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| LOCAL COMMISSIONERS MEMORANDUM |
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DSS-4037EL (Rev. 9/89)

Transmittal No: 91 LCM-96

Date: May 28, 1991

Division: Information
Technology
Management

TO: Local District Commissioners

SUBJECT: Revision of Letter of Intent (LOI) Approval Process and
Addition of a New Letter of Notification (LON) Approval
Process

ATTACHMENTS: Attachments are available on-line
Attachment I. - Letter of Notification Sample Format
Attachment II. - Letter of Notification Format
Instructions
Attachment III. - Letter of Notification Approval Process
Attachment IV. - Letter of Intent Approval Process
(Revised)

As a result of a departmental review and a successful pilot of the process with Genesee, Oswego, Nassau and Putnam Counties, we are revising the existing Letter of Intent (LOI) Approval Process and adding a new Letter of Notification (LON) Approval Process for use in claiming for EDP equipment and software of \$5,000 or under meeting specific approved criteria. Please note, that for the most part, these changes will merely be a refinement of current practices. A sample format and format instructions are attached to serve as a guide for the LON approval process.

1. Required Approval Process for Submitting Letters of Notification
(new)

Based on reviewing and processing Letters of Intent during the past year, we have noticed a number of smaller requests for amounts of \$5,000 and under. Many of these requests fell into four areas which met the following criteria:

- o Microcomputer hardware, compatible with State DSS standards/guidelines or previous approvals.

- o Microcomputer software, either State DSS supported or the same as software previously approved.
- o Hardware and software upgrades to previously approved requests.
- o Hardware repairs or replacements.

Since the above requests would normally be approved by this office, the Department has decided that the Letter of Intent Approval Process be revised and divided into two separate and distinct processes. The first will be known as the Letter of Notification (LON) Approval Process and will apply to any item meeting one or more of the above criteria at a cost of \$5,000 and under. These items will be pre-approved on a self-certification basis by the LSSD. No prior written State DSS approval will be required to initiate the transaction. The LSSD will be able to initiate the purchase based on its own statement that one or more of the four criteria have been met. (See sample format, format instructions, and Pages 2 and 3 of the attached LON Approval Process). Any items either costing over \$5,000 or not meeting the self-certification criteria, will continue to be submitted using the Letter of Intent (LOI) Approval Process which has been revised to acknowledge the new LON process and to include the Federal thresholds (\$300,000 for competitive acquisitions and \$100,000 for sole-source) for EDP equipment, software and services requiring prior written approval by USDA and HHS. Any LSSD submitting 3 or more LONs with a total value of \$12,000 or more in any calendar quarter will be reviewed to insure that the process is being used appropriately. If properly used, a LON will greatly reduce processing times. Pricing on items acquired via a LON should be exact. (Either pre-bid or acquire before sending LON). Improper use of a LON will penalize the LSSD by having this convenience withdrawn from use on an individual district basis.

2. Revised Letter of Intent Approval Process

The basic process for Letters of Intent (LOI) remains the same. The process has been changed to acknowledge the new LON process and to include the specific Federal thresholds which require an Advance Planning Document (APD) for prior written approval by USDA and HHS as follows:

- o Items \$5,000 or less which do not meet Letter of Notification Criteria (See P. 2 of 11, items 2, a, b, c, of the LOI Approval Process, attached) still should be submitted as an LOI.

- o Letters of Intent may be submitted to the NYSDSS for purchases under \$300,000. These will be reviewed by the NYSDSS and, for the most part, be totally approved or disapproved within NYSDSS, subject to a post audit review by the Federal authorities (Health and Human Services/U.S. Dept. of Agriculture). Amounts of \$300,000 or over will require a full Advance Planning Document (APD) which must be submitted to the above Federal authorities for prior written approval.

- o Requests for sole-source acquisitions for less than \$100,000 may also be submitted as Letters of Intent. Please note that all Federal, State and your own county requirements apply. In addition, the LSSD must demonstrate to the NYSDSS (subject to Federal audit) either that only one source for the item was available or that a significant and expensive hardship exists. Sole source requests of \$100,000 and over require a full APD and Federal approval.

