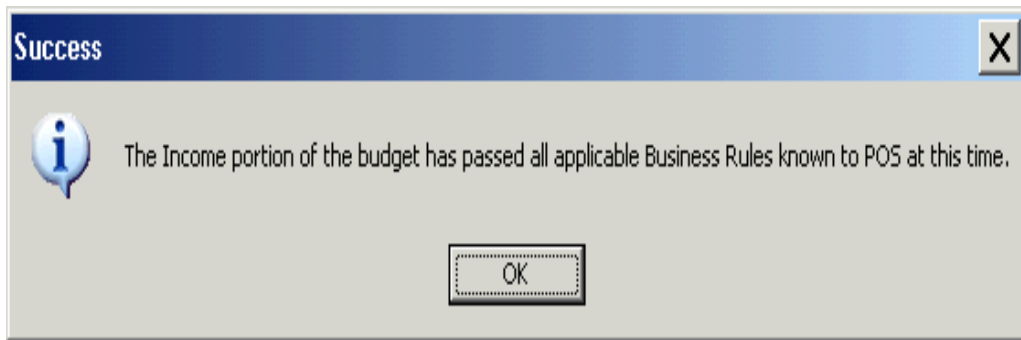
Special Needs: Line Type

Buttons: Calculate Budget Household Needs Existing Budgets

Annotations: "Review Information" with an arrow pointing to the Income table; "Click 'Calculate Budget'" with an arrow pointing to the Calculate Budget button.

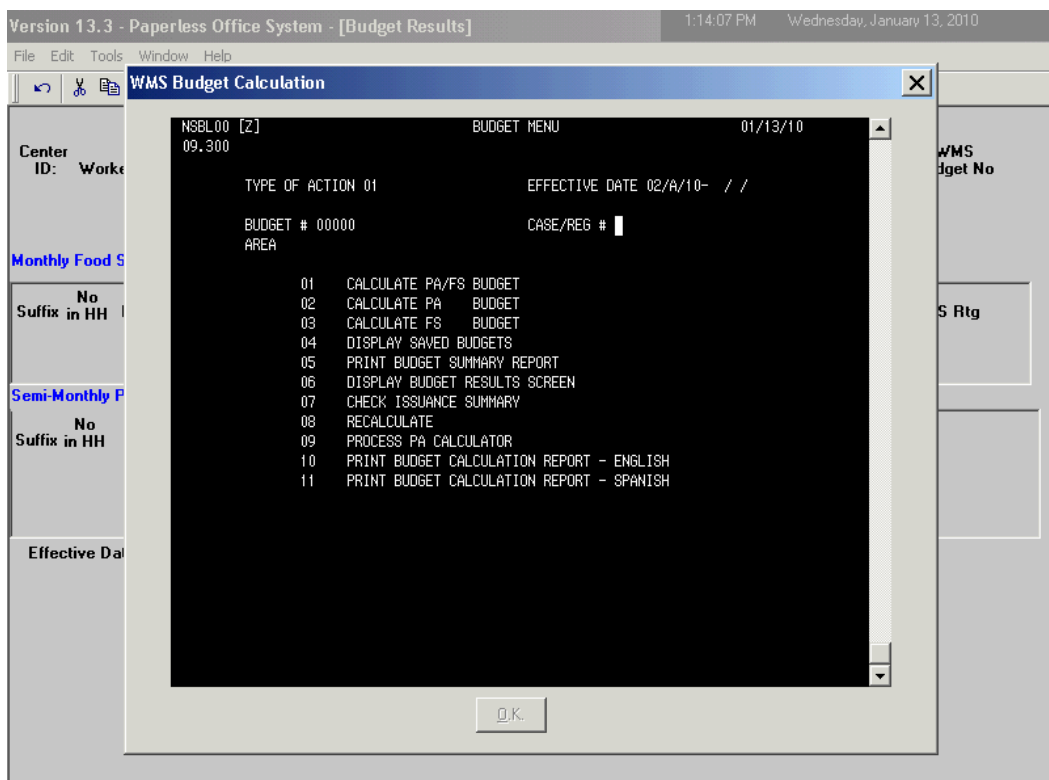
The following pop-up message will appear if the Income portion of the budget has passed all applicable Business Rules:

Attachment B



POS sends the budget information directly to WMS.

The **Welfare Management System (WMS) Budget Calculation** screens will automatically appear:



Attachment B

The information that was entered in POS will be sent directly to WMS for the budget to calculate.

