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| LOCAL COMMISSIONERS MEMORANDUM |
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Transmittal No: 92 LCM-93

Date: June 18, 1992

Division: Commissioner's Office

TO: Local District Commissioners

SUBJECT: Resource File Integration

ATTACHMENTS: Attachment I - Enhancements Made to RFI Upstate -
available on-line
Attachment II - Model Resource File Integration
Procedures - available on-line

The purpose of this memorandum is to stress to districts the importance of establishing and maintaining effective Resource File Integration (RFI) procedures to ensure that all income or resource information has been considered in determining an individual's initial or continuing eligibility. Although the leading A&QC errors vary by program area (PA - failure to budget earned income; MA - failure to budget bank account interest - and 1099 matches for nursing home recipients), an effort to reduce these errors can begin with an assessment of your agency's current RFI procedures to ensure that workers and supervisors are taking timely and accurate action when RFI match information is available for a case. To assist you in this review, two documents have been developed outlining past enhancements made to RFI and model RFI procedures that can be implemented in your district if none currently exist. Attachment I - "Enhancements Made to RFI Upstate", describes the various improvements made to RFI match processing (i.e. types of matches, output, thresholds) and to the Income and Resource Collection System (IRCS) interface. Attachment II - "A Model Resource File Integration Procedure for Eligibility and Undercare", can be used as a basis for establishing or refining local RFI workflows. Assistance with reviewing or developing local RFI procedures can be obtained by contacting either your IM Bureau of Field Operations (BFO) Representative, or your MA Eligibility County Representative.

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Specific program or system related questions should be directed to the appropriate individual/bureau listed below:

System Related Questions - Don Kennedy, 1-800-342-3715, ext. 432-2790

Medical Assistance - Your County MA Eligibility Representative - Upstate, 1-800-342-3715, ext. 3-7581, New York City (212) 587-4853

Food Stamps - Your county FS Representative, 1-800-342-3715, ext. 4-9225

Public Assistance - Mark Schaffer, 1-800-342-3715, ext. 4-9346

Field Operations - Your County BFO Representative, 1-800-342-3715, ext. 3-0332.

Gregory Kaladjian
Executive Deputy Commissioner

Enhancements Made to RFI Upstate

- o UIB uses the information from IRCS as a comparison against the claim information received from the Department of Labor (DOL). If the county knows about UIB and has entered it correctly in ABEL or MBL (e.g., line number & income code) the case will not be locked. However, if the county knows about UIB income but attributes it to the wrong individual or uses an incorrect unearned income code, the case will be locked each cycle until it is correctly budgeted.

Also, if an individual has earned income (No UIB) budgeted in the IRCS system and DOL informs us of a UIB claim, we would not lock the case. We feel the reason no UIB is budgeted is because the LDSS realizes the individual has since become employed.

- o WRS uses an IRCS comparison in evaluating whether or not the case will be flagged. If no earned income has been budgeted the case will be locked. Further, if the wages reported from the Department of Taxation are 10% greater (PA) or 20% greater (MA) than the wages budgeted, the case will be locked. WRS no longer posts earnings for any individuals under 18.
- o Dollar tolerances were increased for the 1099 matches occurring prior to case opening. Certain money types were eliminated altogether.
- o New York State Payroll is now ONLINE (screen WCTSPR).
- o A new statistics screen which districts can use to monitor their RFI hits/workload has been developed.
- o The undercare hits will be posted the 1st and 3rd Mondays of each month.

Anticipated changes to RFI include:

- o Aging RFI hits to actual number of days (screen WCTOUX);
- o Flagging ONLINE high risk cases (screen WCTOUX); and
- o Developing High Risk Management reports which will be transmitted to the local districts on the BICS printer.

A Model Resource File Integration Procedure For Eligibility and Undercare
New York State Department of Social Services

A. Access and Distribute RFI Information

- o The RFI subsystem is available through the WMS main menu, selection #26. The RFI Menu, screen WCTMNU will appear (Exhibit I).

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+-----+
|           Access the RFI           |
|           Subsystem through WMS    |
+-----+
    
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- o Access a listing of all flagged cases by selecting option 2 and typing office, unit and worker ID numbers. Print two copies of each "Office Unit Worker" screen, WCTOUW (Exhibit II).

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+-----+
|           Select Option 2           |
|           Office Unit Worker Inquiry |
+-----+
    
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+-----+
|           Print 2 Copies of each    |
|           "Office Unit Worker"     |
|           Screen                    |
+-----+
    
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- o Distribute one copy of the "Office Unit Worker" screen to the supervisor and one to the worker.

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+-----+
|           Distribute Copies         |
+-----+
    
