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DIVISION 15 CORRECTIVE ACTION AND COUNTY QUALITY CONTROL PROGRAMS

CHAPTER 15-100 GENERAL

15-101 GENERAL PURPOSE AND SCOPE **15-101**

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.1 Purpose of the County Performance Sample

The County Performance Sample is used to measure the accuracy of California's welfare expenditures and assist in measuring program performance and recipient self-sufficiency outcomes. It is composed of the federally required quality control sample, and additional county quality control cases to obtain a sample of sufficient size to yield reliable measurements.

.2 Scope of the County Performance Sample

The California Department of Social Services (CDSS) is committed to achieving performance outcomes that improve the AFDC and Food Stamp programs. To measure these outcomes, counties will conduct case reviews of a randomly selected sample subject to the provisions of Section 15-310.5. The performance areas to be reviewed may include, but are not limited to:

- .21 Program integrity (e.g., error rates, timeliness and fraud),
- .22 Recipient employment,
- .23 Time on aid,
- .24 Administrative costs,
- .25 Intakes, and
- .26 Child support

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NOTE: Authority cited: Sections 10553 and 10554, Welfare and Institutions Code. Reference: Sections 10553 and 10554, Welfare and Institutions Code.

15-102 COUNTY PERFORMANCE SAMPLE RESPONSIBILITIES 15-102

.1 CDSS

- .11 Provides oversight of the County Performance Sample activities to ensure case reviews are completed consistent with current federal and state quality control regulations.
- .12 Provides consultation, support, and training to county staff conducting the County Performance Sample.
- .13 Selects and integrates the County Performance Sample cases.
- .14 Identifies and conducts reviews of a sample of County Performance Sample cases which includes 100% of federal sample cases.
- .15 Maintains the County Performance Sample software.
- .16 Provides quality control program and policy direction, difference case resolutions, and liaison with federal agencies.
- .17 Conducts review of federal AFDC and food stamp negative action cases.

.2 Performance Sample County

- .21 Reviews a County Performance Sample composed of AFDC and Food Stamp active cases consistent with current federal and state quality control regulations.
- .22 Submits County Performance Sample cases within state established time frames as specified in Section 15-310.13.

NOTE: Authority cited: Sections 10553 and 10554, Welfare and Institutions Code. Reference: Sections 15200.4 and 18904, Welfare and Institutions Code.

15-110 DEFINITIONS**15-110**

- a. (1) "AFDC Program Payment Error Rate" means the total AFDC-FG/U overpayments and payments to ineligible cases in the review sample divided by total payments to completed cases in the review sample for the review year.
- b. Reserved
- c. (1) "CDSS" means the California Department of Social Services.
(2) "County Performance Sample" means a sample composed of the federal AFDC and Food Stamp cases and additional county AFDC and Food Stamp cases (formerly called State Sample cases).
- d. Reserved
- e. (1) "Error Rate" means the AFDC Program Payment Error Rate or the Food Stamp Program Payment Error Rate.
- f. (1) "Federal Sample Case" means a case which is selected for review to satisfy a federal mandate to review a specified number of cases each year selected from a statewide universe.
(2) "Federal Tolerance Level" means the error rate used by federal agencies in determining the application of a federal fiscal sanction.
(3) "Food Stamp Program Payment Error Rate" means the sum of the overissuances, issuances to ineligible cases and underissuances authorized in the review sample divided by total issuances authorized to completed cases in the review sample for the review year.
(4) "Funds" means AFDC-FG/U aid payments or Food Stamp issuances authorized by the county.
- g. Reserved
- h. Reserved
- i. (1) "Ineligibles" means cases that received AFDC-FG/U or Food Stamps but were not qualified to receive them.
- j. Reserved
- k. Reserved

15-110 **DEFINITIONS** (Continued) **15-110**

- l. Reserved

- m. Reserved

- n. Reserved

- o. (1) "Overpayment" means the AFDC-FG/U amount paid to cases in excess of the correct amount.

- (2) "Overissuance" means the amount of Food Stamps authorized to cases in excess of the correct amount.

- p. (1) "Performance Sample County" means a county in which an individual county payment error rate is established through a state conducted or supervised County Performance Sample.

- q. Reserved

- r. (1) "Review Year" means October through September.

- s. (1) "Small County Sample" means a sample composed of federal and additional county AFDC and Food Stamp cases that are selected from counties not participating in the County Performance Sample and reviewed by CDSS to provide additional information to include in a statewide data base.