(WMS Budget Calculation Screen)

The screenshot shows a window titled "WMS Budget Calculation" with a close button (X) in the top right corner. The main content area is a black terminal window with white text. The text is organized into several sections:

- Case Information:** NSBL02 [Z] PEND/SAVED HOUSEHOLD/SUFFIX FINANCIAL DATA 01/13/10
- Case Details:** CASE/BUD # /BASIS CTR 040 WORKER 00123 FR # LRR PRO IND
- Effective Date:** EFFECTIVE DATE 02A10- CASE NAME I
- Needs Summary:** NEEDS: SHEL: TYPE 01 AMT 28300 PER 06 # BDRMS WATER: AMT PER
- Financial Breakdown:**
 - FSUA : IND TYPE AMT PER CHILD HEAP HAI
 - FSUT : IND AMT PER DISP: AMT PER
 - PHONE: IND AMT PER INST: TYPE AMT
- Additional Data:** SUF TYPE ST NO RT6 CE ADDL:TY AMT PER FUEL RESOURCE PA SHEL
- Summary Values:** FS: 01 AC 02 PA: 01 FA AC 02 0000000 28300
- RST Data:** RST DATA: SUF 01 RST 1 ASSOC CD 70 RST DATA: SUF RST ASSOC CD
- Address:** NAME XXX FOR MOUSE KETEER NAME ADDR 100 MAIN ST ADDR NEW YORK NY 100210000
- Other Info:** IND I&N 001 CMD

At the bottom of the window, there is a button labeled "O.K."

Attachment B

POS will send the individual income/needs information into WMS.

(WMS Budget Calculation Screen)

The screenshot displays a window titled "WMS Budget Calculation" with a close button in the top right corner. The main content area is a black terminal-style window with white text. At the top, it shows "NSBL06 [Z] PEND/SAVED" and "INDIVIDUAL INCOME / NEEDS" with a date of "01/13/10". Below this, there are several lines of data including "CASE/BUD #", "TAX FICA 30 1/3", "EMP 04 PA SUF 01 PA STS AC FS STS AC DOB 01191982 A/D INV HW 50", and "INCOME: SRC GROSS FREQ PROG U CD PA EX AMT FS EX AMT". Further down, it lists "RECURRING: SRC PROG GROSS NY DIS" and "DEDUCTIONS: TYPE AMT" with various sub-sections like "DAYCARE", "SPEC NDS:TY", "RST ASSOC CD", and "DATA: NAME". At the bottom left, it says "IND I&N 002" and at the bottom right, "CHD". A "D.K." button is located at the bottom center of the window.

```
NSBL06 [Z] PEND/SAVED          INDIVIDUAL INCOME / NEEDS          01/13/10
CASE/BUD #                    /BASIS LN 1      NAME          MOUSE
TAX  FICA  30 1/3      EDC      ETI          SPEC      REL
EMP 04 PA SUF 01 PA STS AC FS STS AC DOB 01191982 A/D  INV  HW 50
INCOME: SRC  GROSS  FREQ  PROG  U  CD  PA EX AMT  FS EX AMT
        01  54163  M      B

RECURRING: SRC  PROG  GROSS  NY DIS          SRC  PROG  GROSS  NY DIS

DEDUCTIONS: TYPE  AMT          TYPE  AMT          MED: AMT          END:
DAYCARE:  TYP  AMT          DOB  TYP  AMT          DOB
          TYP  AMT          DOB  TYP  AMT          DOB
SPEC NDS:TY  AMT          ASSOC CD  TY  AMT          ASSOC CD  TY  AMT
RST  ASSOC CD          ASSOC CD
DATA: NAME          NAME
RST  ADDR          RST  ADDR

IND I&N 002          CHD
```

D.K.

Attachment B

(WMS Budget Calculation Screen)

The screenshot shows a window titled "WMS Budget Calculation" with a close button (X) in the top right corner. The main content area is a black terminal-style window with white text. The text is organized into several sections:

- Header:** NSBL06 [Z] PEND/SAVED INDIVIDUAL INCOME / NEEDS 01/13/10
- Case Info:** CASE/BUD # /BASIS LN 2 NAME MICKEY MOUSE
- Tax Info:** TAX FICA 30 1/3 EDC ETI SPEC REL
- Employee Info:** EMP PA SUF 01 PA STS AC FS STS AC DOB 01012006 A/D INV HW
- Income Section:** INCOME: SRC GROSS FREQ PROG U CD PA EX AMT FS EX AMT
- Recurring Section:** RECURRING: SRC PROG GROSS NY DIS SRC PROG GROSS NY DIS
- Deductions Section:** DEDUCTIONS: TYPE AMT TYPE AMT MED: AMT END:
DAYCARE: TYP AMT DOB TYP AMT DOB
 TYP AMT DOB TYP AMT DOB
- Spec NDS Section:** SPEC NDS: TY AMT ASSOC CD TY AMT ASSOC CD TY AMT
- RST Section:** RST ASSOC CD ASSOC CD
- DATA Section:** DATA: NAME NAME
RST ADDR RST ADDR
- Footer:** IND I&N CMD

At the bottom center of the window is a button labeled "O.K."