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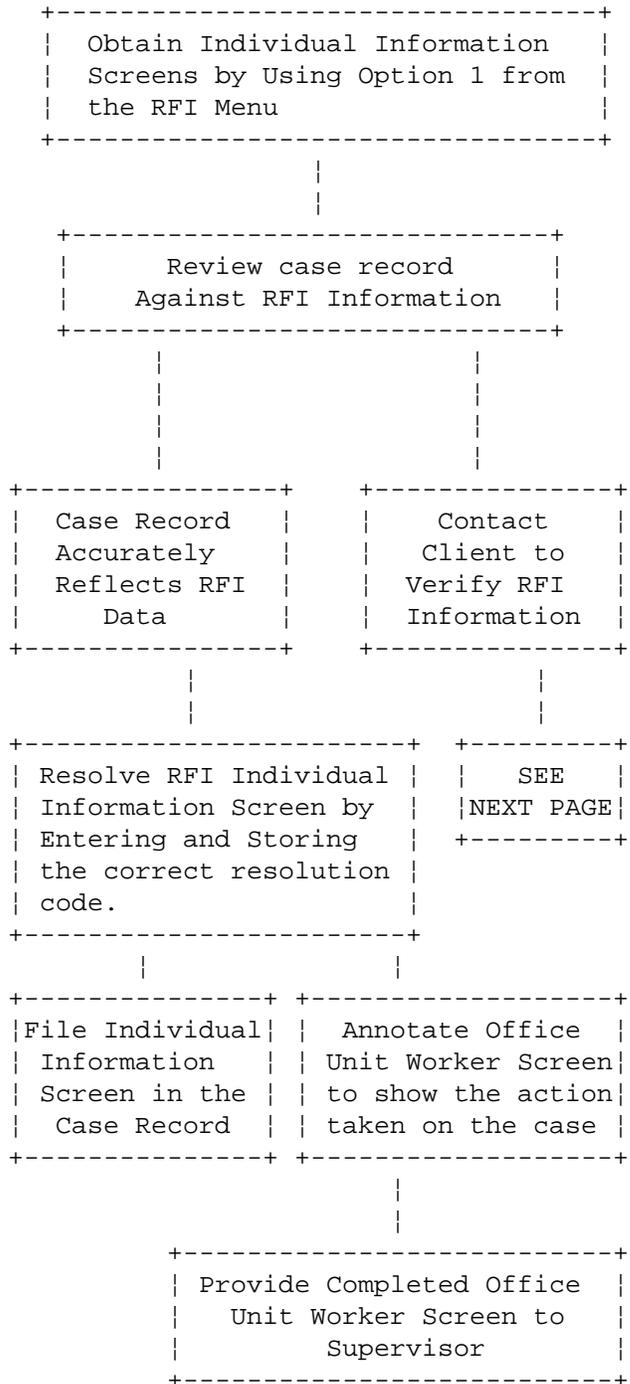
+-----+
|           1 copy to                 |
|           supervisor for            |
|           control                   |
+-----+
    
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+-----+
|           1 copy to                 |
|           worker for                |
|           action                    |
+-----+
    
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B. Resolution of RFI Information by the Worker

- o Using the list of case names from the "Office Unit Worker" screen, the worker should obtain individual match information screens (Attachment III). This is done by selecting option 1 from the RFI main menu and entering the case or registry number. Print a copy of the screen.
- o The worker should review the case record and the RFI information and make a determination whether or not the information is known to the agency.
- o Federal regulations require that follow-up on all matches be completed within 45 days of the agency's receipt of match reports.
- o Using the RFI Individual Information Screen, select and enter the appropriate RFI Action Code in the bottom left hand corner of the screen. If there is more than one IRS match, enter the code on the last screen only.
- o Store the resolution data by going to the XMT field on the screen and transmitting. Be sure to file the screen print in the case record as all resolved RFI data will disappear overnight.



B. Resolution of RFI Information By the Worker (Continued)

Information Not Known To The Agency

- o No action to close or rebudget a case as a result of a computer match can be taken until the information is verified. If the client fails to cooperate with the district's attempt to verify the information a negative action may be warranted. The closing reason in this instance would be failure to cooperate rather than as a result of the computer match.
- o If an individual appears in more than one application or case then each application record or case record will be flagged as having RFI data to resolve. Resolution must then be done for each case and/or application. Resolving the RFI data in one case or application does not resolve it in other cases or applications.

+-----+ Contact Client to Verify RFI Information +-----+		
+-----+ Client Client Client Agrees Disagrees Fails With With to Match Match Respond Information Information +-----+		
	+-----+ Worker Makes Close Case Collateral Contacts For i.e. income source Failure +-----+ Collateral to Confirms Cooperate +-----+	
	+-----+ Worker takes action Collateral to deny, terminate Doesn't reduce. Confirm Refer to Fraud Unit if necessary. +-----+	
	+-----+ Resolve RFI Individual Information Screen by entering and storing the correct resolution code +-----+	
	+-----+ File Individual Annotate Office Information Unit Worker Screen in the Screen to show the Case Record Action Taken on +-----+ the Case +-----+	
		+-----+ Provide Completed Office Unit Worker Screen to Supervisor +-----+

C. Supervisory Controls on the RFI Process

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| <ul style="list-style-type: none"> o The Supervisor should use the "Office Unit Worker" screen as a control to monitor that the worker takes timely action on RFI information. | <pre> +-----+ Log out to each worker their Office Unit Worker Screen +-----+ </pre> |
| <ul style="list-style-type: none"> o Log out each worker's "Office Unit Worker" screen for action. | <pre> +-----+ Log in completed screens. Scan screens for adequate completion +-----+ </pre> |
| <ul style="list-style-type: none"> o Allow a reasonable period of time for resolution (i.e. 30 calendar days). | <pre> +-----+ </pre> |
| <ul style="list-style-type: none"> o Log in lists completed by workers. | <pre> +-----+ At the end of the pend period, follow-up on workers with outstanding lists and take appropriate action +-----+ </pre> |
| <ul style="list-style-type: none"> o Scan screens to ensure adequate completion. | <pre> +-----+ </pre> |
| <ul style="list-style-type: none"> o At the end of the period check with workers who have not returned their completed lists. Take appropriate action. | <pre> +-----+ All lists adequately resolved +-----+ </pre> |
| <ul style="list-style-type: none"> o At regular intervals randomly sample each worker's list. Evaluate the case record and the filed RFI screen to ensure proper completion and that a hard copy is present in the case record. | <pre> +-----+ Regularly sample workers list and evaluate case record and filed screens to ensure proper action has been taken. +-----+ </pre> |