INSTRUCTIONS FOR CREATING CASELOAD RATIO REPORTS

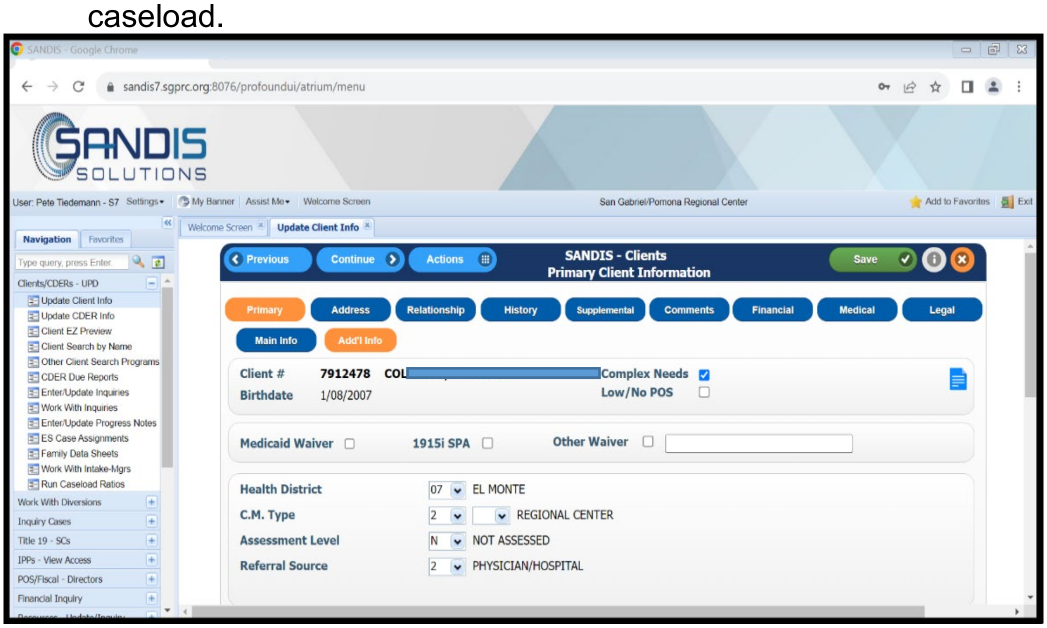
The instructions below are used to create Caseload Ratio Reports, as well as the supporting reports. The Caseload Ratio Report consolidates all ratio calculations into a single spreadsheet for the March 1, 2026 reporting. Additionally, listing of Low/No POS and Complex Needs caseloads will need to be submitted with the caseload ratio spreadsheet.

Due to the consolidation of all caseload ratios into one spreadsheet, it is necessary to make sure that all Low/No POS and Complex Needs individuals are correctly set up in SANDIS before running the caseload ratio reports.

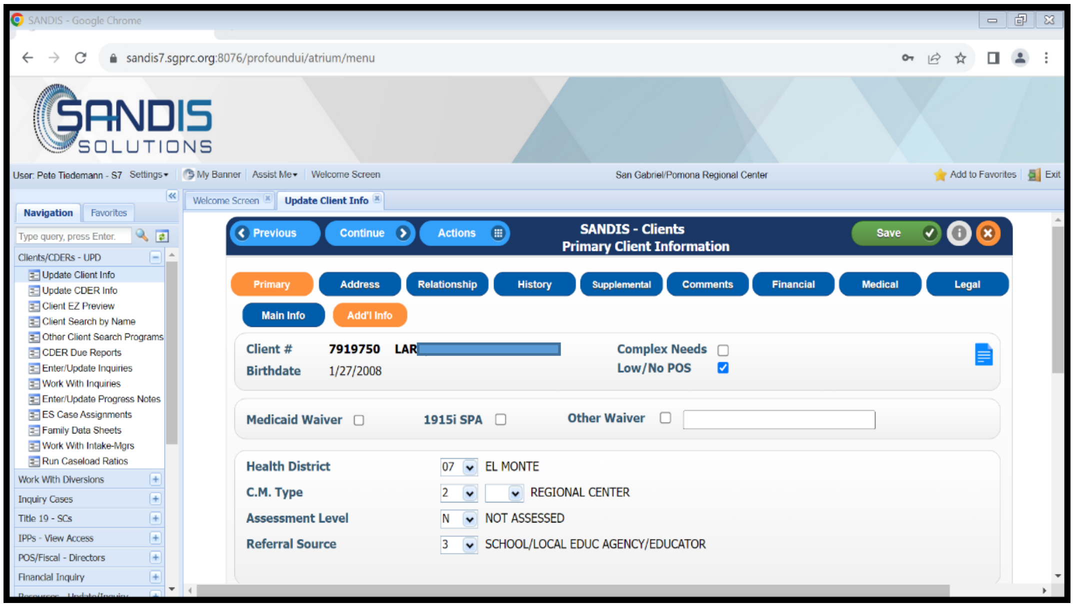
Additionally, with the changes to the caseload ratio reports it is no longer necessary to remove Low/No POS or Complex Needs individuals from columns on the caseload ratio worksheet as the query will handle that process automatically.

