

1.5	<b>Updating and Reporting Waiting List Information</b>	Page 1 of 9
Issue date: 12/02	Revision date: n/a	Division Staff
Form(s): None		

## Procedure

To ensure that region-level and state-level Waiting Lists are up-to-date and reliable, follow the procedure outlined below:

### **A. ON A MONTHLY BASIS:**

- On the first MONDAY of each month, regional data techs run missing data queries for the following variables:
  - Name
  - Date of birth
  - Gender
  - Region and region office
  - Eligibility
  - Needs assessment score
  - O number
  - Phone Number
  - Need Priority
  - Social Security Number
  - Start Date
  - Street Address
  - Zip Code
  - Wait list worker name
- When data is missing, data techs contact the appropriate wait list workers to provide the necessary data. Data techs enter the incomplete data.

### **B. ON A QUARTERLY BASIS:**

#### **Supervisors Verify The Waiting List is Current**

- On the first business day of March, June, September and December, state office staff run missing data queries for the variables listed above in A1.
- Data techs provide "missing data lists" to the supervisors of wait list workers who are responsible for updating the data. Supervisors provide the lists to the wait list workers for updating.
- After wait list workers have updated the missing data on the paper copy, the wait list workers forward the updated "missing data lists" to the region data techs, who enter the new information into the database.
- Supervisors review the updated database to ensure all data that can be updated has been updated. Where data are still missing, supervisors provide an explanation to state office staff (e.g., waiting for more information).
- Supervisors **verify** the database is up-to-date by sending an email to state office staff indicating that the database has been reviewed and all possible data have been entered.
- Supervisors have **45 days** after receiving the "missing data lists," to verify the database is current. After 45 days, state office staff notify Region Directors of problems with the follow-up process.

**C. ON A BIENNIAL BASIS:****Each March and September—Supervisors Complete a 25 percent Check**

1. State office staff provide supervisors with a completed Face Sheet for **25 percent** of the persons on the Waiting List with immediate needs.
2. Supervisors compare the Face Sheet to the person's hard copy file and ensure the data match. When data do not match, supervisors ask the responsible wait list worker to gather the data and note the new information on the Face Sheets. The Face Sheets are forwarded to the region's data techs who enter the changes in the database. If the person's record is incomplete, the wait list worker updates the record with information from the database.
3. Supervisors have **60 days** from receipt of the Face Sheets to report the number of cases that were updated by wait list workers and to verify that these files or the information in the database has been updated. After 60 days, state office staff will complete a report on the state of the database and provide the report to the region director. If necessary, the region director will be asked to complete follow-up with wait list workers and supervisors.

**Each May and November—State Office Staff Complete a 5 percent Reliability Check**

4. State office staff generate completed Face Sheets for **5 percent** of the persons with immediate needs on the Waiting List. This 5 percent sample is stratified by region and region office. If a region office has fewer than 100 hard copy waiting list files, a total of five files will be checked against completed Face Sheets. If a region office has fewer than five hard copy waiting list files, all files will be checked against Face Sheets at least once a year.
5. State office staff visit each region to compare the Face Sheets to the hard copy files to ensure the data match. When data do not match, state office staff ask the responsible wait list worker to gather the data and note the new information on the Face Sheets. The Face Sheets are forwarded to the region's data techs for entry of changes into the database. If the hard copy file is incomplete, the wait list worker must update the information in the person's record based on data from the database.
6. State office staff complete a Compliance Report that indicates the percent of cases in and out of compliance by wait list worker, supervisor, and region. Wait list workers and supervisors will be held accountable in their performance review for maintaining complete files and updating the database.
7. All May and November reviews must be completed and reported on by the first business day of June and December respectively.

**ON AN ANNUAL BASIS—THE WAITING LIST SURVEY:**

1. On the first business day of **January** each year, region data techs run a printout of the Waiting List database information—all individuals waiting for support. Lists are sorted by supervisor and wait list worker number and provide the name, address, telephone number, services needed, and priority of each person waiting. The Waiting List printouts are distributed to each wait list worker's supervisor.
2. Supervisors provide wait list workers with the printed Waiting List information for review prior to **January 10**. Wait list workers update missing or incorrect information on the paper copy.