The JOS/Worker must ensure that the POS information is entered correctly in WMS.

Attachment B

The following WMS Budget Calculation Screen will appear, showing the budget results for the monthly Food Stamp (FS) allowance and semimonthly Cash Assistance (CA) allowance:

Version 13.3 - Paperless Office System - [Budget Results] 1:16:57 PM Wednesday, January 13, 2010

File Edit Tools Window Help

WMS Budget Calculation

Center ID: Work

Monthly Food S

Suffix: No

Semi-Monthly P

No Suffix in HH

Effective Date

WMS Budget No

S Rtg

NSBL80 [Z] PUBLIC ASSISTANCE/FOOD STAMPS BUDGET RESULTS 01/13/10
CASE/BUD # /BASIS CTR 040 UNIT/WORKER 00123 # PA HOUSEHOLD 2 FR S

***** MONTHLY FOOD STAMP BUDGET RESULTS *****

| SUF | NO | CE | ADJ INCOME | SHELTER AMOUNT | NET FS INCOME | COUPON AMOUNT | RECOUP | ADJ COUPON | FS RTG |
|-----|----|----|------------|----------------|---------------|---------------|--------|------------|--------|
| 01 | 2 | Y | 598.30 | 1064.00 | 139.30 | 325.00 | | | |

***** SEMI-MONTHLY PUBLIC ASSISTANCE BUDGET RESULTS *****

| SUF | NO | BASIC ALLOW | SHELT ALLOW | ENERGY ALLOW | FUEL ALLOW | OTHER ALLOW | NET PA INCOME | PA GRANT | ADJ GRANT |
|-----|----|-------------|-------------|--------------|------------|-------------|---------------|----------|-----------|
| 01 | 2 | 100.50 | 141.50 | 11.25 | 0.00 | 8.50 | 108.40 | 153.00- | |

712B86

If you wish to save this budget in WMS click OK and then place a 'Y' in the 'Save?' field and transmit.