1. **Complex Needs Check Boxes:** Individuals on a Complex Needs caseload will have a box in SANDIS checked to indicate the individual is on a Complex Needs caseload. Each regional center will need to identify staff who have permissions to change the Complex Needs check box in SANDIS. Staff at the regional center will need to contact the designated SANDIS support person to establish authorization for specific staff to have permission to check the box for Complex Needs individuals.

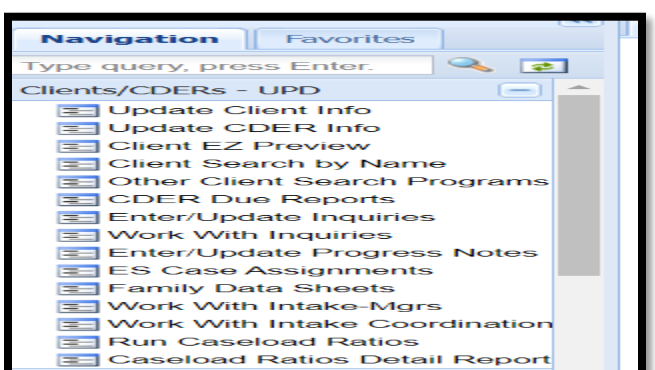
   From the SANDIS Update Client Info Menu Option, enter the UCI number for an individual on a Complex Needs caseload. Next click on the Add'l Info button and then check the Complex Needs box to the right of the individual's name. Click the green Save button. Repeat the process for all individuals that have complex needs. Run the query in step 9 below to generate a list of individuals on the Complex Needs caseload.



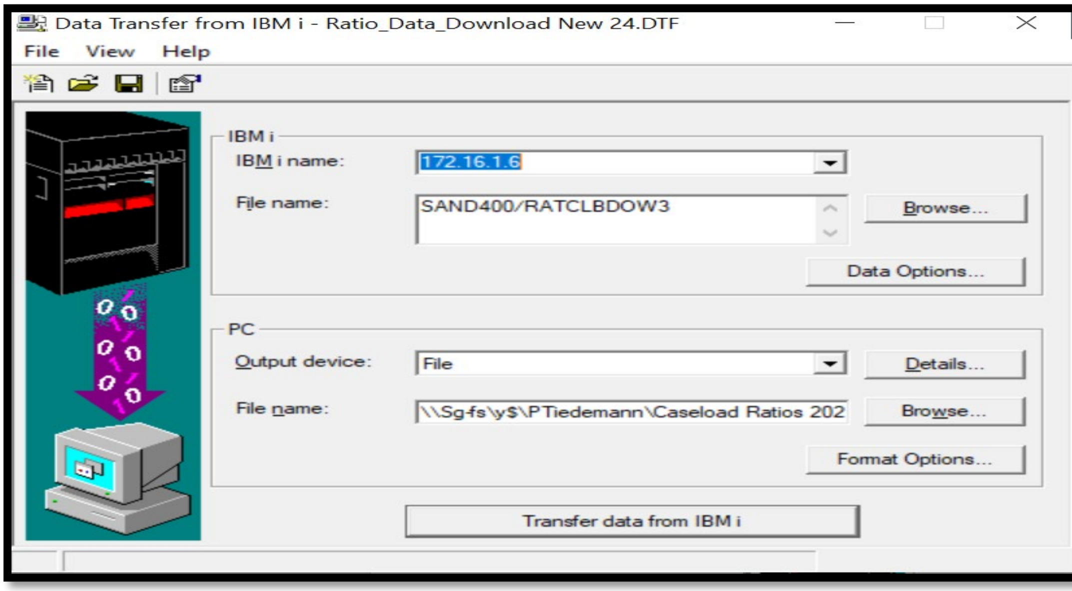
2. **Low/No POS Individuals**: Individuals on the Enhanced Service Coordination (ESC) caseloads will automatically have the Low/No POS flag set on the Add'l Info screen in SANDIS. Run the query in step 9 below to generate a listing of individuals that are on the Low/NO POS caseloads. If the Low/No POS individual listing is not correct contact the designated person at the regional center that sets up individuals for ESC and have them change the ESC status as necessary.