Igor Koroluk
Director
Bureau of Systems Review

ATTACHMENT I.

LETTER OF NOTIFICATION SAMPLE FORMAT

DATE: _____

CONTACT: _____

COUNTY: _____

TELEPHONE: _____

1. Statement of Needs -

2. Objective -

3. Description -

SOFTWARE PACKAGE NAME	VERSION	UNIT COST	QUANTITY	TOTAL COST
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HARDWARE MANUFACTURER	DESCRIPTION	UNIT COST	QTY	TOTAL COST
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4. Cost Allocation -

Program Area	Amount
PA	\$
MA	
FS	
Services	
IV-D	
HEAP	
Admin	
Total Amount	_____ \$

5. Proposed Time Frame of Activity -

6. Criteria used for self-certification (use any of 4 shown in instructions) -

ATTACHMENT II.

LETTER OF NOTIFICATION FORMAT INSTRUCTIONS

1. Statement of Needs - Explain the current situation and why there is a need for the requested equipment, service or development/modification.
2. Objective - Provide a general description of what is to be achieved by the system (qualitative and/or quantitative) and the anticipated improvement. (Example: improved reporting capabilities, better service, increased productivity, savings, etc.)
3. Description - The actual components (equipment and software purchases) of the request are to be described in detail in this section.

For software purchases, specify the name of the package, the version, the cost per unit, the quantity and the total cost. (NOTE: for purposes of a Letter of Notification, total costs must be \$5,000 or under.)

EXAMPLE:

SOFTWARE PACKAGE NAME	VERSION	UNIT COST	QUANTITY	TOTAL COST
Word Processor	5.0	\$255	2	\$ 510
Data Base Pkg.	1.1	\$458	2	\$ 916
Spreadsheet	2.2 - LAN PAK	\$240	2	\$ 480
				<u>\$1,906</u>

For hardware purchases, specify the manufacturer, description, unit cost, quantity, and the total cost. (Include all specs for each piece of hardware under "description" heading.)

EXAMPLE:

HARDWARE MANUFACTURER	DESCRIPTION	UNIT COST	QTY	TOTAL COST
Brand X	5.25" 1.2 MB high density diskette drive	\$ 189	3	\$ 567
Printer Co.	Laser Printer, Series II	\$1,638	1	<u>\$1,638</u>
				<u>\$2,205</u>

ATTACHMENT II CONTINUED

4. Cost Allocation - Provide the total dollar amount to be charged to each of the program areas listed below for each LOI submitted.

Program Area	Amount
PA	\$
MA	
FS	
Services	
IV-D	
HEAP	
Admin	
Total Amount	\$

Additionally, if the items purchased will require any on-going costs such as for maintenance, an estimate of these costs must also be included separately.

5. Proposed Time Frame of Activity - Detail when the activity will take place and how long it will take (elapsed time).

6. Criteria Used for Self-certification - If the total amount is for \$5,000 or less, the LSSD may initiate the purchase based on its self-certification that one or more of the following criteria have been met:

- (1) Microcomputer hardware which is compatible with current State DSS standards, guidelines or previous LDPRS approvals and costs are in line with current State contracts. (Any related prior approved project numbers should be indicated.)
- (2) Microcomputer software which is either State DSS supported or the same as software that has already been approved for the LSSD and costs are in line with the current State contracts. (Any prior approved project numbers should be indicated).
- (3) Hardware and software upgrades to previously approved requests and costs are in line with current State contracts. (Any related prior approved project numbers should be indicated.)
- (4) Hardware repairs or replacements, if less expensive than repair and replacement costs are in line with current State contracts. (Any related prior approved project numbers should be indicated.)

ATTACHMENT III.

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OFFICE OF SYSTEMS ASSURANCE
BUREAU OPERATING PROCEDURES MANUAL

BUREAU	Systems Review	PAGE	1
CATEGORY	Local District Proposal Review	EFFECTIVE	1/29/88
PROCEDURE		Draft of	04/30/91
NAME	Letters of Notification Approval Process	REVISED	02/21/91

I. PURPOSE

To define the processing of Letters of Notification submitted by Local Social Services Districts.