OK

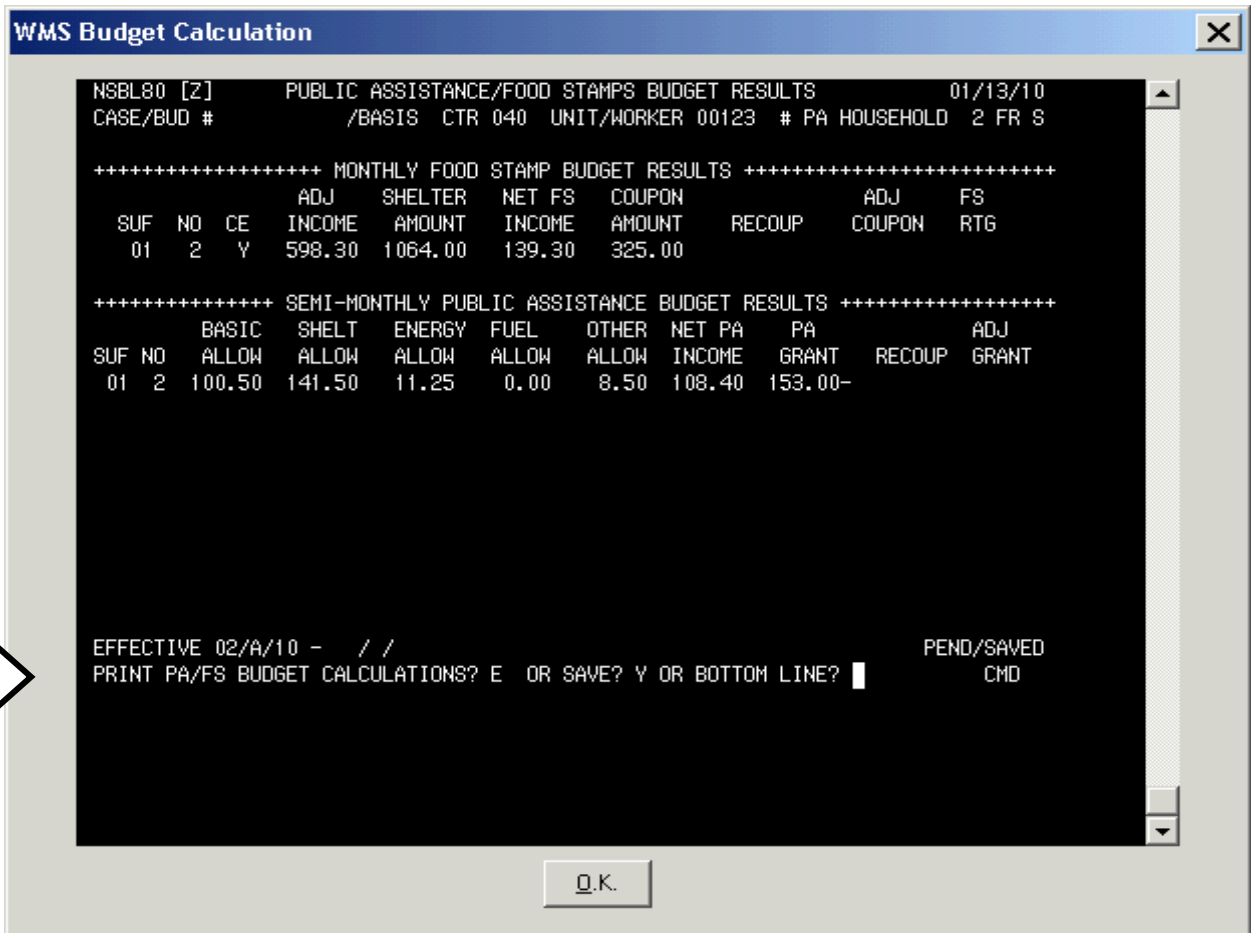
OK

Click **OK** to continue and save the new budget.

Attachment B

Enter an “E” for “English” or an “S” for “Spanish” in the “Print PA/FS Budget Calculations?” field, depending on the primary language of the applicant/participant.

Enter a “Y” in the “Save?” field and click “OK.”



The screenshot shows a window titled "WMS Budget Calculation" with a black background and white text. The window displays budget results for a public assistance case. At the bottom, there is a prompt: "EFFECTIVE 02/A/10 - / / PRINT PA/FS BUDGET CALCULATIONS? E OR SAVE? Y OR BOTTOM LINE? █". An arrow points to the "E" in this prompt. Below the prompt is an "OK" button.

| MONTHLY FOOD STAMP BUDGET RESULTS | | | | | | | | | | |
|-----------------------------------|----|----|------------|----------------|---------------|---------------|--------|------------|--------|--|
| SUF | NO | CE | ADJ INCOME | SHELTER AMOUNT | NET FS INCOME | COUPON AMOUNT | RECOUP | ADJ COUPON | FS RTG | |
| 01 | 2 | Y | 598.30 | 1064.00 | 139.30 | 325.00 | | | | |

| SEMI-MONTHLY PUBLIC ASSISTANCE BUDGET RESULTS | | | | | | | | | | |
|---|----|-------------|-------------|--------------|------------|-------------|---------------|----------|--------|-----------|
| SUF | NO | BASIC ALLOW | SHELT ALLOW | ENERGY ALLOW | FUEL ALLOW | OTHER ALLOW | NET PA INCOME | PA GRANT | RECOUP | ADJ GRANT |
| 01 | 2 | 100.50 | 141.50 | 11.25 | 0.00 | 8.50 | 108.40 | 153.00- | | |