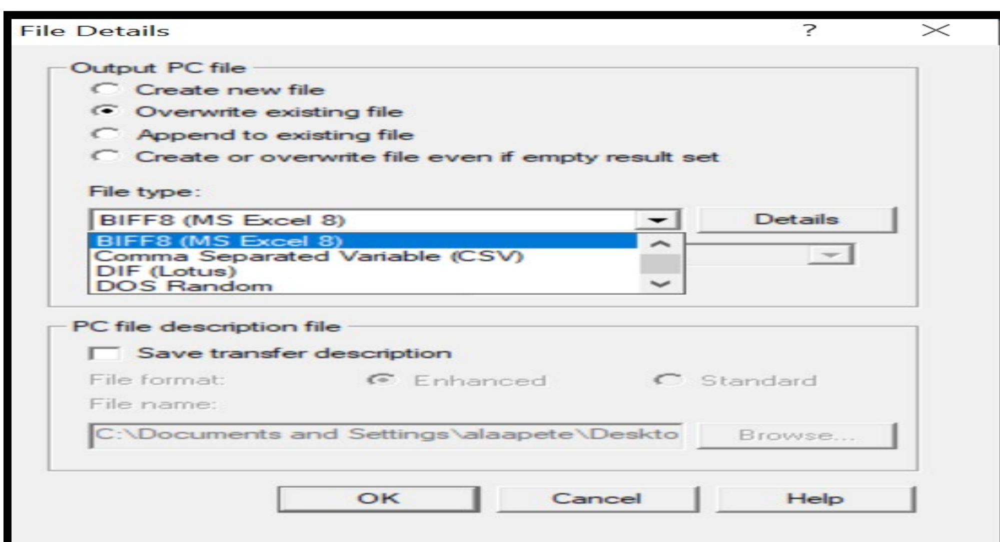
3. **Run Caseload Ratio Reports**: From the SANDIS Clients/CDERs – UPD menu click on **Run Caseload Ratios**. This process will run and generate a file of all the caseload ratios which needs to be downloaded to an Excel file in the next step. **Note: it may take a minute or two for this process**. The process is complete when the screen returns. The Caseload Ratio Reports run automatically on the first of each month on the job scheduler but can be run manually at any time.



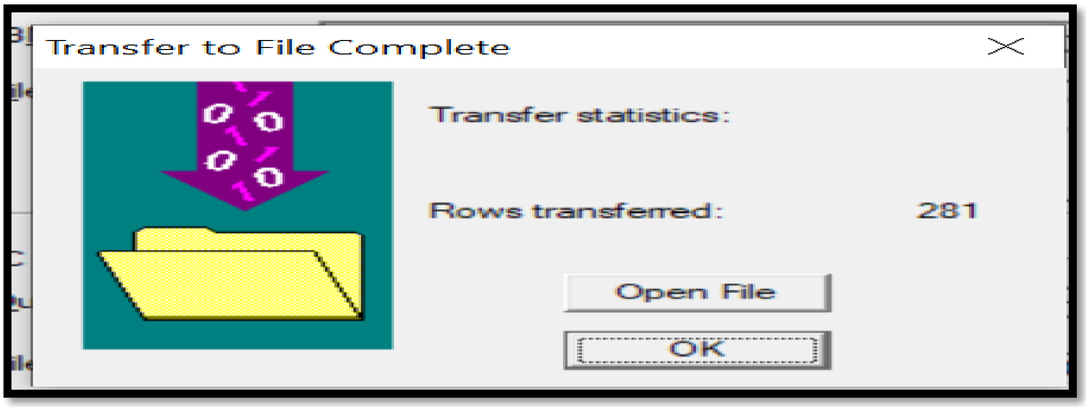
Download File: Run the File Transfer process to download caseload ratios to an Excel file. When the Caseload Ratio Reports are run in step 3 above a file called RATCLBDOW3 will be created. Use the Data Transfer Ffom IBM i to create a data transfer similar to the one below. The IBM i name IP address will need to be set to the IBM address for the regional center. The File name will be "SAND400/RATCLBDOW3" as shown below.