II. OVERVIEW

This procedure defines the processing of Letters of Notification submitted by Local Social Services Districts. The Requirements Section of this procedure has five subsections: Summary, Process, Activities, Documentation, and Performance Goals. The Summary subsection is a narrative of the tasks to be performed. The Process subsection defines the Reporting and Monitoring System (R&M) Activities used by this procedure for reporting work effort. The Activities subsection delineates the specific actions and notes the responsibility for each action. The Activities included are:

- LON Submission
- Notify LSSD/OFM
- Quarterly Review of LONs

The Documentation for this process is defined in the ITM Standard for LSSD Request Approval Process (AC100). The Performance Goals subsection specifies the timeframes for completing the steps of this procedure.

III. SCOPE

This procedure applies to Letters of Notification as required by the ITM Standard for LSSD Request Approval Process (AC100).

IV. PREREQUISITES

There are no prerequisites for this procedure.

V. REQUIREMENTS

A. Summary

This procedure is initiated when a Letter of Notification (LON) is received from an LSSD. Requests for \$5,000 or less meeting specific Department criteria are submitted as LONs. A State project/claim number and staff are assigned to process the LON. LDPRS staff enter time into the LON Activity in R&M.

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LDPRS reviews for completeness, assigns a claim number and notifies the LSSD within 5 working days. The responsibility for meeting approved LON criteria rests with the LSSD.

The Office of Financial Management (OFM) is notified of all LONs that have been processed by LDPRS through the assignment of project numbers (i.e., claiming numbers).

All documents are created on Drive C and processed/stored on-line in the yrLOI file in the appropriate OFIS Link file drawer: SR0170 (for upstate LONs) or 0SR530 (for NYC LONs). Unit staff, the Unit Head, the Section Chief, the BSR Bureau Director and the OSA Office Director have full sharing rights to these file drawers. Correspondence with those counties who are on-line is done on-line via OFIS Link electronic mail.

LDPRS does a quarterly review of the total number of LONs per county. If a county has submitted more than three LONs per quarter for a total purchase of over \$12,000, LDPRS does an in-depth review of that county's requests to determine whether that LSSD has attempted to bypass using the LOI process. OFM is notified of the results of the quarterly review if it includes a recommendation to recoup past claims. LDPRS has the right to limit a county's use of the LON process, if necessary, and require use of the LOI process in the future. The LONQTR Activity in R&M is used to report time spent doing quarterly reviews.

Letters of Notification (LONs) Criteria

If the total amount is \$5,000 or less, the LSSD may initiate the purchase based on its self-certification that one or more of the following criteria have been met. The LSSD will then initiate the claiming process by submitting a LON to the LDPRS, which will review it for completeness, assign a project/claim number and notify the LSSD of the claim number within 5 working days. OFM is also notified of the claim number for the LON.

The LON uses the same format as the Letter of Intent (LOI), and must include the words "Letter of Notification" across the top, and must specify as item 6 on the LON, which of the approved criteria is being used to justify the specific purchase. Criteria for claiming approval for items \$5,000 or less, are as follows.

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1. Microcomputer hardware which is compatible with current State DSS standards, guidelines or previous LDPRS approvals and costs are in line with current State contracts. (Any related prior approved project numbers should be indicated.)
2. Microcomputer software which is either State DSS supported or the same as software that has already been approved for the LSSD and costs are in line with the current State contracts. (Any prior approved project numbers should be indicated).
3. Hardware and software upgrades to previously approved requests and costs are in line with current State contracts. (Any related prior approved project numbers should be indicated.)
4. Hardware repairs or replacements if less expensive than repair and replacement costs are in line with current State contracts. (Any related prior approved project numbers should be indicated.)

NOTE: If, in the opinion of the Department, the \$5,000 LON acquisition flexibility in claiming is being abused, DSS reserves the right to rescind this privilege on an individual local district basis. Local districts run the risk of not being reimbursed for costs incurred prior to claiming approval if the criteria selected is not valid.