EFFECTIVE 02/A/10 - / /
PRINT PA/FS BUDGET CALCULATIONS? E OR SAVE? Y OR BOTTOM LINE? █

PEND/SAVED
CMD

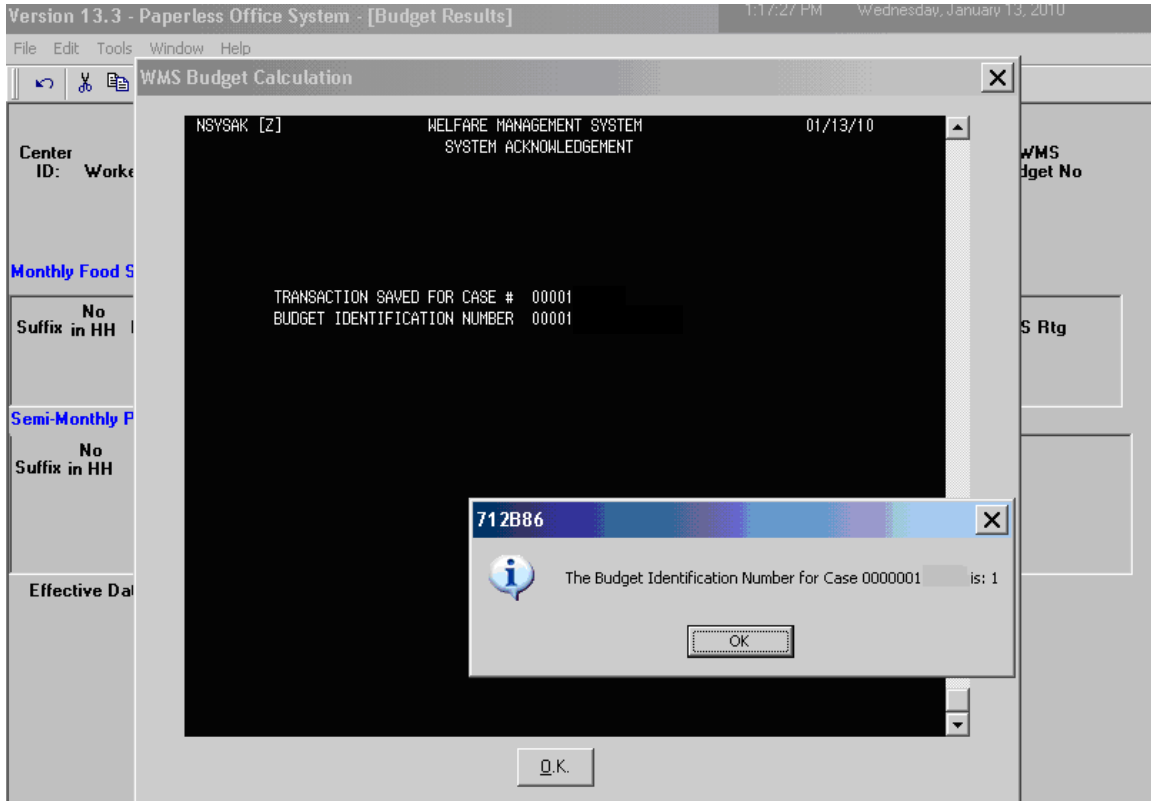
OK

Enter “E” to print budget calculations in English.
Enter “S” to print in Spanish.

Enter “Y” in the “Save” field and click “OK.”

Attachment B

The following pop-up screen will display the new Budget Identification Number.