- t. Reserved

- u. (1) "Underissuance" means the amount of Food Stamps authorized to cases for less than the correct amount.

- v. Reserved

- w. Reserved

- x. Reserved

- y. Reserved

- z. Reserved

NOTE: Authority cited: Sections 10553 and 10554, Welfare and Institutions Code. Reference: Section 15200.4, Welfare and Institutions Code.

COUNTY QUALITY CONTROL - CORRECTIVE ACTION PROGRAM

Regulations

GENERAL

15-115

15-115 MONITORED COUNTIES

15-115

.1 Sanctions are applicable to only those counties for which error rates are regularly established.

NOTE: Authority cited: Sections 10553 and 10554, Welfare and Institutions Code. Reference: Section 15200.4, Welfare and Institutions Code.

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CHAPTER 15-200 ORGANIZATION FOR CORRECTIVE ACTION AND QUALITY CONTROL

15-205 ORGANIZATION 15-205

The county welfare department shall take the following measure in conjunction with the corrective action and quality control process specified herein:

- .1 The active participation and commitment of county welfare department top management shall be required throughout the corrective action and quality control process.
- .2 A departmental unit and individual shall be designated by the county welfare department as responsible for each phase of the quality control/corrective action process, and for the total county corrective action and quality control program;
- .3 The county welfare department shall designate an individual as Quality Control Coordinator who shall be responsible for coordination of the program's corrective action and quality control internally and with CDSS;
- .4 The quality control error identification function shall be distinctly separate from the function(s) of eligibility determination and caseload maintenance.

NOTE: Authority cited: Sections 10553 and 10554, Welfare and Institutions Code. Reference: Section 15200.4, Welfare and Institutions Code.

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CHAPTER 15-300 THE CORRECTIVE ACTION AND QUALITY CONTROL PROCESS

15-305 CORRECTIVE ACTION PROCESS 15-305

The county welfare department shall implement a five-phase corrective action and quality control process meeting the specifications described below.

.1 Phase One -- Error Analysis

Data collected in the quality control reviews shall be analyzed by counties to determine causes of error.

.2 Phase Two -- Preliminary Planning (Selection of Alternatives)

Based on the error analysis, counties shall identify alternative corrective actions which might either reduce or eliminate the causes of error. During the preliminary investigation, the feasibility and potential benefit of each alternative shall be investigated. This may include interviews with knowledgeable agency personnel, a review of existing data, and supplementary studies (if needed).

.3 Phase Three -- Corrective Action Planning

- a. The county shall select appropriate corrective actions based on its preliminary planning.
- b. Top management shall make key decisions in planning and implementing corrective actions.
- c. The county shall record corrective actions selected for implementation, including reasons for selection; cost-benefits analysis where appropriate; implementation timetable; and criteria for evaluation of the planned corrective actions.

.4 Phase Four -- Corrective Action Implementation

- a. The county shall implement those corrective actions approved by top management.
- b. The county shall monitor the progress of implemented corrective actions, comparing actual progress to the scheduled implementation timetable.

15-305 CORRECTIVE ACTION PROCESS (Continued) 15-305

- .5 Phase Five -- Corrective Action Evaluation
- a. The county shall evaluate the effectiveness of implemented corrective actions.
 - b. The method of evaluating corrective actions shall be clearly defined prior to implementation, including cost-benefit follow-up analysis, where applicable.
 - c. The county shall include corrective action evaluation results in reports to the CDSS (see Section 15-410).

NOTE: Authority cited: Sections 10553 and 10554, Welfare and Institutions Code. Reference: Section 15200.4, Welfare and Institutions Code.

15-310 QUALITY CONTROL ERROR IDENTIFICATION PROCESS 15-310

- .1 A Performance Sample County shall perform quality control reviews of AFDC and Food Stamp cases each month. Review criteria, and automated procedures shall comply with federal and state requirements.
- .11 Counties constituting the top 90% of the state's annual AFDC expenditures for state fiscal years 1992 and 1993 are the Performance Sample Counties. Each of the 19 Performance Sample Counties, unless excluded by CDSS, is required to review and complete a monthly random sample of case reviews assigned by CDSS. Each participating Performance Sample County shall complete the following:
- (a) Federal active AFDC and Food Stamp cases and,
 - (b) Additional county active AFDC and Food Stamp cases.
- .12 County Performance Sample reviews shall be completed within the standards of quality as prescribed by current federal and state quality control regulations.
- .13 All federal sample and additional county sample case reviews shall be completed and transmitted by county staff to the appropriate CDSS district office by the 80th calendar day following the date sample lists are received by county staff. The 80-day review period begins on the 1st day of the month following the sample month, or the date the sample is received by the county, whichever is later.