B. Process

LDPRS staff time should be reported using the Reporting and Monitoring Activities LON (for regular LON processing) and LONQTR (for LON quarterly reviews).

C. Activities

1. SUBJECT: LON Submission

<u>Responsibility</u>	R&M <u>Step #</u>	<u>Action</u>
LSSD	NA	1. Submits Letter of Notification (LON) to LDPRS.

NOTE: For those counties on-line, LON must be sent to either userid SR0170 (Upstate), or OSR530 (NYC) via e-mail.

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Section Chief OR
Unit Head

2. Assigns State project claim number within 2 working days and reviews for completeness. If not complete, requests LSSD to provide missing information.
3. Modifies document descriptor (MODD) on LON document to: Project Claim Number, Brief Description (e.g., 1234, LON).
4. Moves LON from SR0170:IN-MAIL to SR0170:yrLON (or 0SR530:IN-MAIL to 0SR530:yrLON) file.
5. Assigns staff to process the LON and notifies by e-mail.

2. SUBJECT: Notify LSSD/OFM

<u>Responsibility</u>	R&M <u>Step #</u>	<u>Action</u>
Staff	NA	<ol style="list-style-type: none"> 1. Prepare letter from Section Chief to notify the LSSD of claim number assigned. <ol style="list-style-type: none"> a. Prepare letter on Drive C. Document descriptor should be: Project Claim Number, Brief Description (e.g., 1234, LON RESP TO LSSD). b. Copy to SR0170:yrLON (or 0SR530:yrLON) file. 2. Notify Section Chief via speed memo that final letter is ready for review and/or signature in SR0170:yrLON (or 0SR530:yrLON) file.
Section Chief		<ol style="list-style-type: none"> 3. E-mails letter to those counties that are on-line within 3 working days. (When e-mailed, a copy will be placed in the DAY-FILE and will remain in the SR0170:yrLON (or 0SR530:yrLON) file.)

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- 4. Prints out, signs and mails letter to those counties that are not on-line.
- Staff
 - 5. E-mail copy of LSSD letter to OFM within 3 working days notifying OFM of approval to pay LSSD claim.

3. SUBJECT: Quarterly Review of LONs

<u>Responsibility</u>	R&M <u>Step #</u>	<u>Action</u>
Staff	NA	<ul style="list-style-type: none"> 1. Review the SR0170:yrLON (or 0SR530:yrLON) file to determine whether any county has submitted more than three LONs for total purchases of more than \$12,000 during the calendar quarter. 2. Determine whether purchases were properly submitted as LONs. If they were, this procedure ends. 3. Prepare Quarterly Review documenting reasons why LON submissions were improper (i.e., violated LON Criterion [see Summary]), including a recommendation for future rejection of LONs and/or whether recoupment of past claims is indicated. <ul style="list-style-type: none"> a. Prepare document (free form memo) on Drive C. Document descriptor should be Brief Description (e.g., QTR Review [county name]). b. Copy Quarterly Review to SR0170:yrLON (or 0SR530:yrLON) file. 4. Notify Unit Head via speed memo (from LDPRS0 userid) that Quarterly Review (with recommendation) is ready for review in SR0170:yrLON (or 0SR530:yrLON) file.
Unit Head		<ul style="list-style-type: none"> 5. Reviews Quarterly Review.

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6. Requests additional analysis to support recommendation, if necessary.
7. Approves Quarterly Review (using Reply Memo feature) within 3 working days.

NOTE: If the document must be changed, it must be moved down to Drive C (not copied). After changes have been made, the document should then be copied back to the SR0170:yrLON (or 0SR530:yrLON) file so that only the most current copy of this document is in the file.

8. Notifies Section Chief via speed memo that Quarterly Review (with recommendation) is ready for review in SR0170:yrLON (or 0SR530:yrLON) file.

Section Chief

9. Reviews Quarterly Review.
10. Requests additional analysis to support recommendation, if necessary.
11. Approves Quarterly Review (using Reply Memo feature) within 3 working days.

NOTE: If the document must be changed, it must be moved down to Drive C (not copied). After changes have been made, the document should then be copied back to the SR0170:yrLON (or 0SR530:yrLON) file so that only the most current copy of this document is in the file.