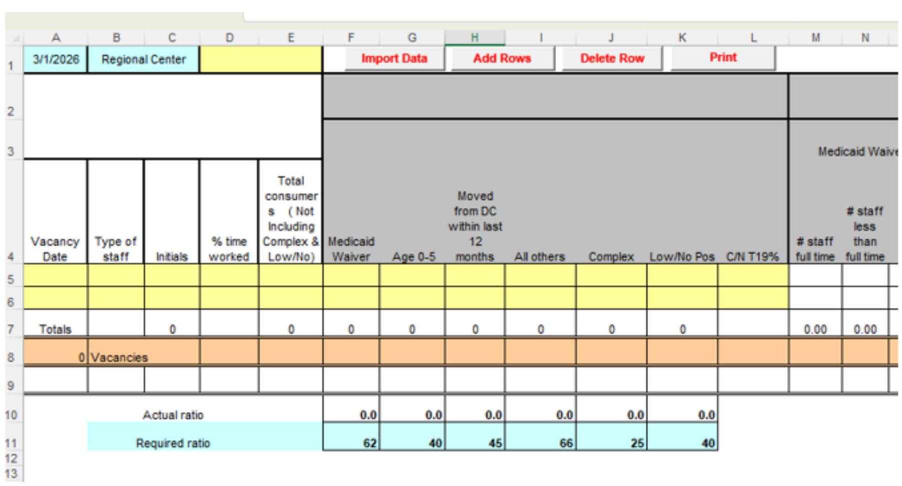
The Output device should be set to File. Click on the down arrow next to the Output device box and select BIFF8 (MS Excel 8). The File name can be set to whatever folder and file name desired. It is suggested that the output file name be Ratio_Data.xls.



Click the Transfer from IBM i button to download the file. When the process is complete a screen will appear with the option to Open File or click OK. Regardless of the selection the file will be saved in the folder as designated under PC File Name. Close the file transfer dialog box.



4. **Import Caseload Ratio Data –** Open Attachment C - Caseload Ratio Worksheet - March 2026 and the file created in step 3 above (Ratio_Data.xls). Click the Import Data button. Follow the prompts on the screen.
   Notes:
   1) Column L (C/N T19%) is the percentage of title 19 units that the service coordinator (SC) has for individuals with complex needs.
   2) Protection is turned on without a password. Click Review and Unprotect to turn off protection after the file is imported if necessary.
   3) If a message about security appears and macros cannot be run see step 17 below.



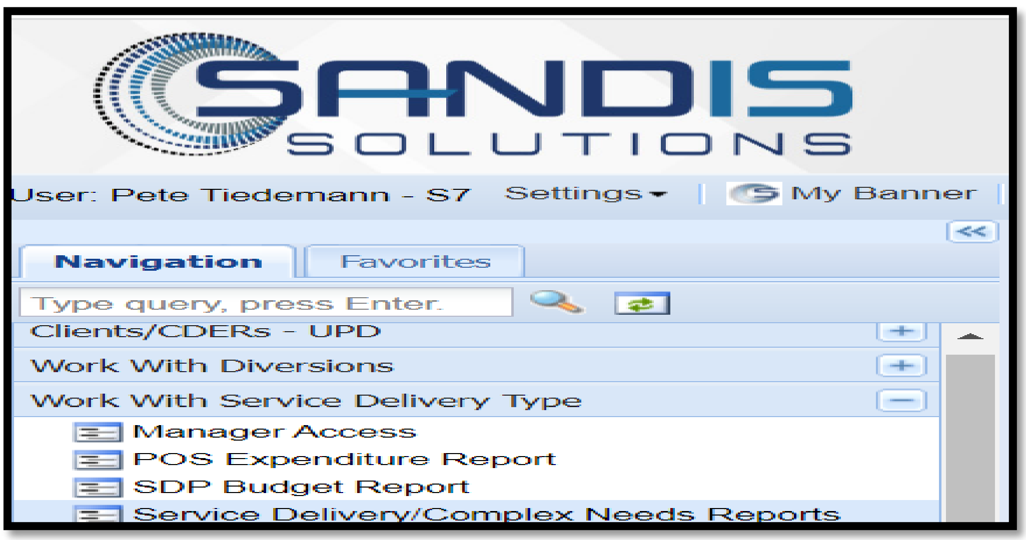
5. **Enter Vacancy Dates:** Once the data has been imported enter vacancy dates in column A for caseloads that do not currently have a SC. Upon entering the vacancy date, counts for the full-time

equivalency (FTE) will automatically calculate based on the vacancy date and type of individual.