15-310 QUALITY CONTROL ERROR IDENTIFICATION PROCESS 15-310
(Continued)

- .131 September sample cases which are subject to shorter processing periods imposed by federal agencies shall be completed and transmitted to the appropriate CDSS district office by the 5th of the month that precedes the month September cases are transmitted to federal agencies.
- .132 Cases selected subsequent to each original monthly sample to satisfy federal sampling requirements shall be completed and transmitted to the appropriate CDSS district office by the 10th of the month those cases are due for transmission to the federal agencies.
- .14 Substantial noncompliance by a Performance Sample County in meeting these standards, as documented by CDSS, shall subject that Performance Sample County to the provisions of Welfare and Institutions Code Section 10605. Examples of substantial noncompliance are the following:
 - (a) chronically missing state established deadlines,
 - (b) chronically not meeting federal and state quality control regulations, or
 - (c) willfully misrepresenting data.
- .2 The results of the County Performance Sample reviews shall be used by CDSS to establish county program payment error rates using the appropriate formula as follows:
 - .21 For AFDC:

For a given review year, the sum of payments to ineligible cases and overpayments to eligible cases equals the total amount of erroneous payments. Divide the total amount of erroneous payments by the total amount of payments to all AFDC cases completed in the review sample. The resulting quotient is the county AFDC Program Payment Error Rate.

15-310 QUALITY CONTROL ERROR IDENTIFICATION PROCESS 15-310
(Continued)

.22 For Food Stamps:

For a given review year, the sum of issuances authorized to ineligible cases, overissuances authorized to eligible cases, and underissuances authorized to eligible cases, equals the total amount of erroneous issuances authorized. Divide the total erroneous issuances authorized by the total amount of issuances authorized to all Food Stamp cases completed in the review sample. The resulting quotient is the county Food Stamp Program Payment Error Rate.

.3 In order to validate the County Performance Sample, CDSS shall select and review a sample of cases completed by county staff. The sample shall include, at a minimum, 100% of the federal sample cases. The sample size and type of additional reviews shall be determined by CDSS. A county's review findings may change based on CDSS review and possible difference findings in County Performance Sample cases.

.31 A Performance Sample County shall have five (5) working days from the date of receipt to dispute each difference finding identified by CDSS in a County Performance Sample case completed by county staff.

.4 Performance Sample Counties shall submit monthly and daily Food Stamp issuance report tapes in an automated format and time frame determined by CDSS for automated Food Stamp sample selection.

.5 Within allocated resources, Performance Sample Counties may be required to perform special data collection activities as part of the County Performance Sample case review.

.6 Counties exempt from the Performance Sample process (see Section 15-310.1) may at the discretion of CDSS have a Small County Performance Sample performed by CDSS to provide additional information to include in a statewide data base.

NOTE: Authority cited: Sections 10553 and 10554, Welfare and Institutions Code. Reference: Section 15200.4, Welfare and Institutions Code.

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CHAPTER 15-400 CORRECTIVE ACTION AND QUALITY CONTROL REPORTING

15-410 REPORTING 15-410

- .1 To facilitate effective use of information generated by the corrective action and quality control program, there shall be timely and complete reporting in a format approved by CDSS.
- .2 The counties shall submit Corrective Action Plans semiannually to CDSS. Separate AFDC and Food Stamp Plans or a combined plan covering both programs are due no later than February 1 (to include, but not be limited to, the results of the quality control reviews for the April through September period) and August 1 (to include, but not be limited to, the results of the quality control reviews for the October through March period).
 - .21 The Corrective Action Plans shall contain all phases of the corrective action planning process: measurement of the magnitude of the errors and identification of the error elements involved, selection of problem areas and error trends, analysis of the problems, determination of the causes of the problems, development and selection of corrective action options, and plans for corrective action implementation, monitoring and evaluation, and status of previously implemented corrective action.

NOTE: Authority cited: Sections 10553 and 10554, Welfare and Institutions Code. Reference: Section 15200.4, Welfare and Institutions Code.

