

Service Chapter: Administrative Procedures 448-01
Child Care Assistance Program 400-28

Effective Date: February 20, 2023.

Overview

Policy on case file maintenance and transfer is being updated to align with Eligibility Redesign efforts.

Description of Changes

Administrative Procedures 448-01

1. Definitions 448-01-10 – Change

A definition for 'Short Name' has been added.

2. Case File Maintenance 448-01-40 – Change

The title of this book is being changed to 'Electronic Document Management'.

3. Purpose of Case Files 448-01-40-05 - Change

Policy has been updated to reflect that case files are to be electronic and maintained in FileNet. Reference to County Social Services has been updated to Human Service Zone.

4. Securing Case File 448-01-40-15 - Repeal

This section is repealed.

5. Hard Copy Case File Organization 448-01-40-20 – Repeal

This section is repealed.

6. Electronic Case File Organization 448-01-40-25 - Change

The title of this section is being changed to 'Electronic Case Organization'. Reference to TECS and Vision are removed. Reference to the use of SSN for CCAP and LIHEAP is removed. The expected naming convention format is being updated.

7. Case File Transfers 448-01-40-40 – Repeal

This Section is repealed.

Child Care Assistance Program 400-28**1. Moving to Another County 400-28-127-10 – Change**

This section is being updated to remove reference to the SFN 700 'Case Transfer Log' and to remove language referencing policy in the Administrative Procedures 448-01 manual.

Policy Section Updates

Administrative Procedures 448-01

1. Definitions 448-01-10

Short Name – A short name is a numerical number assigned based on the document type. The list of short names can be located in the Economic Assistance Reference materials.

2. Case File Maintenance 448-01-40

~~Case File Maintenance~~ **Electronic Document Management** 448-01-40

3. Purpose of Case Files 448-01-40-05

~~Case-Electronic~~ files, ~~whether hard copy or electronic,~~ must be established and maintained in FileNet for applicants and recipients served by the Economic Assistance and Health Care Coverage Programs administered by the State Office or ~~county social Human Sservice~~ Zone Offices. ~~Case-F~~files must include all supporting documents relevant to eligibility determinations.

The case file also:

1. Provides historical data on eligibility determinations;
2. Supports the state and federal funds paid to ~~county social service-Human Service Zone~~ offices and the Department;
3. Provides a basis for supervision by county social services offices and the Department supervisory staff;
4. Facilitates administrative reviews or audits conducted periodically by federal, state and county staff;
5. Aids the gathering of information for special surveys and reports as requested by federal, state and county staff;

6. Provides the Quality Control reviewer easy access to eligibility data;
7. Provides accurate, up-to-date information used in making referrals to other agencies;
8. Facilitates the transfer of administrative responsibility for Basic Care Assistance, Child Care Assistance, Health Care Coverage, LIHEAP, SNAP or TANF cases from one county or eligibility worker to another; and
9. Provides an additional method for identifying staff training needs.

4. Securing Case File 448-01-40-15

~~Case files are the property of the county or Department and must be kept confidential in a secure area at all times. Locked files provide the best safeguard against loss or damage.~~

~~Case files containing Federal tax information received through the IEVS interface must be labeled with "Federal Tax Information" on the front of the file. The case file must also have a separate tab for the Federal tax information received through the interface. A list of all case files containing Federal tax information received through the interface must be maintained by each office. This list must contain the case number, applicant or recipient's name, and if the case is open, closed, or disposed.~~

~~Staff must not remove portions of the records from the case file and must not remove the case file from the office unless staff have been subpoenaed to appear in court and the case record is a necessary source of data;~~

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- ~~1. Staff have been subpoenaed to appear in court and the case record is a necessary source of data;~~
- ~~2. The eligibility worker is meeting with an applicant or recipient outside of the office;~~

- ~~3. The case file is being transferred to another county or to the state office;~~
- ~~4. A fair hearing is held elsewhere, other than the county office; or~~
- ~~5. Quality Control or the Department requests the file.~~

5. Hard Copy Case File Organization 448-01-40-20

~~Case files must include all supporting documents and a case file narrative relevant to eligibility determinations, including system screen prints of information that cannot be retrieved from TECS or Vision.~~

~~Case files must be organized to ensure convenient access and uniformity when used by county staff, Quality Control, state staff and when transferring from one worker to another.~~

~~To ensure uniformity, it is recommended case file documents be separated by tabbed dividers, into the following classifications.~~

LEFT SIDE	RIGHT SIDE
BUDGET	NARRATIVE
MONTHLY REPORT APPLICATION REVIEW	CORRESPONDENCE - -
MED SOCIAL REVIEW - - -	JOBS WORK REGISTRATION BEST
VERIFICATION SUBFILE FOR IDENTITY, CITIZENSHIP, BIRTH, AND SSN	ADDITIONAL FORMS - - -
LEGAL	IEVS
CLAIMS/IPVs	MISCELLANEOUS