3. Wait list workers return the hard copy to the supervisor. Supervisors ensure that each review has been completed. By **February 10** supervisors forward corrected lists to the region's data techs.
4. By the last business day in **February**, data techs review each list, make necessary changes to the database and forward the paper copy lists (those with the written changes) to state office staff.
5. On **March 15** of each year, region staff send a "Waiting List Survey Letter" (See Attachment A: Waiting List Survey Letter) and a "Waiting List Survey" (See Attachment B: Waiting List Survey Form [Sample]) to every person on the Waiting List asking the person to verify the information from the Waiting List database. (See Attachment C, "Process for Preparing and Disseminating Waiting List Survey.")
6. As completed Waiting List surveys are returned to the region office, region staff assign a number to each survey and write the number in the top right hand corner, enter the data into the Waiting List Survey database, place a checkmark in the top right-hand corner of the survey, indicating the survey data has been entered into the database and make a copy of the survey to keep at the state office. Region staff file the copy of the survey at the office and complete any necessary follow-up. By **April 20**, Region Directors gather, sort, and forward the original surveys to the appropriate wait list workers. Wait list workers follow up on surveys to the appropriate wait list workers. Wait list workers follow up on surveys as indicated by Region Directors and file surveys in the "Needs Assessment Form" section of the Person's record
7. Return to Sender Surveys due to Inaccurate Addresses: Two types of surveys are returned to sender: 1) those with forwarding addresses attached (yellow stickers) and 2) those without forwarding addresses. In the first case, region staff will enter the new address into the database and resend the survey to the new address. All envelopes with yellow stickers are set aside and forwarded to the appropriate wait list worker in the region so the Person's record and the Division database can be updated. Surveys returned without a forwarding address are noted on the database and returned to wait list workers who will resend the letter. If no new address is found for that person, the data tech will enter "unable to contact" in the person's data record on the survey database. By **May 30**, wait list workers complete follow up and/or send a Form 522 I and Form 490S to the last known address of all persons who cannot be contacted. Wait list workers file the unopened envelopes returned by the post office in the person's file as proof of region staff attempt to contact the person.
8. Reports: By **May 20**, the following three lists are generated by data techs and sent to wait list workers: 1) list of persons who asked to be removed from the waiting list; 2) list of persons requesting a change; and 3) list of persons who did not return a survey.
9. Letters to Wait list workers: Each wait list worker will receive a letter (See Attachment D: "Wait List Worker Letter") along with one or more of the three lists listed above in #10 above. The letter outlines required follow-up procedures. Wait list workers will also receive the completed surveys for their review and follow-up.
10. Survey Follow-Up Procedures: Data techs provide each wait list worker with at least one of four items: 1) auto-filled, blank surveys; 2) data regarding changes in needed services; 3) waiting list removal data, and/or; 4) completed surveys. Wait list workers complete each type as follows:
  - Auto-Filled Blank Surveys. Auto-filled, blank surveys are for individuals who did not respond to the original mail-out survey. Wait list workers review the person's auto-filled address listed on the blank survey to ensure it matches the most recent address in the file. If there is a more recent address for the person, provide the new address to data tech so that the address can be corrected on the database and the survey resent. If the person's address on the blank survey is

the most recent address in the files, the wait list worker contacts the person/ parent/guardian by phone, completes the survey over the phone, and returns the completed survey to the data tech in their region. If wait list workers are unable to locate individuals by phone, the wait list worker shall conduct an Internet search. If the person cannot be located, the wait list worker informs data techs so that attempts to locate the person can be documented in the survey record and the person's data record inactivated (removed from the Division's waiting list) until the person contacts the Division and asks that the waiting list data record be reactivated. Wait list workers record the attempts to contact the person in the person's record and list "unable to contact" as the grounds for removal from the waiting list and as the reason for termination from the waiting list on the Form 522I.