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CHAPTER 15-500 FEDERAL FISCAL INCENTIVES

15-510 DISTRIBUTION OF FEDERAL INCENTIVE PASS-ON 15-510

- .1 A portion of any AFDC-FG/U or Food Stamp Program federal incentives shall be allocated among Performance Sample Counties where the county's program payment error rate is below the federal tolerance level. The allocation shall be based on a methodology comparable to that used by the federal government in calculating the incentive payment.
- .2 The amount of the federal incentive subject to pass-on is equal to the percentage of statewide payments attributable to the Performance Sample Counties multiplied by the amount of the federal incentive.
- .3 Upon receipt of a federal incentive payment, CDSS will issue Performance Sample Counties their share of payment within 60 days.

NOTE: Authority cited: Sections 10553 and 10554, Welfare and Institutions Code. Reference: Sections 10553 and 10554, Welfare and Institutions Code.

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**COUNTY QUALITY CONTROL - CORRECTIVE ACTION PROGRAM
FISCAL SANCTIONS**

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CHAPTER 15-600 FISCAL SANCTIONS

15-621 FEDERAL SANCTION PASS-ON 15-621

- .1 A portion of any AFDC or Food Stamp sanction imposed on the state by the federal government is subject to pass-on to those Performance Sample Counties whose program payment error rate exceeded the federal tolerance level (see Section 15-120(f)) during the federal fiscal year for which the sanction was incurred. However, for purposes of this section, a federal sanction pass-on amount shall not include any portion of an imposed federal sanction which results from any differences in state and federal program requirements.
- .2 The federal tolerance level used for pass-on of sanction liability shall be the national tolerance level established by the federal government.
- .3 Federal Sanction Subject to Pass-On

In recognition of the fact that Performance Sample Counties do not account for all statewide AFDC payment or Food Stamp issuance errors, a portion of the federal sanction shall not be passed on to the Performance Sample Counties. The amount of the federal sanction subject to pass-on is equal to the percentage of statewide AFDC payments or Food Stamp issuances authorized that are attributable to the Performance Sample Counties, multiplied by the amount of the federal sanction.

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Example: If the Performance Sample Counties accounted for 90 percent of the statewide AFDC payments of federal funds and the AFDC federal sanction was \$1,000,000, the federal sanction subject to pass-on would be \$900,000 ($\$1,000,000 \times 0.90$).

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.4 Calculation of Federal Sanction Pass-On Amounts

The amount of a federal sanction which shall be passed on to any given county is equal to the lesser of .41 or .42:

- .41 The amount of misspent federal funds above the federal tolerance level in that county. To determine the amount of misspent federal funds, multiply the excess error rate for each applicable county times that county's total federal payments for the review year.

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15-621 FEDERAL SANCTION PASS-ON (Continued) **15-621**

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.411 Example: Assume four counties exceeded a tolerance level of 4.0 percent:

1	2	3	4	5
County	Error Federal Rate	Amount Above Tolerance Level	Federal Funds Expended by County	Misspent Funds Above Tolerance
Level				
A	6.0%	2.0%	\$1,000,000	\$20,000
B	7.0	3.0	3,000,000	90,000
C	6.0	2.0	4,000,000	80,000
D	8.0	4.0	<u>2,000,000</u>	<u>80,000</u>
			\$10,000,000	\$270,000

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.42 The county's proportionate share of the federal sanction subject to pass-on.

.421 When the federal sanction subject to pass-on is less than the total amount of misspent federal funds above the tolerance level for all Performance Sample Counties with error rates above the federal tolerance level (\$270,000 in example .411), a ratio shall be developed to determine the county share of the federal sanction.

The ratio is equal to the amount of each county's misspent federal funds above the tolerance level if any (see Section 15-621.41), divided by the total amount of misspent federal funds above the tolerance level for all Performance Sample Counties. The ratio for each individual county is then multiplied by the amount of the federal sanction subject to pass-on. The product of this multiplication is the county's proportionate share of the federal sanction.

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.422 Example: Assume the federal sanction subject to pass-on is \$250,000 and four counties have error rates above the 4.0 percent tolerance level.

