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POLICY TRANSMITTAL NO. 05-17	DATE: MARCH 31, 2005
FAMILY SUPPORT SERVICES DIVISION	DEPARTMENT OF HUMAN SERVICES OFFICE OF PLANNING, POLICY & RESEARCH

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TO: ALL OFFICES

SUBJECT: MANUAL MATERIAL

OAC 340:65-1-3.

EXPLANATION: OAC 340:65-1-3 Instructions to Staff are revised to clarify what must be documented in Family Assistance/Client Services (FACS) Case Notes.

Original signed on 3-30-05

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Mary Stalnaker, Director  
Family Support Services Division

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WF # 05-F (NAP)

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## **INSTRUCTIONS FOR FILING MANUAL MATERIAL**

OAC is the acronym for Oklahoma Administrative Code. If OAC appears before a number on an Appendix or before a Section in text, it means the Appendix or text contains rules or administrative law. Lengthy internal policies and procedures have the same Chapter number as the OAC Chapter to which they pertain following a “DHS” number, such as personnel policy at DHS:2-1 and personnel rules at OAC 340:2-1. The “340” is the Title number that designates DHS as the rulemaking agency; the “2” specifies the Chapter number; and the “1” specifies the Subchapter number.

The chronological order for filing manual material is: (1) OAC 340 by designated Chapter and Subchapter number; (2) if applicable, DHS numbered text for the designated Chapter and Subchapter; and (3) all OAC Appendices with the designated Chapter number. For example, the order for filing personnel policy is OAC 340:2-1, DHS:2-1, and OAC 340:2 Appendices behind all Chapter 2 manual material. Any questions or assistance with filing manual material will be addressed by contacting Policy Management Unit staff at (405) 521-3611.

### **REMOVE**

340:65-1-3

### **INSERT**

340:65-1-3, pages 1-5, revised 4-1-05

**340:65-1-3. Case records ■ 1**

The purposes and objectives of the Agency are carried out on a case-by-case basis. The decision on each case must be based on facts, be free of error and prejudice, fair to the individual, and within the law and Agency policy. The case record is the means used by the Agency to document the factual basis for decisions.

**INSTRUCTIONS TO STAFF**

1. (a) **Definition of Family Support Services Division (FSSD) case records.** The case record is an accumulation of material required to document a client's eligibility for and receipt of assistance. The case record includes information in the county office, working and history records, and all electronically maintained data. Oklahoma Department of Human Services (OKDHS) retains these records for legal requirements and audit purposes.

(b) **Family case record maintenance.** A separate record for each family case is maintained in the county office. The maintenance of the family case record is the responsibility of the worker and supervisor to whom the case is assigned.

(1) **Electronic information is maintained in the Family Assistance/Client Services (FACS) and PS-2 computer systems. The worker uses FACS for processing applications and case actions, and FACS Case Notes for case documentation.**

**(A) Case Notes are not shared with the client or anyone outside of OKDHS except:**

**(i) when required by a court order, a copy of Case Notes is printed for use in court; and**

**(ii) when requested by a client who has requested a hearing, a copy of Case Notes is printed and given to the client.**

**(B) Case Notes must:**

**(i) describe how eligibility, continuing eligibility, or ineligibility was determined, what verification was used, and how income was calculated;**

**(ii) record all case actions taken and the reason for the action;**

(iii) record information concerning a client's participation in the Address Confidentiality Program (ACP) administered through the Oklahoma Secretary of State's office. No information is recorded about the location of the client's residence. Any written communications with the client are sent to the ACP address and documented in Case Notes;

(iv) record the date of any referral.