12. E-mails Quarterly Review (with recommendation) to BSR Director for review.

BSR Director

13. Reviews Quarterly Review.
14. Requests additional analysis to support recommendation, if necessary.

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15. Approves Quarterly Review (using Mail Reply feature, MREP command) within 3 working days.

NOTE: If the document must be changed, it must be moved down to Drive C (not copied). After changes have been made, the document should then be copied back to the SR0170:yrLON (or 0SR530:yrLON) file so that only the most current copy of this document is in the file.

16. E-mails Quarterly Review (with recommendation) to OSA Director for OSA Approval.

OSA Office
Director

17. Reviews Quarterly Review.

18. Requests additional analysis to support recommendation, if necessary.

19. Approves Quarterly Review (using Mail Reply feature, MREP command) within 3 working days.

NOTE: If the document must be changed, it must be moved down to Drive C (not copied). After changes have been made, the document should then be copied back to the SR0170:yrLON (or 0SR530:yrLON) file so that only the most current copy of this document is in the file.

Staff

20. Prepare letter from Section Chief to notify the LSSD of Quarterly Review findings and recommendation (i.e., that LOI process must be used in the future and/or that payments for past claims will be recouped).

- a. Prepare letter on Drive C. Document descriptor should be: Brief Description (e.g., QTR RESP TO [county name]).

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b. Copy to SR0170:yrLON (or 0SR530:yrLON) file.

21. Notify Section Chief via speed memo that final letter is ready for review and/or signature in SR0170:yrLON (or 0SR530:yrLON) file.

Section Chief

22. E-mails letter to those counties that are on-line within 3 working days. (When e-mailed, a copy will be placed in the DAY-FILE and will remain in the SR0170:yrLON (or 0SR530:yrLON) file.)

23. Prints out, signs and mails letter to those counties that are not on-line.

Staff

24. E-mail copy of LSSD letter to OFM within 3 working days if recoupment was recommended in the Quarterly Review.

D. Documentation

For a description of the documents, see the ITM Standard for LSSD Request Approval Process (AC100).

E. Performance Goals

A claim number must be assigned to an LON and notification sent to the LSSD and OFM within 5 working days from the original date of receipt.

VI. RELATED PROCEDURES

<u>Source</u>	<u>Procedure Name</u>
ITM Standards Manual	LSSD Request Approval Process (AC100)

VII. RELATED FORMS

There are no required forms.

ATTACHMENT IV.

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CATEGORY	Local District Proposal Review	EFFECTIVE	1/29/88
PROCEDURE			Draft of 04/30/91
NAME	Letters of Intent Approval Process	REVISED	02/21/91

I. PURPOSE

To define the processing of Letters of Intent submitted by Local Social Services Districts.

II. OVERVIEW

This procedure defines the processing of Letters of Intent submitted by Local Social Services Districts. The Requirements Section of this procedure has five subsections: Summary, Process, Activities, Documentation, and Performance Goals. The Summary subsection is a narrative of the tasks to be performed. The Process subsection defines the Reporting and Monitoring System (R&M) process used by this procedure for reporting work effort. The Activities subsection delineates the specific actions and notes the responsibility for each action. The Activities included are:

- LOI Submission
- Review by LDPRS/Program Area
- Approve/Disapprove LOI
- Notify LSSD/OFM

The Documentation subsection describes the documents required by this process. The Performance Goals subsection specifies the timeframes for completing the steps of this procedure.

III. SCOPE

This procedure applies to Letters of Intent as required by the ITM Standard for LSSD Request Approval Process (AC100).

IV. PREREQUISITES

There are no prerequisites for this procedure.

V. REQUIREMENTS

A. Summary

This procedure is initiated when a Letter of Intent (LOI) is received from an LSSD. Requests for purchases or services less than \$300,000 are submitted as LOIs. Requests for sole source acquisitions less than \$100,000 are also submitted as LOIs.

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A State project/claim number and staff are assigned to the project. LDPRS enters each LOI project into R&M.