1	2	3	4	5	6	7
County	Error Rate	Amount Above Tolerance Level	Federal Funds Expended by County	Misspent Federal Funds Above Tolerance Level	Ratio	Proportionate Share
A	6.0%	2.0%	\$1.0M	\$ 20,000	.0741	\$ 18,525
B	7.0	3.0%	3.0	90,000	.3333	83,325
C	6.0	2.0%	4.0	80,000	.2963	74,075
D	8.0	4.0%	2.0	80,000	.2963	74,075
				<u>\$270,000</u>	<u>1.000</u>	<u>\$250,000</u>

The ratios in column 6 were obtained by dividing the individual county amounts in column 5 by the total of column 5. These ratios are then used to allocate the \$250,000 federal sanction subject to pass-on into the proportionate share in column 7.

Because the federal sanction subject to pass-on is less than the total misspent federal funds above the tolerance level for all Performance Sample Counties (see column 5), each county's proportionate share of the federal sanction is less than the amount of that county's misspent federal funds above the federal tolerance level. The amounts contained in column 7 would be the amounts passed on to the counties.

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.423 FEDERAL SANCTION PASS-ON PROCESS

- I. Does the county's program payment error rate exceed the tolerance level? (15-110(f)(2)) ----- No -----> No federal sanction pass-on
- Yes
- II. Multiply the excess program payment error rate times the amount of federal funds expended by the county (15-621.41)
(Column 3 value x Column 4 value = Column 5 value)
- III. Total the amounts determined in Step II for all applicable counties.
- IV. Is the federal sanction subject to pass-on less than the total amount in Step III (15-621.42)? ----- No -----> The county's federal sanction pass-on is equal to the amount in Step II
- Yes
- V. Divide the amount in Step II by the amount in Step III. (15-621.42)
(County's column 5 value divided by the total of column 5 = column 6 value)
- VI. Multiply the value in Step V times the federal sanction subject to pass-on (15-621.42) -----> The county's federal sanction pass-on is equal to amount in Step VI. (Column 6 value x the total federal sanction subject to pass-on

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15-621 **FEDERAL SANCTION PASS-ON** (Continued) **15-621**

.5 Application of Federal Sanction Pass-On

- .51 CDSS shall notify the county in writing if it is determined that a federal sanction pass-on will be imposed.
- .52 The county may appeal the federal sanction pass-on in accordance with Section 15-621.7.
- .53 No sanction shall be applied during the appeal filing period provided in Section 15-621.72 or until the CDSS has made a decision on the county's appeal.
- .54 When the federal AFDC sanction pass-on is imposed, the amount of the sanction shall be applied by reducing the federal share of the county's reimburseable grant costs.
- .55 When a federal Food Stamp sanction pass-on is imposed, the amount of the sanction shall be applied by reducing the federal share of the county's reimbursable Food Stamp administrative costs.

.6 Appeals of the Federal Sanction

When a federal sanction is imposed, the state shall provide all counties the opportunity to provide information that may establish bases for the state's appeal to the federal government. Counties shall have at least 15 days from date of notice to provide this information. Examples of specific county circumstances that may be included as part of the state's appeal include, but are not limited to, the following:

- .61 Disasters which:
 - .611 Require the diversion of a significant number of personnel normally assigned to the processing of AFDC or Food Stamp cases.
 - .612 Destroy or delay access to significant records needed to maintain or update payments.
- .62 Strikes or work actions by welfare staff or other personnel necessary to the processing of the AFDC or Food Stamp cases.

15-621 FEDERAL SANCTION PASS-ON (Continued) 15-621

.7 Appeal of the Federal Sanction Pass-On

If the federal sanction is actually withheld by the federal government, counties that are potentially subject to a pass-on shall be notified in writing by CDSS. A county may appeal a federal sanction pass-on based upon circumstances related to the state-county relationship.

- .71 Circumstances that could provide the bases for an appeal, if they caused the county to have an excessive error rate, include, but are not limited to, the following:
 - .711 The failure of a governmental agency outside the county's control to complete an agreed upon activity.
 - .712 County actions resulting from erroneous state written policy interpretations.
 - .713 Mistakes made by state staff in the establishment of the county error rate.
 - .714 Incorrect application of Sections 15-621.1 through .4.
 - .715 Situations or actions beyond the county's control.
- .72 Each county shall have 60 days from the date of CDSS' notification to provide the appeal information.
- .73 A state decision shall be made as to which county-raised issues have merit and should be taken into account in reducing or eliminating potential county liability for the pass-on.
- .74 Counties shall be notified of any amounts that have been reduced or eliminated. The appropriate amount shall be passed on pursuant to Sections 15-621.1 through .4 less the amount reduced.