6. **Enter Type of Staff:** Enter the appropriate code in column B. The type of staff is typically a SC or Other. There is a drop down box that can be used or simply enter SC and then copy to all other cells.

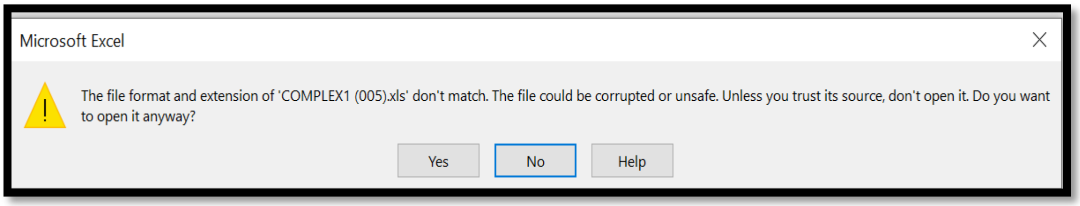
7. **Enter Percent time worked:** Enter the percent time worked for each staff in column D. In most cases this will be 100%. For any staff that work less than full-time enter that percentage. The information is needed to calculate the Full-Time Equivalent (FTE) number of staff.

8. **Run Low/No POS and Complex Caseload Queries**: From SANDIS click on the **Work With Service Delivery Type** option. Then select **Service Delivery/Complex Needs Reports**.

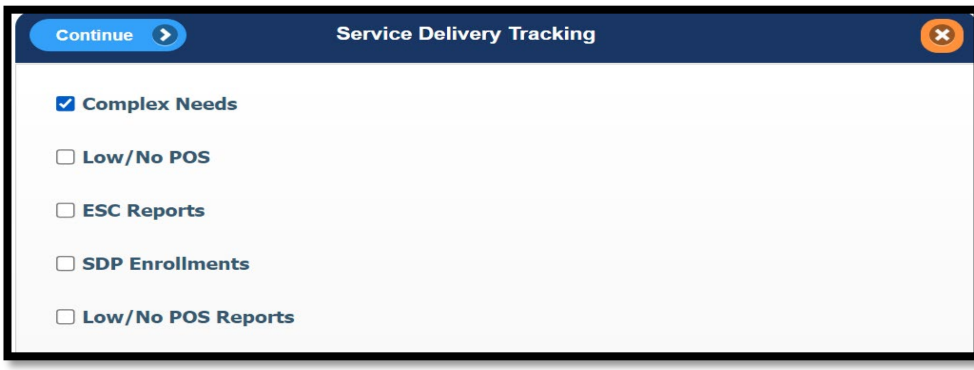


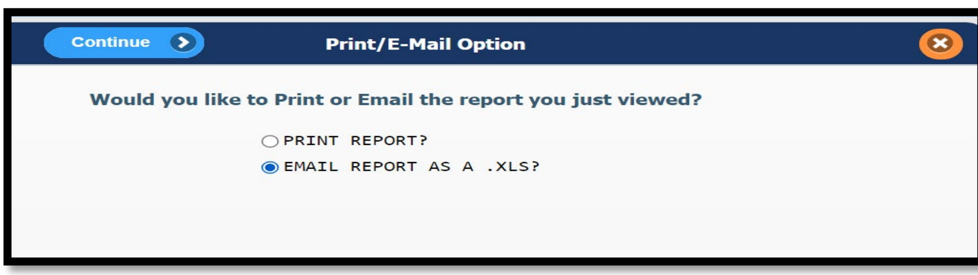
9. **Select Report:** Click the check box on either the Complex Needs or Low/No POS to generate a listing of individuals on these caseloads. <u>Note: check the Low/No POS option not the Low/No POS reports.</u> Once the box is checked click the Continue button or the Enter key to display the listing. When the listing displays on the screen it can be reviewed on the screen. Press the Continue button or the Enter key to download the report to Excel. An email will be sent with an Excel file attached. Run the process again for the Low/No POS individuals.

   An error message such as the one below may be received when the file is opened from the email. Click Yes and continue.