The LOI is reviewed by LDPRS to ascertain if the approval criteria of the ITM Standard for LSSD Request Approval Process (AC100) have been met, and then reviewed by the Program Areas, if applicable. An analysis of the request is prepared which includes a recommendation to approve or disapprove the LOI. The recommendation is reviewed by the Unit Head, the Section Chief, the BSR Director, and the OSA Office Director. The LSSD is notified of the recommendation within 60 working days. OFM is notified of approved LOIs.

All documents are created on Drive C and processed/stored on-line in the yrLOI file within the appropriate OFIS Link file drawer: SR0170 (for upstate LOIs) or 0SR530 (for NYC LOIs). Unit staff, the Unit Head, the Section Chief, the BSR Bureau Director and the OSA Office Director have full sharing rights to these file drawers. Correspondence with those counties who are on-line is done on-line via OFIS Link electronic mail.

Letters of Intent (LOIs) Approval Criteria

Items which require prior approval through the standard LOI process regardless of cost include, but are not limited to, the following:

1. All purchases or services with total project costs less than \$300,000 or \$100,000 if sole source.
2. Items \$5,000 or less which do not meet Letter of Notification criteria.
 - a. Costs are higher than the current State contracts for the same or like items.
 - b. Any new systems development activities.
 - c. Previously unapproved and non-standard hardware and software.

LDPRS approval is based on the following criteria:

1. The proposed activity does not duplicate and is compatible with Statewide systems either currently operational or under development, based on the review by the appropriate Program Areas within the Department of Social Services.

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2. The cost of the proposed activity is reasonable when compared with similar type requests which have been approved in the past and should not exceed State contract prices where applicable. Hardware and software involved should be proven products and compatible with current State DSS standards for hardware and/or software, when applicable.
3. The content and format of the request meet applicable State and Federal requirements.
4. Item being requested is required to complete emergency, mandatory, or special one-time project legislation (Federal, State or Local).
5. Item being acquired on a sole-source (non-competitive) basis requires a higher level of justification. Federal and State requirements for non-competitive procurement apply. An APD must be submitted for Federal prior approval for regular Federal Financial Participation (FFP) when costs exceed \$100,000 (for Federal - HHS/USDA). District must demonstrate that only one source for the item was available or that it would have placed a substantial or costly hardship on the District to go through a competitive procurement.

If Federal Prior Approval is not required, the request may be approved based on the LOI. If Federal Prior Approval is required, or the LDPRS determines additional information is necessary, an APD is requested.

B. Process

This procedure is reflected in the Local District Letters of Intent Reporting and Monitoring process LOI.

LOI Process

<u>Phase/Step</u>	<u>Name</u>	<u>Timeframes</u>
01 00	LOI SUBMISSION & APPROVAL	Total of 60 days from time of receipt for LOI
01	LOI Submission	
02	Rev by LDPRS/Prgm Area	
03	Approve/Disapprove LOI	
04	Notify LSSD/OFM	

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C. Activities

1. SUBJECT: LOI Submission

<u>Responsibility</u>	<u>R&M Step #</u>	<u>Action</u>
LSSD	01 01	1. Submits Letter of Intent (LOI) to LDPRS. NOTE: For those counties on-line, LOI must be sent to either userid SR0170 (Upstate), or OSR530 (NYC), via e-mail.
Section Chief OR Unit Head		2. Assigns State project claim number within 2 working days. 3. Modifies document descriptor (MODD) on LOI document to: Project Claim Number, Brief Description (e.g., 1234, LOI). 4. Moves LOI from SR0170:IN-MAIL to SR0170:yrLOI file (or OSR530:IN-MAIL to OSR530:yrLOI file). 5. Assigns staff to project and notifies by e-mail.
Staff		6. Enter project and initial schedule into Reporting and Monitoring System using LOI process.