NOTE: Authority cited: Sections 10553 and 10554, Welfare and Institutions Code. Reference: Omnibus Budget Reconciliation Act of 1989 (P.L. 101-239), and Sections 10553, 10554, 15200.4, and 18905, Welfare and Institutions Code.

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**DEPARTMENT COMMUNICATIONS
GENERAL**

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DIVISION 17 DEPARTMENT COMMUNICATIONS**CHAPTER 17-000 DEPARTMENT COMMUNICATIONS - GENERAL****17-001 DEFINITIONS****17-001**

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- .1 "Regulation" means every rule, regulation, order, or standard of general application or the amendment, supplement or revision of any such rule, regulation, order or standard adopted by any state agency to implement, interpret, or make specific the law enforced or administered by it, or to govern its procedure, except one which is related only to the internal management of the state agency. "Regulation" does not mean or include any form prescribed by a state agency or any instructions relating to the use of the form, but this provision is not a limitation upon any requirement that a regulation be adopted pursuant to this part when one is needed to implement the law under which the form is Issued 04/01/89. (Government Code Section 11342 b.)

Regulations are adopted under the general authority of Welfare and Institutions Code Sections 10553 and 10554 to provide for necessary interpretations of state statutes and federal regulations. Proposals for a new regulation or a change may originate with any unit of the Department. Regulation change proposals may be caused by a change in federal regulation, a change in state statute, a court order as a result of a lawsuit, or a program manager's decision that an existing policy needs to be changed.

In the Manual of Policies and Procedures and Title 22, CAC, regulations are printed in standard Gothic-type face (effective October 1, 1981).

- .2 "Handbook" material is informational only; it explains and illustrates regulatory sections by example. It is advisory and interpretive in the sense of illustrating appropriate application of a regulation; it may recommend specific processes or methods of implementation of a regulation. However, in order to provide a single source document for departmental clients (county welfare departments, licensees, etc.), appropriate statutes, regulations of other agencies, and court orders will be incorporated verbatim when the result would be helpful to understanding and full compliance with pertinent mandates in any specific program. In addition, it will include published operational standards by which DSS staff evaluate performance within DSS programs, forms, forms' instructions, and other informational material.

In the Manual of Policies and Procedures and Title 22, CAC, such nonregulatory material is printed in italics (similar to the type style in this division effective October 1, 1981).

HANDBOOK CONTINUES

HANDBOOK CONTINUES

- .3 Manual letters are informational. They are used to transmit new or revised DSS Regulation or "handbook" sections. They describe the material transmitted and explain the reasons for adoption; give the effective date, filing instructions plus any relevant information.

- .4 All-County Letters are informational and serve to provide explanatory materials for regulations, material of general interest, or interim procedural information (e.g., new reporting dates). They may be used to clarify statewide questions, but do not change previously-issued 04/01/89 regulatory material. They may also be used to trigger required responses by all counties when the basic authority for such is in regulation.

- .5 Information notices or unnumbered letters are used to transmit statewide information of short-term interest, booklets, or other materials (including single advance copies of newly adopted regulations). They serve to explain the purpose in sending the attachment; they may include a brief description or summary.

- .6 Individually addressed business letters are used to provide specific direction on matters requiring compliance by groups of counties (or individual counties) when the basic authority is already in regulation; or to explain policy or regulations to individuals in one or more counties; or to respond to inquiries or requests.

- .7 Selected Reading Series serve to transmit significant speeches, statements, and papers related to the field of social welfare, as well as various social and economic developments which have a vital impact on the welfare function. These are for general distribution to welfare departments, other agencies, and interested persons.

- .8 Training Guides are explanatory materials describing or setting forth recommended training programs for personnel engaged in various operations in county welfare departments. These are distributed primarily to Staff Development personnel.

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17-003 MANUAL DISTRIBUTION 17-003

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.1 Manual letters are transmitted to county welfare departments in amounts corresponding with the number of manuals held. The following codes which identify the various manuals are printed on the mailing label:

- SS Eligibility and Assistance Standards
- O Social Services Standards
- OP Operations Policies and Procedures
- F Fiscal Policies and Procedures
- S Statistical Manual
- SD Staff Development and Training
- SP Specialized Social Services and Related Programs
- FS Food Stamp Policies and Procedures

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17-005 COUNTY RESPONSIBILITY 17-005

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Each county welfare department is responsible and accountable for the manuals Issued 04/01/89 to it.