- Changes in Needed Services. Wait list workers review this information to determine how a person's needs have changed from the time of their initial intake. The fields labeled "Priority" and "Old" show the original services the person was waiting for and the fields "P" and "New" show the new services they are waiting for based on survey responses. Wait list worker notifies the data tech if there is reason NOT to update this information in the database as it appears on the printout. Otherwise, the State Office will update individuals' changes in need on the waiting list database to reflect survey responses.
- Waiting List Removal Data. The wait list worker receives a list of individuals who indicated they did not wish to remain on the waiting list. The wait list worker sends the person a Form 522I and 490S. The wait list worker notifies the data tech of the date Forms 522I and 490S are sent to each of these individuals. The letter accompanying Forms 522I and 490S should state that unless we hear from the person, s/he will be removed from the waiting list based upon their responses to the waiting list survey.
- Follow-up Activities. Follow-up should be recorded by the wait list worker in the Person's file and may include calling to get information from the respondent or to provide a referral to the respondent about non-Division services.

11. On **April 30** of each year, wait list workers will send a **Form 522I, Notice of Agency Action, and Form 490S, Hearing Rights**, to families who did not respond or reported that they no longer want to be on the Waiting List.
12. On **May 30** of each year, all persons who did not respond to the Form 522I will be removed from the Waiting List.
13. By **June 10**, each region's database management staff will update the Waiting List database and the record of each Person listed on the database. If needed, calls will be made to a Person/family for additional clarification.
14. By **June 15**, each region will submit a report to the Division Director/DLT that outlines the changes made to the Waiting List based on the survey results. The report shall include the following information:
  - # Waiting List Surveys mailed
  - # Waiting List Surveys returned
  - # Non-responses
  - # Respondents who want to be removed from Waiting List
  - # Respondents who requested a change in service
  - # Respondents who same services (= no change in services)
  - # Respondents with additional immediate needs
  - Count of post-survey numbers by service type and eligibility

**Attachment A:  
Waiting List Survey Letter**

[DATE]

Dear <<FIRST>> <<LAST>>, Parent or Guardian:

In December 2001, the State Legislature ordered an audit of the Division of Services for People with Disabilities (Division) waiting list. This audit identified issues with the reliability of waiting list data. As a result, at least once a year the Division needs to re-count the number of people waiting the costs of services needed. Please complete the enclosed survey and mail it back in the enclosed postage paid envelope. Our records indicate that you received this letter because you or your family member are waiting for funding from the Division. **Please return the survey by April, 20, [YEAR].** Your reply is necessary to maintain a place on the waiting list.

**If you do not return a completed survey by April 20, [YEAR], we will assume that you no longer require supports and will take your name or your family member's name off the waiting list on July 1, [YEAR].**

**We appreciate you returning the survey, even if you are no longer interested in receiving supports, so that we are certain you received your survey.**

The survey should take five to ten minutes to fill out. Your responses will be kept confidential and used to update information on the waiting list. Thank you for your help. If you have any questions, please call your assigned Division worker [Worker Name] at [Worker Phone]. Your assigned Division worker may call you in the coming weeks to ask more specific questions about your needs or your family member's needs. In addition, you may call your local family council for more information.

Definitions for terms used in the survey tool:

**Division** means the Division of Services for People with Disabilities, the state agency that pays for supports.

**Immediate Need** means any support service that you or your family member could use if it were available today.

**Future Need** means any support service that is not needed today, but will be needed at some time in the future. (e.g., a student who is currently age 16 may have a need for a day or employment support in six years at age 22.)

**Waiting List** means the database that stores the name, immediate support needs, priority, and demographical information of persons with disabilities seeking funding from the Division.