2. SUBJECT: Review by LDPRS/Program Area

<u>Responsibility</u>	<u>R&M Step #</u>	<u>Action</u>
Staff	01 02	1. Review LOI to determine if the content and format of the request meets applicable State and Federal Requirements and indicates under which of the approved <u>criteria for claiming</u> the LOI is being submitted. See: ITM Standard for LSSD Request Approval Process (AC100)

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Approvable Items

- o Microcomputer hardware which is compatible with current State DSS standards, guideline or previous LDPRS approvals and costs are in line with current State contracts. (Any related prior approved project numbers should be indicated.)
- o Microcomputer software which is either State DSS supported or the same as software that has already been approved for the LSSD and costs are in line with the current State contracts. (Any prior approved project numbers should be indicated).
- o Hardware and software upgrades to previously approved requests and costs are in line with current State contracts. (Any related prior approved project numbers should be indicated.)
- o Hardware repairs or replacements if less expensive than repair and replacement costs are in line with current State contracts. (Any related prior approved project numbers should be indicated.)

Non-Approvable Items

- o Request for items \$300,000 or over (\$100,000 if sole source)
- o Costs are higher than the current State contracts for the same or like items.
- o Hardware and software is not compatible with existing LSSD base.

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2. Review LOI to determine if it is reasonable when compared with similar type requests which have been approved in the past.

3. Request additional information from LSSD, if necessary.

NOTE: Skip to Step 14 if Program Area review is not necessary.

4. Prepare and attach Clearance For OSA Document (ITM-007) to LOI.

a. Prepare ITM-007 on Drive C. Document descriptor should be Project Claim Number, Brief Description (e.g., 1234, LOI).

b. Copy the completed ITM-007 to SR0170:yrLOI (or OSR530:yrLOI).

c. Append the LOI in the yrLOI file to the ITM-007.

5. E-mail appended document to Program Areas, OSD, and OIO within 5 working days.

6. Tickle LOI document (using TF command), on the SR0170 (or OSR530) calendar for 15 working days in the future, for meeting dates and for Reporting and Monitoring.

Program Areas
AND OSD
AND OIO

7. Determine whether there is conflict or duplication with State or Federal systems.

8. Return ITM-007, via e-mail, within 15 working days.

NOTE: If the ITM-007 indicates the LOI is satisfactory and there are no comments, only the ITM-007 is required for the LOI file. The LOI pages can be deleted from the document.

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- Staff
9. Modify document descriptor (MODD) to denote respondent (e.g., 1234, LOI (OIO-RESPONSE)).
 10. File ITM-007 from SR0170:IN-MAIL to SR0170:yrLOI (or 0SR530:IN-MAIL to 0SR530:yrLOI).
 11. Follow up, via speed memo, with Program Areas, OSD, and OIO within 5 working days (if requested review is not completed within 15 days).
 12. Assume there is no impact if no response is received within 5 working days from date of follow-up.
 13. Review determinations from Program Areas, OSD, and OIO. If additional information is necessary, go back to step 3.
 14. Prepare Analysis of Request documenting past requests used as a comparison and dollar amounts of those requests, including a recommendation to approve or disapprove the document, within 5 working days from receipt of review determinations.
 - a. Prepare document on Drive C. Document descriptor should be Project Claim Number, Brief Description (e.g., 1234, LOI ANALYSIS).
 - b. Copy Analysis of Request to SR0170:yrLOI (or 0SR530:yrLOI) file.
 15. Notify Unit Head via speed memo (from SR0170 or 0SR530 userid) that Analysis of Request (with recommendation) is ready for review in SR0170:yrLOI (or 0SR530:yrLOI) file.

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3. SUBJECT: Approve/Disapprove LOI

<u>Responsibility</u>	<u>R&M Step #</u>	<u>Action</u>
Unit Head	01 03	<ol style="list-style-type: none"> 1. Reviews Analysis of Request. 2. Requests additional analysis to support recommendation, if necessary. 3. Approves Analysis of Request (using Reply Memo feature) within 3 working days. <p style="margin-left: 40px;">NOTE: If the document must be changed, it must be moved down to Drive C (not copied). After changes have been made, the document should then be copied back to the SR0170:yrLOI (or 0SR530:yrLOI) file so that only the most current copy of this document is in the file.</p> <ol style="list-style-type: none"> 4. Notifies Section Chief via speed memo from SR0170 (or 0SR530) userid that Analysis of Request (with recommendation) is ready for review in SR0170:yrLOI (or 0SR530:yrLOI) file.
Section Chief		<ol style="list-style-type: none"> 5. Reviews Analysis of Request. 6. Requests additional analysis to support recommendation, if necessary. 7. Approves Analysis of Request (using Reply Memo feature) within 3 working days. <p style="margin-left: 40px;">NOTE: If the document must be changed, it must be moved down to Drive C (not copied). After changes have been made, the document should then be copied back to the SR0170:yrLOI (or 0SR530:yrLOI) file so that only the most current copy of this document is in the file.</p>