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17-009 **DESIGNATING THOSE RESPONSIBLE FOR COMMUNICATIONS** **17-009**

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County welfare departments will designate:

- .1 One person of management level to be responsible for ordering, distributing, accounting for and maintaining manuals and other communications of the DSS.
- .2 Two alternates who are able to evaluate requests for manual materials.

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17-013 **MANUAL RECORDS RESPONSIBILITY** **17-013**

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County welfare departments will be responsible for maintaining manuals and records in the following manner:

- .1 Each manual must be numbered.
- .2 An individual should be designated and assigned responsibility for insertion of revisions and removal of obsolete materials in each section or unit.
- .3 Records need to be maintained to indicate:
 - .31 The total number of each program manual or standard manual of rules and regulations of the DSS Issued 04/01/89 to the county.
 - .32 The sections, units or individuals to which manuals are assigned and the manual numbers.
 - .33 Individuals responsible for manual maintenance.

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- .1 Revised pages should be inserted in the appropriate manual immediately after review by staff, and obsolete pages removed. Review of new or revised regulations may be administered by regular unit meetings or they may be circulated among staff members.
- .2 One set of regulations in each county should include obsolete regulations for auditing, for adjustment in retroactive situations, and for other similar purposes.
- .3 Filing of manual materials.
 - .31 Each manual page is numbered with either an issue number or a revision number. An issue number indicates that the material on the page is newly adopted material appearing for the first time. A revision number indicates that a change has been made to the page. The change could be a change to the regulations themselves or merely a change to the format of the page. Therefore it is possible to have a page with a revision number, but no revision line on the page as revision lines are used only to indicate changes to regulations.
 - .32 The page replaced is removed and the new page inserted in the manual in the appropriate section (e.g., Rev. 1420 replaces Issue 105, or Rev. 1420 replaces Rev. 1105.) Instructions appear on each manual letter in the following manner:

HANDBOOK CONTINUES

HANDBOOK CONTINUES

FILING INSTRUCTIONS

The attached pages are to be entered in your copy of the Manual of Policies and Procedures. The latest prior manual letter containing changes was 299.

<u>Revision No.</u>	<u>Replaces Revision No.</u>
300	Issue 91
301	295
302	Rev. 296 and 297

- .34 One set of regulations in the county shall include obsolete regulations for auditing, for adjustments in retroactive situations, and for other similar purposes.

HANDBOOK ENDS HERE

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- .1 One set of the regulations and handbook materials (including All-County Letters) of the Department of Social Services, the Welfare and Institutions Code, the Health and Safety Code, and other laws relating to any form of public social service must be made available to the public during regular office hours in each central or district county office administering public social services and in each local or regional office of the department. (Welfare and Institutions Code Section 10608.)
- .2 These references shall be placed in the waiting or reception room or in a location available and convenient for public use.
- .3 A sign shall be prominently posted in each waiting/room or reception room in appropriate languages as follows:

"Rules and regulations of the State Department of Social Services are available for your use. Please ask for the materials or manuals you wish to see.
- .4 A signout book should be used to prevent loss of regulations or other materials for public use. The maintenance of the reference materials in a current and usable condition is a condition of compliance with the statute.

HANDBOOK ENDS HERE

17-019 ORDERING MANUAL MATERIALS **17-019**

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- .1 Orders for manual materials are placed with the DSS Publications Unit.
- .2 Requests for materials must contain the following information.
 - .21 Materials and number requested.
 - .22 Reasons for request of additional manuals or materials.
 - .23 Signature of county person responsible or alternate.
- .3 If a discrepancy is noted in orders received, the county should contact the DSS Publications Unit promptly.

HANDBOOK ENDS HERE

17-021 RECOMMENDED STANDARDS **17-021**

HANDBOOK BEGINS HERE

- .1 Number of Manuals Maintained and Location
 - .11 Sufficient numbers of manuals and sets of regulations as are needed for effective staff reference are to be maintained and located conveniently for this purpose.
 - .111 A complete set of manuals and regulations should be maintained in a central library and in each district office library utilized by the staff.
 - .112 One program manual should be maintained in each unit for program administered and one for each unit supervisor.
 - .113 In addition to the basic program manuals used by the unit or social worker, reference and supportive manuals such as other categorical aids, Research and Statistics, Fiscal, etc., should be available at convenient locations for effective usage by staff.

HANDBOOK ENDS HERE

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