Department of Public Health and Human Services FAMILY RELATED MEDICAID	Section: CASE MANAGEMENT Subject: Case File Organization

Supersedes: TANF, FMA, MA and FS 1511-1 07/01/03

GENERAL RULE--A case record for each household/filing unit must be maintained. Information must be organized in each file using all applicable divider(s). Specific dividers required for each case will be dependent upon the program(s) for which application is being made and the type of information submitted.

MANILA 2-PART FOLDER: **Although use of the 6-part classification folder in all Offices of Public Assistance is strongly encouraged,** manila file folders can be used internally as long as each file is organized with the appropriate divider(s) in the order listed below.

Classification folders must be used for all case transfers.

Left Side		**Right Side**
Divider 1	Shelter	FIA
Divider 2	Work Reg. (FS)	E & T/WoRC
Divider 3	ABAWDS	Cash Assistance (TANF/FAIM)
Divider 4	Reports	Child Care
Divider 5	Income	Emergency/Gen. Assistance
Divider 6	Resources	Correspondence
Divider 7	Permanent Documents	Child Support
Divider 8	Integrity/Fraud	Medical
Divider 9	Refugee Cash/MA	Application Assistance

CASE TRANSFER **Use of a 6-part classification folder is required when transferring a case to another Office of Public Assistance (OPA)**. Manila folders cannot be used when transferring a case. **(See section 1512-1.)**

Exception: When a case has only been open to the following Medicaid program(s) in the last 12 months a 2-part classification folder can be used:

- Waiver Medicaid (WA, WD, WO);
- SSI Medicaid (SD, SB, SA);
- Nursing Home Medicaid (IA or ID);
- QMB (QMQA, QMQB, QMQD); or,
- SLMB (SLSL, SLQ1)

2-PART CLASSIFICATION FOLDER

A 2-part classification folder is allowed for the above listed exceptions.

Manila folders cannot be used when transferring a case to another **OPA.** The case records must be in a classification folder, which is made from heavier paper stock. File all documents under the applicable dividers in the order listed below:

	Left Side	**Right Side**
Divider 1	Reports	Correspondence
Divider 2	Income	Medical
Divider 3	Resources	Refugee Cash/MA
Divider 4	Permanent Documents	Application

6-PART CLASSIFICATION FOLDER

Offices are strongly encouraged to use 6-part classification folders for all cases not listed above. However, a 6-part classification folder is only required when the case is being transferred to another OPA.

File all documents under the applicable dividers in the order listed below:

NOTE: The following is not an all-inclusive listing of documents that may be included in individual case files, nor are all documents listed required for each program. Refer to individual program manuals for specific policy regarding required verifications.

SECTION I

Tribal Commodities (FDPIR) verification is filed on top of the work registration section.

Divider 1: **Work Registration (Food Stamps)**

a. Work Registration Form (HCS-543-A);
b. Work registration disqualification and good cause verification;
c. FSET referral form (HCS/FS-001);
d. FSET participation verification; and,
► e. Request for Medical Evaluations for Food Stamp Program (HCS-208).

Divider 2: **ABAWD**

a. ABAWD exemptions list (HCS-545);
b. ABAWD exemption verification; and,
c. ABAWD tracking verifications.

SECTION II

Divider 1: **Reports**

a. Transitional Medicaid quarterly report;
b. Change reports (HCS-260); and,
c. Food Stamp Six-Month Report (HCS/FS-008).

SECTION III

NOTE: Medical Expense verifications are to be filed in Section VI under Divider 3.