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8. E-mails LOI and Analysis of Request (with recommendation) to BSR Director for review.
- BSR Director
9. Reviews LOI and Analysis of Request.
10. Requests additional analysis to support recommendation, if necessary.
11. Approves Analysis of Request (using Mail Reply feature, MREP command) within 3 working days.
- NOTE: If the document must be changed, it must be moved down to Drive C (not copied). After changes have been made, the document should then be copied back to the SR0170:yrLOI (or OSR530:yrLOI) file so that only the most current copy of this document is in the file.
- BSR Director
12. E-mails LOI and Analysis of Request (with recommendation) to OSA Director for OSA Approval.
- OSA Office Director
13. Reviews LOI and Analysis of Request.
14. Requests additional analysis to support recommendation, if necessary.
15. Approves Analysis of Request (using Mail Reply feature, MREP command) within 3 working days.
- NOTE: If the document must be changed, it must be moved down to Drive C (not copied). After changes have been made, the document should then be copied back to the SR0170:yrLOI (or OSR530:yrLOI) file so that only the most current copy of this document is in the file.
- Section Chief
16. Determines if an APD is required.

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NOTE: An APD is required when the request will require prior Federal Approval or LDPRS determines additional information is required.

If no APD is required, determine if an RFP is required. An RFP is required if the request is to be competitively bid.

NOTE: For APD see ITM Standard for Advance Planning Document (CA023)

NOTE: For RFP see ITM Standard for Request for Proposal (CA035)

4. SUBJECT: Notify LSSD/OFM

<u>Responsibility</u>	<u>R&M Step #</u>	<u>Action</u>
Staff	01 04	<ol style="list-style-type: none"> 1. Prepare letter from Section Chief to notify the LSSD (of LOI approval or disapproval) and/or request APD. <ol style="list-style-type: none"> a. Prepare letter on Drive C. Document descriptor should be: Project Claim Number, Brief Description (e.g., 1234, LOI RESP TO LSSD). b. Copy to SR0170:yrLOI (or 0SR530:yrLOI) file. 2. Notify Section Chief via speed memo that final letter is ready for review and/or signature in SR0170:yrLOI (or 0SR530:yrLOI) file.
Section Chief		<ol style="list-style-type: none"> 3. E-mails letter to those counties that are on-line within 3 working days. (When e-mailed, a copy will be placed in the DAY-FILE and will remain in the SR0170:yrLOI (or 0SR530:yrLOI) file.) 4. Prints out, signs and mails letter to those counties that are not on-line.

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Staff 5. E-mails copy of LSSD approval letter to OFM within 3 working days notifying OFM of approval to pay LSSD claim.

D. Documentation

For a description of the documents, see the ITM Standard for LSSD Request Approval Process (AC100).

E. Performance Goals

An LOI must be reviewed and a determination made by the LDPRS within 60 working days from the original date of receipt. Any time spent waiting for additional information from the LSSD does not count against the 60 working days. Any additional information received will restart the time cycle.

VI. RELATED PROCEDURES

<u>Source</u>	<u>Procedure Name</u>
Local District Proposal Review	APDs, RFPs and RFP Proposals Approval Process
Local District Proposal Review	Follow-up Meetings
ITM Standards Manual	LSSD Request Approval Process (AC100)
ITM Standards Manual	Request for Proposal (CA035)
ITM Standards Manual	Advance Planning Document (CA023)

VII. RELATED FORMS

<u>Form Number</u>	<u>Form Name</u>
ITM-007	Clearance For OSA Document