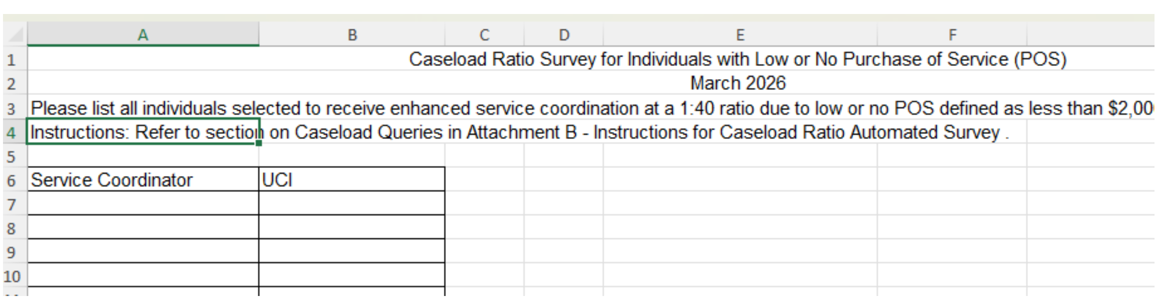


When both the Low/No POS and Complex needs files are received by email open the files and give them new file names such as Complex and Low_No_POS and make sure they are saved as an Excel file. Otherwise, they may be in a txt file format and cannot be uploaded to Attachments D or E.





10. **Upload Low/No POS client data to Attachment D:** Open the file sent by email of the Low/No POS individuals and Attachment D - Low or No POS 2026. From the listing of Low/No POS individuals created above in SANDIS, copy data starting in cell A2 through the end of column B that contains data to cell A7 in Attachment D. Save the file with a new name such as Low/No POS March 2026.xls



	A	B	C	D	E	F
1	Caseload Ratio Survey for Individuals with Low or No Purchase of Service (POS)					
2	March 2026					
3	Please list all individuals selected to receive enhanced service coordination at a 1:40 ratio due to low or no POS defined as less than $2,00					
4	Instructions: Refer to section on Caseload Queries in Attachment B - Instructions for Caseload Ratio Automated Survey .					
5						
6	Service Coordinator	UCI				
7						
8						
9						
10						

11. **Upload Complex Needs Individual data to Attachment E:** Open the file sent by email of the Complex individuals and Attachment E -

Complex Needs Client 2026. On Attachment E click the Import Complex Clients macro button. Enter the file name which should be Complex1.xls. Save the file with a new name such as Complex_POS_March_2026.xls. For each individual on the complex caseload list, one of the columns E-L must be checked to indicate how the individual qualifies as complex. Once this is completed the Last and First name columns can be deleted and the file saved with a new name before submitting to the Department.

UCIs Reported on March 2026 Caseload Ratio Survey for Complex Needs

Instructions: Refer to section on Caseload Queries in Attachment B - Instructions for Caseload Ratio Automated Survey.

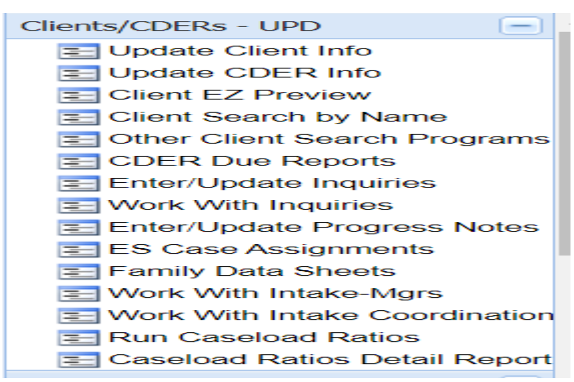
For each individual reported as having complex needs, mark a "1" in the column(s) that indicate the criterion/criteria each meets for WIC §4640.6(C). The UCIs listed in column A should match the UCIs listed in column A on the "Complex_Needs_Data" tab.

Import Complex

A	B	C	D	E	F	G	H	I	J	K	L
SC	UCI	Last	First	Receiving Mobile-Crisis Services (approved by DDS) or received within past 6 months	Receiving CAST or received within past 6 months	Currently placed in CCH pursuant to WIC §4698	Currently placed in STAR pursuant to WIC §4418.7	Placed in locked psychiatric facility or placed within past 6 months	Currently placed in an IMD (as decribed in Division 5, Part 5 commencing with §5900)	Currently placed out of state pursuant to WIC §4519	In county jail AND eligible for diversion or in county jail and found incompetent to stand trial

12. **Review Caseload Ratio worksheet:** Open the completed Attachment C - Caseload Ratio Worksheet – March 2026 created in step 5 above. Make sure that the total number of Complex individuals in column J agrees with the total number of individuals on Attachment E. Additionally, verify the total number of individuals in Low/No POS caseload in column M agrees with the total number of individuals on Attachment D. Verify the caseload ratio calculations at the bottom of the spreadsheet for accuracy.

