



# 1507-1 Case Notes

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| <b>Supersedes:</b>             | FAIM, FMA, FS and MA 1507-1 (10/01/02)  |
| <b>References:</b>             | 45 CFR 206.10; 7 CFR 273.12 and 273.2 (f); ARM 37.82.101 & .78.102  |
| <b>Overview:</b>               | <u>GENERAL RULE</u> --Case files must be documented on system case notes to support actions taken and decisions made concerning eligibility/benefit determination and current status of the case. Documentation must be in sufficient detail for a reviewer to determine the reasonableness and accuracy of the actions taken.  |
| <b>DEFINITION</b>              | A clear, concise, complete, objective journal entry of significant facts, which justify actions taken, and supports eligibility decisions made by Eligibility Staff and case management actions by WoRC staff.  |
| <b>LEGAL RECORD</b>            | <p><b>Case notes are a legal record of the Department's actions.</b></p> <p>They have been used as evidence in various settings including DPHHS fair hearings and Program Integrity fraud prosecution/Administrative Disqualification Hearings.</p> <p><b>Case notes serve the following purposes:</b></p> <ol style="list-style-type: none"> <li>1. Chronicle a series of events;</li> <li>2. Summarize non-financial and financial eligibility requirements;</li> <li>3. Outline actions in cases of noncompliance;</li> <li>4. List types and results of referrals;</li> <li>5. Describe development and progress of FIA/Employment Plan (EP) activities;</li> <li>6. Monitor compliance with eligibility and FIA/EP or SNAP Employment and Training (SNAP E&amp;T) requirements;</li> <li>7. Record TANF Cash Assistance and FS ABAWD time-limits; and</li> <li>8. Document the family's progress in finding alternatives to public assistance, identify barriers to employment and how they were addressed. Identify and facilitate the family's access to services.</li> </ol> <p>Case notes are extremely important to document services provided to households with less than 12 months remaining on their time clock and for determination of TANF Extended Benefits. Good documentation of activities, successes and failures will have an important bearing on the determination of benefits beyond 60 months.</p> |
| <b>CASE NOTE ACCESSIBILITY</b> | <p>Upon request, case records, including case notes, are available to the filing unit and/or, if a release is provided, to their authorized representative. Case notes may also be viewed by other individuals involved in the eligibility determination such as the WoRC Case Managers, Policy Specialists, Program Compliance Auditors, Regional Quality Assurance Reviewers, SNAP Employment and Training Case Managers, etc.</p> <p>Many Department personnel have system security allowing inquiry only. These individuals have security clearance to review case notes and investigate the case circumstances and all information as part of their job duties. These duties may include:</p>  |

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|                                     | <ol style="list-style-type: none"> <li>1. Third-party liability information;</li> <li>2. Fraud and recovery;</li> <li>3. Program compliance;</li> <li>4. Time clock adjustments;</li> <li>5. Fair hearings;</li> <li>6. Fiscal data;</li> <li>7. TANF out-of-state inquiries;</li> <li>8. Policy clarifications;</li> <li>9. Federal reporting requirements; and</li> <li>10. System programmer adjustments.</li> </ol>   |
| <b>AMENDING CASE NOTES/SECURITY</b> | <p>Certain individuals engaged in administering public assistance programs and case management have system security that allows them to record their specific actions. These individuals are:</p> <ol style="list-style-type: none"> <li>1. Office of Public Assistance (OPA) eligibility staff;</li> <li>2. WoRC/FSET Case Managers;</li> <li>3. Specific regional and Central Office staff;</li> <li>4. System programmers; and</li> <li>5. Claims and Recovery Unit staff.</li> </ol> <p>Case notes are a legal record of case history. A case note should only be changed or updated by the original author the same day it is entered. If it is later determined an error was made in a case note, an <b>amended case note</b> needs to be entered to document the change or correction.</p> <p><b>Medical conditions should not be listed unless required for eligibility purposes and even then general terms should be used. e.g. blind</b> (See 801-2 for guidance on TANF at-risk/extension case notes.</p> |
| Date Revised                        | January 1, 2006   |