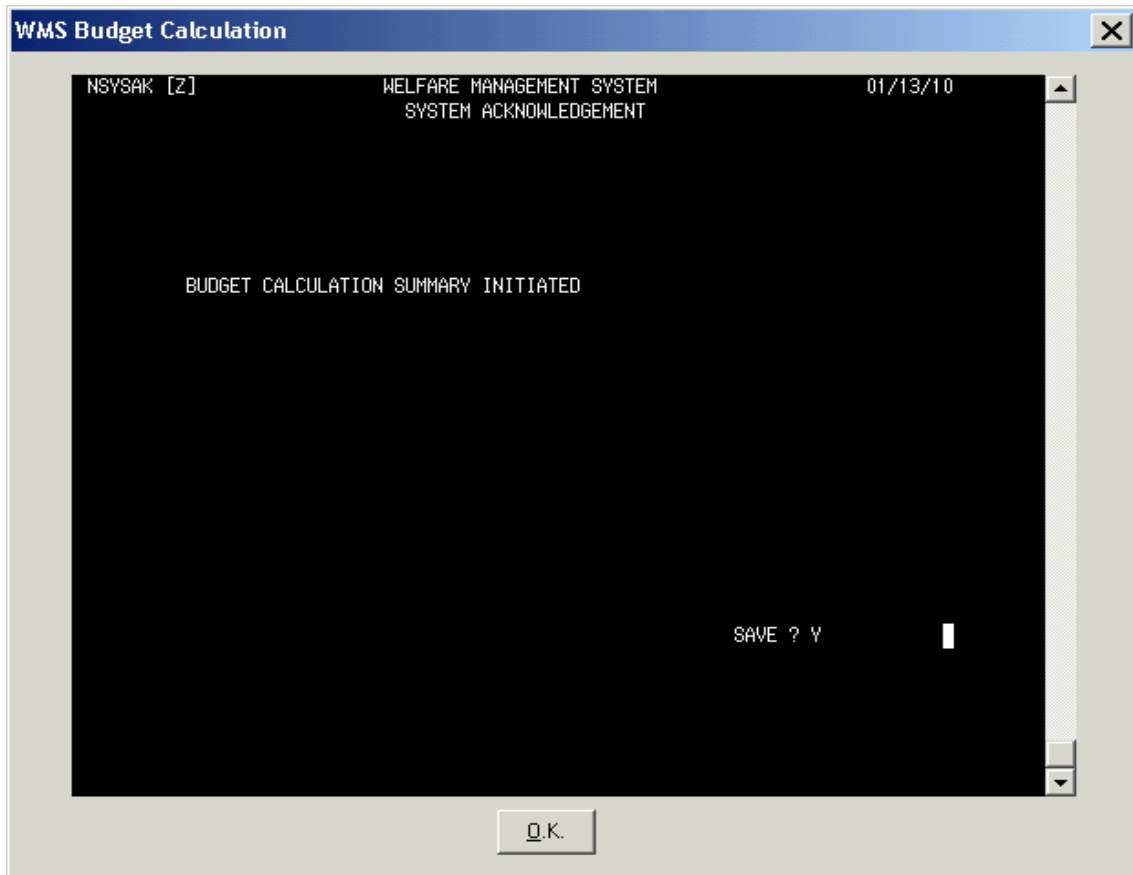


Click "OK."

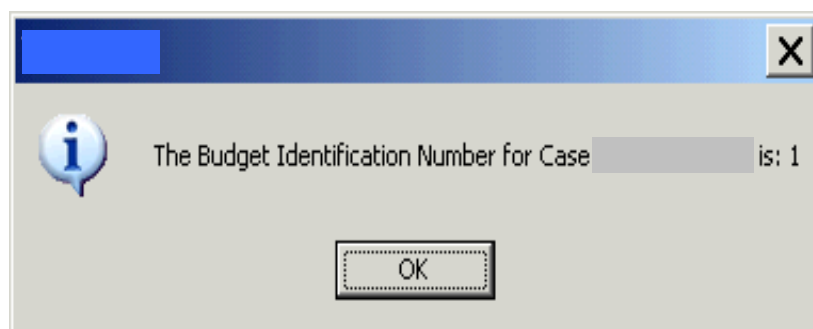
Attachment B

The following **WMS System Acknowledgement** screen will appear, indicating that the budget calculation summary has been initiated.

Enter a “Y” in the “**Save**” field and click “**OK**.”



The following pop-up screen will appear. Click “**OK**” to view the Budget Results in POS.



Attachment B

The POS Budget Results screen will appear. Click “Existing Budgets.”

Version 13.3 - Paperless Office System - [Budget Results] 1:17:40 PM Wednesday, January 13, 2010

File Edit Tools Window Help

Center ID: 040 Worker: 00123 Type: PA & FS Case No: Bdt Suffix No: 1 6 Client Name: MOUSE Total # of People in PA Household: 2 FR: WMS Budget No: 1

Monthly Food Stamp Budget Results

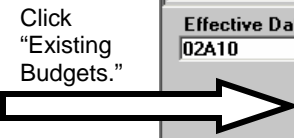
| Suffix | No in HH | Catg. Eligibility | Adjusted Income | Shelter Amount | Net FS Income | Coupon Amount | Recoup | Adjusted Coupon | FS Rtg |
|--------|----------|-------------------|-----------------|----------------|---------------|---------------|--------|-----------------|--------|
| 1 | 2 | Y | \$598.30 | \$1,064.00 | \$139.30 | \$325.00 | | | |

Semi-Monthly Public Assistance Budget Results

| Suffix | No in HH | Allowances: Basic | Shelter | Energy | Fuel | Other | Net PA Income | PA Grant | Recoup | Adjusted Grant |
|--------|----------|-------------------|----------|---------|------|--------|---------------|------------|--------|----------------|
| 1 | 2 | \$100.50 | \$141.50 | \$11.25 | | \$8.50 | \$108.40 | (\$153.00) | | |

Effective Dates: 02A10

Existing Budgets Bottom Line Budget



Click “Next.”

Attachment B


Version 13.3 - Paperless Office System - [Existing Budgets] 1:17:45 PM Wednesday, January 13, 2010

File Edit Tools Window Help

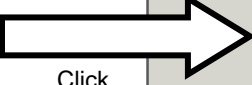
Click on the 'New Budget' button to calculate a new budget.

Case No:

| POS Suf | POS Bdat No | Author-izable | Authorized Budget? | WMS Bdat No | Type | Save Date | Effective Dates | Description |
|---------|-------------|---------------|--------------------|-------------|---------|--------------------|-----------------|----------------------|
| 1 | 6 | Y | N | 1 | PA & FS | 1/13/2010 13:11:59 | 02A10 | POS Interview Budget |
| 1 | 5 | N | N | | PA & FS | 1/13/2010 13:10:37 | 02A10 | POS Interview Budget |
| 1 | 4 | N | N | | PA & FS | 1/13/2010 13:09:06 | 02A10 | POS Interview Budget |
| 1 | 3 | N | N | | PA & FS | 1/13/2010 13:02:28 | 02A10 | POS Interview Budget |



Highlight the row displaying the new saved WMS budget number.