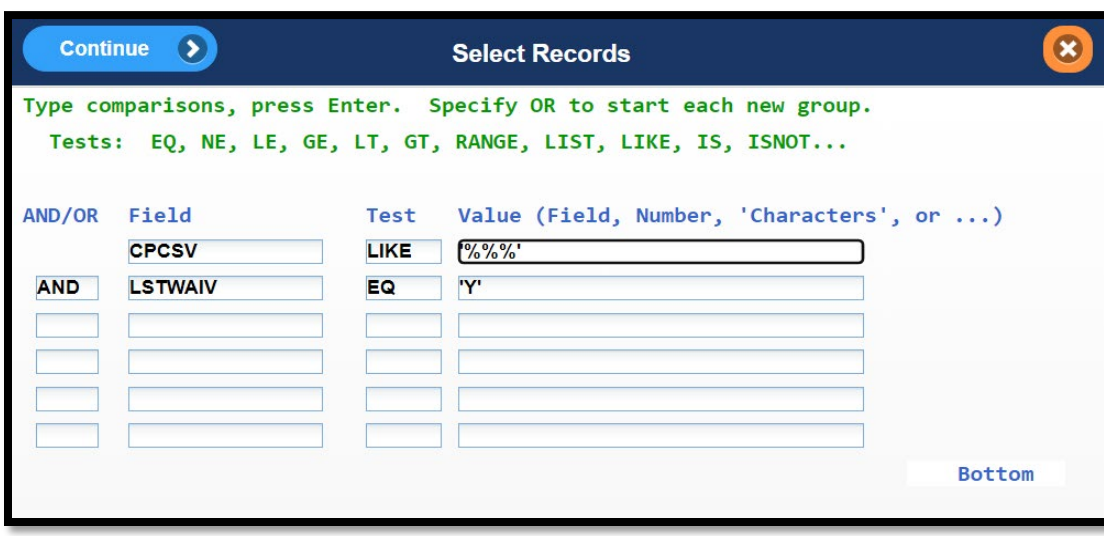
13. **Run Detail Reports**: Reports with detailed listing by individual UCI can be generated as back-up support for the summary counts on Attachment C. It is important to run the detail reports right after the Run Caseload Ratios. Click on **Caseload Ratios Detail Report** under the Clients/CDERS -UPD



Select the report to run by clicking on the box and click continue. It is suggested that each report be run separately and then the Full Detail report. By doing this there will be a separate Excel file for each category. The Full Detail Report shows all the categories in one report.

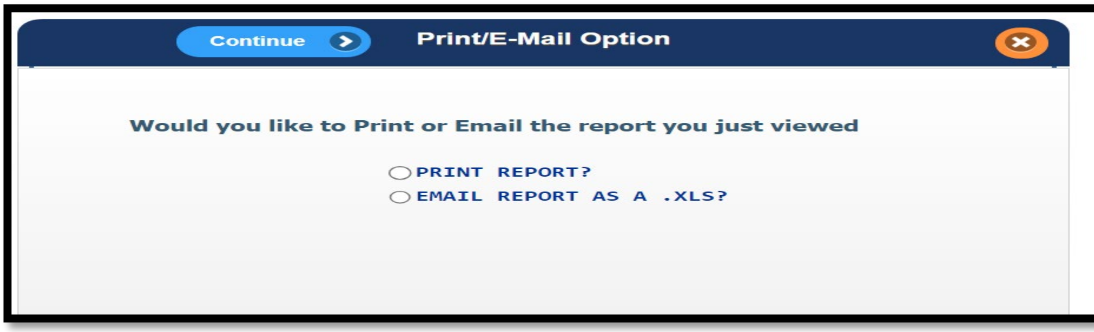
14. **Enter Selection**: Make sure there are three % symbols in the value column on the CPCSV line. The % symbols are wildcard characters and will pick up all staff with a caseload. If only one caseload is needed, change the test to EQ and enter the 3-character initial in single quotes. Press Continue.

    If the Full Report Detail is checked a blank screen will appear. It is not necessary to enter any criteria. Press Continue and the full report will appear on the screen. Pressing Continue again will provide the option to email the report to the user.