~~RECOMMENDED CASE FILE ORGANIZATION~~

6. Electronic Case File Organization 448-01-40-25

Electronic case files can be accessed through FileNet, which is a web based application. Electronic case files must include all supporting documents relevant to eligibility determinations. ~~, including system screen prints of information that cannot be retrieved from TECS or Vision.~~

~~Case files must be organized to ensure convenient access and uniformity when used by county staff, Quality Control, state staff and when transferring from one worker to another.~~

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To ensure uniformity, electronic case file documents must be stored using the defined Short Name.

The standard naming convention must be used when scanning and storing all documents in FileNet. The standard naming convention consists of:

- The document should be titled to identify what it is. For example: if a paystub is received from Walmart the document should be titled Walmart Pay Stub and include the date on document in month and year format this does not include the date received. ~~For CCAP and LIHEAP cases, use the SSN of the applicant since they are not assigned a case number.~~
- ~~The defined short name followed by an underscore. Definitions of the short name can be found on the County Intranet, in the Scanning Project folder under County Social Services.~~
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- ~~The date a document is created by the county or the date information is received in the county office followed by an underscore.~~
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- An optional field.

An example of the naming convention ~~for a birth certificate:~~ for the Walmart Pay Stub would be:

~~12345_20_11152011_JohnJr.tif~~

Walmart Pay Stub_MMYYYY

7. Case File Transfers 448-01-40-40

~~When a household moves from one county to another, the case file must be transferred to the new county, unless the household indicates they would~~

~~like their case maintained in a different county, with the exception of LIHEAP. For LIHEAP, the household must reapply in the new county.~~

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~~Case files must be transferred in a timely manner to allow the receiving county an opportunity to review the case. The sending county must ensure the case file and narrative is up to date and all outstanding issues such as IEVS alerts, overpayments and underpayments are completed.~~

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~~**NOTE: If the case is not up to date or there are outstanding issues, it is recommended the receiving county work with the sending county to resolve the issues taking into consideration what is in the best interest of the recipient.**~~

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~~Prior to transferring case files (including all volumes) all unnecessary information must be destroyed. See 448-01-40-45-10 Case File Destruction for policy on destroying case file documents. Do not include copies of notices or budgets that are available in TECS and Vision that do not include additional documentation.~~

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~~All actions on the SFN 700 Case Transfer Log must be completed and included with the case file when transferred. Any special case circumstances must be included on the Case Transfer Log.~~

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~~Once the case file is ready for transfer, the cases in the eligibility systems must be transferred. A notice of transfer is automatically sent to the household when the case is transferred.~~

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~~County social service offices must maintain an up-to-date log or inventory of incoming and outgoing cases.~~

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~~Hard copy case files will normally be transferred by certified mail, although a physical transfer may be cost effective in some instances. When sending by certified mail, a receipt stamped with the date of mailing is received. The receipt includes a unique article number used to verify delivery online. The online verification of delivery must be printed, attached to the original receipt and maintained.~~

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~~When a case transfers from a county with electronic case files to a county who does not have electronic case files, the county who does not have electronic case files must use the information in FileNet up to the date they received the file. From the date they receive the electronic file and forward, the county who does not have electronic case files must create a hard copy file and include only information received from that point forward. Information stored in FileNet must not be printed off and placed in the new hard copy file.~~

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~~**Note: Requests for access to FileNet must be submitted to the Information Technology Services Unit of the Department.**~~

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~~For specific program policies on case file transfers, see program policies:~~

- ~~• SNAP 430-05-67-30, Household Moves to a New County Within the State~~
- ~~• TANF 400-19-75-40-25, JOBS or Tribal New Participant Moves to Another County~~
- ~~• CCAP 400-28-127-10, Moving to Another County~~
- ~~• LIHEAP 415-40-30, Transferring a Case to a Different County and 415-15-05-30-10 Transferred Cases (Reapplication)~~

Child Care Assistance Program 400-28

1. Moving to Another County 400-28-127-10

When the household has moved to another county, the case file will be transferred to the new county and eligibility will remain the same if no mandatory changes were reported that need to be acted on.

The caretaker may report to either the receiving or the sending county that they are moving or have moved. The county to whom the caretaker reported the move is responsible to inform the family what is needed to allow assistance to continue based on the family's circumstances.

~~Transferring the case file to the new county will include use of the SFN 700, "Case Transfer Log" (in 448 manual).~~

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~~Consistent with Service Chapter 448, the eligibility worker from the sending county is responsible to complete any unresolved actions in the individual's case prior to transferring the file to the receiving county.~~