Click "Next."

Attachment B

The following TAD Data – Eligibility screen will appear.

Click on the **POS Data** tab to view the POS TAD.

Version 13.3 - Paperless Office System - [TAD Data - Eligibility] 1:18:08 PM Wednesday, January 13, 2010

File Edit Tools Window Help

WMS Data POS Data

Case No Suf Center Unit Worker Proj. No. Acct. No. Case Name

Language M3E Indicator Notice Language Notice Bdgt # LFLN Lang Read

SNET Indicator 60 Mo 24 Mo Util Guarantee Emg Indicator EMG DATES HomeBound Ind FR

Category Prg Status Status Reason From Date To Date

Individual Status

| Individual Name | Line# | CIN | Prq | Status | Status Reason | Date |
|-----------------|-------|-----|-----|--------|---------------|------------|
| KETEER MOUSE | 01 | | PA | AP | | 01/08/2010 |
| Category | | | MA | AP | | 01/08/2010 |
| | | | FS | AP | | 01/08/2010 |
| MICKEY MOUSE | 02 | | PA | AP | | 01/08/2010 |
| Category | | | MA | AP | | 01/08/2010 |
| | | | FS | AP | | 01/08/2010 |

Next Previous Ignore Errors Show Individual Data Run Rules

Click on the POS Data tab.

Select the newly saved budget number from the drop-down menu in the “**Budget Number**” field.

Attachment B

Click “Show Individual Data.”

Change the individual’s Employability Code to **27** (Employed Part-time or Full-time/Non-Exempt).

Click “Run Rules.”

Version 13.3 - Paperless Office System - [TAD Data - Eligibility] 1:18:16 PM Wednesday, January 13, 2010

File Edit Tools Window Help

WMS Data POS Data

| Case Number | Suf | Center | Unit Worker | Rule Status | Proj. No | Acct. No | Reuse Case No |
|-------------|-----|--------------------|-------------|-------------|----------|----------|---------------|
| 1 | | Melrose Job Center | 00123 | UNTESTED | | | |

M3E Ind Utility Guar 0 WMS Bdgt # Notice Bdgt #

| Case Suffix | Case Name | Language | Language Read | Bdgt No | Bdgt Description |
|-------------|--------------|----------|---------------|---------|----------------------|
| 1 | MOUSE KETEER | English | English | 1 | POS Interview Budget |

SNET Indicator LFLN 60 Mo 24 Mo EMG Indicator EMG Dates From: 00/00/0000 To: 00/00/0000 Yes No

| Category | Prg | Status | Status Reason | From Date: | To Date: |
|-------------------|-----|--------|---------------|------------|------------|
| FA | PA | ACTIVE | | 01/08/2010 | 00/00/0000 |
| | MA | ACTIVE | | 01/08/2010 | 00/00/0000 |
| Modifv MA Status? | | | | | |
| | FS | ACTIVE | | 01/08/2010 | 00/00/0000 |

| Individual Name | Line # | CIN | Prg | Reject? | Status Reason | Effective Date | Rule Status |
|-----------------|--------|-----|-----|---------|---------------|----------------|-------------|
| Keteer Mouse | 1 | | PA | AC | | 01/08/2010 | UNTESTED |
| Modifv MA? | | | MA | AC | | 01/08/2010 | |
| | | | FS | AC | | 01/08/2010 | |
| Mickey Mouse | 2 | | PA | AC | | 01/08/2010 | UNTESTED |
| Modifv MA? | | | MA | AC | | 01/08/2010 | |
| | | | FS | AC | | 01/08/2010 | |

Row 1 of 2

Next Previous Ignore Errors Show Individual Data Run Rules

Select new budget number from drop-down menu.

Click “Show Individual Data” and change the Employability Code to **27** (Employed Part-time or Full-time/Non-Exempt).

Click “Run Rules.”

Once rules have been run in the TAD, prepare for Supervisor’s approval.