Sincerely,

George Kelner  
Acting Division Director

**Attachment B:  
Waiting List Survey Form (Sample)**

**Attachment C:  
Process for Preparing and Disseminating Waiting List Survey**

Data tech staff will develop a list of names for the Waiting List Survey and disseminate the survey using the following steps:

**Printing & Disseminating Waiting List Surveys**

1. Ensure that no data are missing in the following fields for each person on waiting list by using the missing data queries on the Division Access Database: Region, Office, Last Name, First Name, Middle Name, Street, Apt. City, State, Zip, Home Phone #, Date of Birth, Wait list worker Name, Wait list worker #, and WL Choice and Priority.
2. Ensure that all existing data have been updated by data techs and are current.
3. Print Waiting List Surveys for each region. In Division Access Database, go to: Switchboard/Waiting List tab/Make a List or Labels. Then, select appropriate choices (i.e. region) and click the "Waiting List Survey" button.
4. Print Letters. In Division Access Database, go to: Switchboard/Waiting List tab/Make a List or Labels. Then, select appropriate choices (i.e. region) and click on the "Waiting List Survey Letter" button. The Director's signatures will be scanned onto each letter and each person's address will be automatically printed on the back of the cover letter.
5. Mailing Surveys. Each person will receive: 1) a cover letter; 2) a survey; and 3) a postage paid envelope addressed to region office. Make sure the cover letter and survey are going to the same person. Fold the cover letter so that the person's address can be seen through each window envelope. Mail surveys through your office or, if you wish, State Mail.

**Attachment D:  
Wait List Worker Letter**

(Date)

**RE: Waiting List Survey / (Date)**

Dear (Wait list worker):

As you may know, in (Date), the State office mailed out (number) Waiting List Questionnaires to individuals waiting for Division services. Region office staff have finished reviewing each returned and completed survey, and survey data have been entered into the waiting list database. Although (\_\_\_percent) of the original surveys mailed out were completed and mailed back in, over ( \_\_\_ people) did not receive, or received but did not complete, a survey. We need your help to contact those who have not yet responded. Specifically, we need you to attempt to contact each person by phone, update their address and/or provide a completed survey for them. If you are unable to find the person, you need to send a Form 5221 or Form 490S, wait 30 days and if no response or contact is made, notify the data tech to remove the person from the waiting list.

With this letter you received the following:

(# completed surveys)

(# auto-filled, blank surveys)

(a list of # individuals who requested a change in needed services)

(a list of # individuals who requested to be removed from the waiting list)

Actions to take for each of these four items are outlined below:

Follow-up Activities. Follow-up should be recorded by the wait list worker in the person's file and may include calling to get information from the respondent or to provide a referral to the respondent about non-Division services.

Auto-Filled Blank Surveys. Auto-filled, blank surveys are for individuals who did not respond to the original mail-out survey. Please review the person's auto-filled address listed on the blank survey and make sure it matches the most recent address you have for them. If you have a more recent address for the person, give the new address to your regional data tech to correct the address on the database and resend the survey to that individual. If the person's address on the blank survey is the most recent address you have for them, please contact the person/ parent/guardian by phone, complete the survey over the phone with them, and return the completed survey to your data tech. Be sure to note in the person's record of your failed attempts to contact them and list grounds for removing them from the waiting list, as person is "unable to contact."

Changes in Needed Services. You may find with this letter a list of individuals who reported changes to immediate and/or future need. Review this information to determine how a person's needs have changed from the time of their initial intake and make sure that it is correct. After (Date), the DAD system administrator will update individuals' changes in need on the waiting list database to reflect survey responses.

Waiting List Removal Data. According to returned, completed survey data, (#) individuals indicated they did not wish to remain on the waiting list. If you are the wait list worker for any of these individuals, please review the person's information and notify the data tech before **(date)**, if, for any reason, the individual should be kept on the waiting list. Otherwise, we will remove these individuals from the waiting list 30 days after you have sent them a Form 5221 and 490S. These forms must be sent by (April 30), as all of these names will be removed from the waiting list on (July 1). Please state on Forms 5221

and 490S that unless we hear from them, they will be removed from the waiting list based upon their responses to the waiting list survey.

If you still have any questions about the items you received with this letter and needed actions, please contact me.

Sincerely,

(Supervisor)