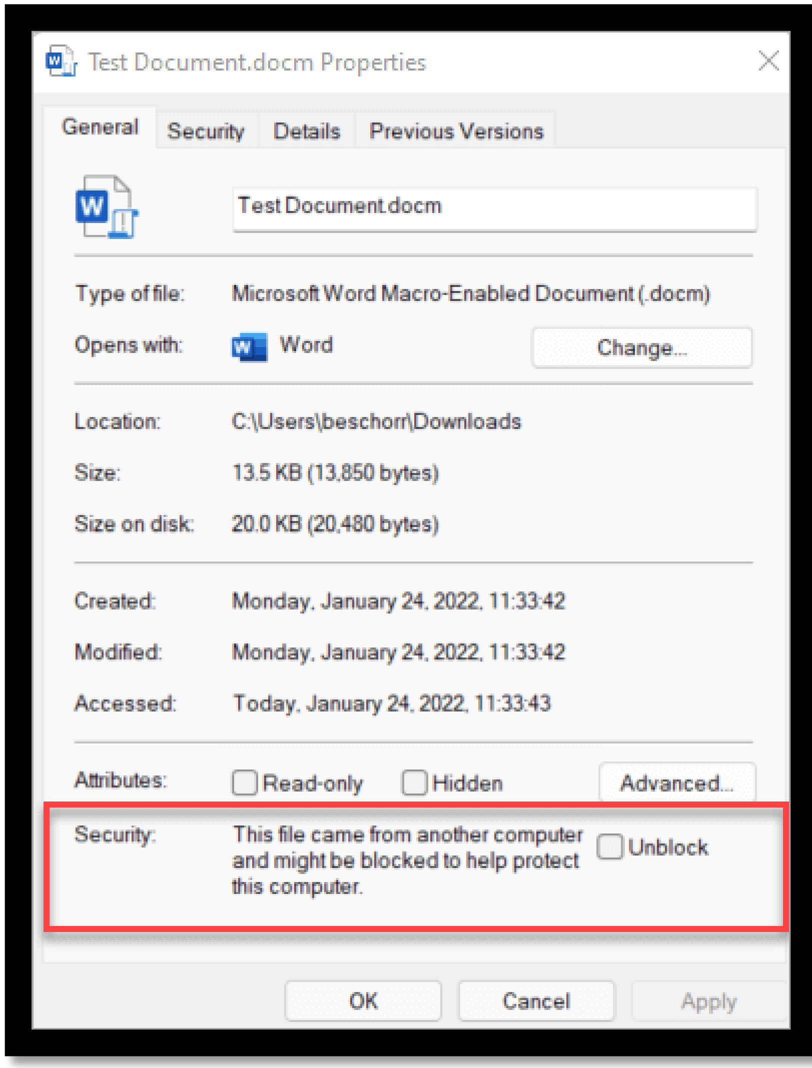
15. **Export File to Excel:** After viewing the output on screen click continue to print or create an Excel file. Click the **Email Report As A .XLS?** option. An email will be sent to the user and the Excel file can be saved. The total count of individuals should match the count of individuals on Attachment C for each of the columns. If any caseloads

need to be deleted from Attachment C make sure to make the same deletions on the detail reports.



16. **Archived Files:** Each time the Run Caseload Ratios program is run in step 3 above all the data files will be archived. The archived files are located in the ARCHLIB library with file names RATCLBD3AR and RATCLBDLAR. There are multi-member files which means the one file actually contains many files and each one is date and time stamped when it is created. Every user may not have access rights to the ARCHLIB as it may require IT staff provide access to these files if needed.

17. **How to Handle Macro Security Issues that may prevent Macros from running.** Excel Macro enabled files may not allow the user to run macros if the file is not digitally signed or if security is not unblocked. There are two ways to resolve this issue.
    1) **Digital Signature -** Regional center IT staff should be able to grant authority by attaching a Certificate of Authority (CA) to any macro-enabled worksheet and resave the file. When reopened it should allow access to run the macro and not show a security warning.
    2) **Unblock Security -** Open Windows Explorer and go to the folder where the worksheet file is saved. Right-click and choose **Properties** from the context menu. At the bottom of the General Tab, select the **Unblock** checkbox and select OK. Save the file and reopen.



For questions regarding the caseload ratio automated survey, please contact:

Community Operations Branch at
COB@dds.ca.gov