Attachment B

Version 13.3 - Paperless Office System - [TAD Data - Eligibility] 1:18:20 PM Wednesday, January 13, 2010

File Edit Tools Window Help

WMS Data POS Data

Case Number 1 Suf Melrose Job Center Unit Worker 00123 Rule Status UNTESTED Proj. No Acct. No Reuse Case No

M3E Ind Utility Guar 0 WMS Bdgt # Notice Bdgt #

Case Suffix 1 Case Name MOUSE KETEER Language English Language Read English Notice Language English Notice # NO

SNET Indicator LFLN 60 Mo 24 Mo EMG Indicator EMG Dates From: 00/00/0000 To: 00/00/0000 Homebound Ind Yes No

| Category | Prg | Status | Status Reason | From Date: | To Date: |
|----------|-----|--------|---------------|------------|------------|
| FA | PA | ACTIVE | | 01/08/2010 | 00/00/0000 |
| | MA | ACTIVE | | 01/08/2010 | 00/00/0000 |
| | FS | ACTIVE | | 01/08/2010 | 00/00/0000 |

Modifv MA Status?

| Individual Name | Line # | CIN | Prg | Ac. | Reject? | Status Reason | Effective Date | Rule Status |
|-----------------|--------|-----|-----|-----|--------------------------|---------------|----------------|-------------|
| Keteer Mouse | 1 | | PA | AC | <input type="checkbox"/> | | 01/08/2010 | UNTESTED |
| | | | MA | AC | <input type="checkbox"/> | | 01/08/2010 | |
| | | | FS | AC | <input type="checkbox"/> | | 01/08/2010 | |
| Mickey Mouse | 2 | | PA | AC | <input type="checkbox"/> | | 01/08/2010 | UNTESTED |
| | | | MA | AC | <input type="checkbox"/> | | 01/08/2010 | |
| | | | FS | AC | <input type="checkbox"/> | | 01/08/2010 | |

Row 1 of 2

Next Previous Ignore Errors Show Individual Data Run Rules

Attachment C

Descriptions of FIA3A Action Codes

167I: FIA3A in process. This code is posted by the system once the user has initiated an **FIA3A** by entering data in any one of the **FIA3A** fields. This code also signifies that the **FIA3A** is incomplete and the case is not ready for rebudgeting. The **167I** will be listed on the **FIA3A** worklist.

167V: FIA3A initiated by the Vendor. The designated Worker must sign off on behalf of the Vendor by entering the date Vendor completed the **FIA3A** on the Worker Complete Screen. The **167V** will be listed on the **FIA3V** worklist.

167U: FIA3A completed, case is ready for automatic re-budgeting. Budgeting action will not take place until the date of first pay. On the date of first pay, the case is sent to WMS for re-budgeting. The system will post **167U** for all cases pending automated rebudgeting. The **167U** will be listed on the **AUTOR** worklist.

167F: FIA3A completed. If the participant is employed full-time (35 hours or more) the system will post **167F**. The **167F** will be listed on the **EMPFT** worklist. (Manual and automated budgets)

167W: FIA3A completed. The participant is employed full-time, no documentation submitted. The **167W** will be listed on the **EMPFT** worklist. (Manual and automated budgets)

167P: FIA3A completed. If the participant is employed part-time (less than 35 hours) the system will post **167P**. The **167P** will be listed on the **EMPPT** worklist. (Manual and automated budgets)

167Q: FIA3A completed. The participant is employed part-time, no documentation submitted. The **167Q** will be listed on the **EMPPT** worklist. (Manual and automated budgets)

167M: Posts when the budget is rejected for clockdown by WMS. The case is placed on the **FIA3A** worklist for manual processing. The reason for the rejection will appear in the Comment field of the **167M**.

167D: FIA3A completed, case cannot be automatically re-budgeted. A manual WMS budget must be calculated. The system will post the **167D** on all cases that are exempt from the automatic re-budgeting process. The **167D** will place the case on the **FIA3A** worklist.

Attachment C

167R: FIA3A completed, manual WMS budget calculated and saved. The Worker has calculated a WMS budget and has completed the budget questions on the **FIA3A** form. The case is ready for supervisor approval. The **167R** will be listed on the **FIA3A** worklist. (Manual budgets only)

167N: FIA3A not approved. If the supervisor does not approve of the **FIA3A**, he/she will enter 'N' and the date of disapproval in the 'Supervisor Approved' field. The system will post **167N**. The **167N** will be listed on the **FIA3A** worklist. (Manual budgets only)

167X: Removes a case from the worklist. When a Worker ends a job situation on an open **FIA3A**, the system will automatically post the **167X**.

167T: FIA3A initiated for an inactive case. In these instances, if there is an open **167I**, the Worker will be permitted and should complete the data entry on the **FIA3A**.

Worklist Descriptions

AUTOR: This worklist is for all FIA3As awaiting automatic re-budgeting.

FIA3A: This worklist is for all FIA3As that require manual budgets.

FIA3V: This worklist is for all cases where the FIA3A was completed by the Vendor.

EMPPT: This worklist is for all FIA3As where the participant is employed part-time.

EMPFT: This worklist is for all FIA3As where the participant is employed full-time.