(I) For Child Welfare (CW) referrals, the worker documents any information given to CW. If contacted by CW, the worker documents the date of the contact and any information affecting the FSSD case record, but does not record any confidential information provided by CW;

(II) For Adult Protective Services (APS), mental health, substance abuse or other types of referrals, the worker documents details supporting his or her decision to make the referral. If contacted by APS, the worker documents the date of the contact and any information affecting the FSSD case record, but does not record any confidential information provided by APS; and

(v) record all client contacts, whether initiated by the worker or client, and the:

(I) date of the interview;

(II) name of person being interviewed;

(III) location of the interview;

(IV) purpose of the interview; and

(V) information obtained.

(2) Printed material concerning a specific family case is kept in a folder labeled with the case name and number. A folder is not required for filing applications or other material associated with the Disaster Food Stamp Program (DFSP). If there is no existing case record, DFSP material may be filed numerically in an area designated for that purpose. When the printed material in a case record is out-of-date or the volume of data becomes

cumbersome, a history folder is started. The folder tab of the working record is marked Working and the folder tab of the history record is marked History. The working record is not designated as Working until a history record is created.

(A) All printed case material is grouped in sections within the case folder. Appropriate sections must be maintained in the working and history records. The material in each section is arranged chronologically from front to back so it may be read book-wise. Each section is fastened in the upper left hand corner. Material removed from the working record is placed in the corresponding section in the history record.

(B) The worker to whom the case is assigned and his or her supervisor are responsible for determining which sections listed in (i) through (viii) of this Instruction to Staff are appropriate for a specific case and maintaining those sections in the working and history records.

(i) Permanent section. This section contains material relating to the non-variable factors of eligibility. It includes, but is not limited to, information regarding Social Security numbers, United States Citizenship and Immigration Services cards, birth certificates, and divorce decrees. This section remains in the working record.

(ii) Application and redetermination section. This section contains all forms, correspondence, copies of verification, and notices required for determining eligibility for Temporary Assistance for Needy Families (TANF), Food Stamps, Child Care, State Supplemental Payment (SSP), Medical Assistance, Early and Periodic Screening, Diagnosis, and Treatment (EPSDT), Children with Special Health Care Needs (CSHCN), Supplemental Security Income-Disabled Children's Program (SSI-DCP), and Low Income Home Energy Assistance Program (LIHEAP). Income and resource information are also filed in this section. The appropriate application forms and changes between certifications remain in the working record for one year. For cases with periodic redeterminations of eligibility, the working record always contains the current application form and the last redetermination.

(iii) Employment and training section. All material applicable to participants in TANF Work or the Food Stamp Employment and

Training Program is filed in this section. Copies of Flexible Fund authorizations are also filed in this section. Various time sheets and letters to the client may be converted to the history record after one year.

(iv) Medical section. When disability, blindness, or incapacity is a factor of eligibility, or when a request is made for personal care, ADvantage Services, nursing care services, EPSDT, CSHCN, or SSI-DCP, a medical section is established. This section includes medical reports, medical social summaries, authorization for examinations and equipment, and correspondence between the county and the Oklahoma Health Care Authority, Level of Care Evaluation Unit. Information may be transferred to the history record when the material is no longer pertinent to the client's eligibility.

(v) Social service section. This section contains information for resolving problems related to all family services. Also included is information pertaining to child or adult protective services and Home and Community-Based Waiver Services (HCBWS) and copies of support services funds authorizations.

(vi) Fair hearing section. All material relating to a hearing is maintained in the working record for one year from the hearing decision date and then transferred to the history record.

(vii) Overpayment section. This section contains all information pertaining to overpayments. All material relating to overpayments which have not been paid in full are retained in the working record. The material converts to the history record only after the total overpayment is reimbursed.

(viii) Narrative section. Existing narratives are retained in this section of the working record.

(c) Filing system. The maintenance and operation of the county filing system is the responsibility of the county director or designee.

(d) Information only material. This material includes records of inquiries which are not classified as requests for services and correspondence regarding persons not known to OKDHS. It is filed alphabetically. The earliest material regarding a given person is filed on top and the reply, as well as

**subsequent inquiries, are attached in chronological order. When there is an existing case record or when one is established, the information only material is filed in that case.**