Divider 1: **Expenses** (non-medical)

a. Rent/mortgage receipts and/or statements;
b. Separate household status form/statement;
c. Taxes and insurance verification (if separate from the mortgage);
d. Utility verification;
e. Dependent care expense verification; and,
f. Child support expenses (legally obligated child support)

SECTION IV

Divider 1: **Income**

a. Earned income (wages, pay stubs, self-employment);
b. Unearned income (verification of Social Security, Veterans Administration, Workers' Compensation, Unemployment Insurance or Compensation, gifts, etc.);
c. Employment record;
d. Man/woman-in-home contribution statement;
e. Self-employment record;
f. Report of employment income (HCS-242);
g. Wage match reports;
h. School grant/loan verifications;
i. Tribal General Assistance verification;
j. Job offer/lay-off letter;
k. IIM (Indian Income Money) accounts;
l. Lease income/per capita income; and,
m. Loan statement.

Divider 2: **Resources**

a. Bank statements (checking, savings, CD);
b. Agreement to Sell Property (HCS-97);
c. Burial Designation (HCS-470);
d. Contract for deed offer/refusal/value estimate;
e. IIM accounts not being counted as income;

f. Life insurance;
g. Irrevocable burial agreement;
h. Property deeds;
i. Vehicle registration/title or P-Justice print out, equity value; and,
j. Wills/probate documents.

Divider 3: **Permanent Documents**

NOTE: Not all the forms listed are required. However, if they are provided they are to be filed in this section.

a. Authorization to Release Information/confidentiality forms;

NOTE: When the HCS-102, "One Time Only Authorization to Release Information", is used to collect medical information, the HCS-102 and the medical information received are stapled together and filed here.

b. Social Security cards/SSN application (SS-5);

NOTE: It is extremely rare that any program's policy would require verification of SSN.

c. Birth certificates;
d. Custody document;
e. Divorce/separation statement;
f. Indian Enrollment Number (IEN) verification;
g. Marriage certificate/verification;
h. Medicare cards;
i. Alien documents/INS forms;
j. Resource Assessment (HCS-457);
k. Resource Allocation (HCS-458);
l. Estate Recovery of Nursing Home Residents (HCS-120);
m. Real Property Liens for Nursing Home Residents (HCS-121).
n. Designation of Authorized Personal Representative for Health Information (HPS-401);
o. Authorization For Use and Disclosure of Health Information (HPS-402);
► p. Asset Transfer and Resource Assessment Form (HCS-409); and,
► q. HIPAA Privacy notice (HPS 400)

Divider 4: **Integrity/Fraud**

a. All information or documentation related to an over/under issuance, IPV or fraud referral;
b. Fair hearing information;
c. Second party review forms;
d. Program Compliance and Quality Assurance/Supervisor case review information;
e. Food Stamp Account and Destruction Report;
f. Food Stamp Replacement Authorization Form (FS-051); and,
g. Request To Offset Food Stamp Debt With Electronic Benefit Balance (HCS/FS-004).

SECTION V

► Divider 1: Employability Plan/**FIA** - Family Investment Agreement

NOTE: Each item listed below should be grouped and in chronological order with the most recent on top. (e.g., All FIA's together in chronological order, then all participation logs, etc.)

a. Family Investment Agreements (HCS-781);
b. Participation logs;
c. Post Secondary Education (PSE) screening;
d. Screening Guides (HCS-730, 731, 732);

► **NOTE:** Domestic violence Screening Questionnaire (HCS-326) is filed under divider 3 "TANF".

e. Action Plan;
f. Personal Budget Sheet; and,
g. Sanction information and documentation.

NOTE: At worker discretion Sanction information can be filed under divider 3 "FAIM/TANF" but must be consistent within the file.

Divider 2: **TANF Employment & Training/WoRC**

NOTE: FS Employment and Training information must be filed under Section I, Divider 1; "Food Stamp Work Registration".

a. E & T referrals;
b. E & T activity verification (e.g., attendance records/time slips, calendars, participation logs, and other case

management plans (OCM) such as WIA, Voc-Rehab, TAA, or REO plans and related information);

c. WoRC status change forms; and,
d. Tribal NEW notices.

Divider 3: **TANF Cash assistance**

NOTE: Medical documents obtained by using the HCS-102, "One Time Only Authorization to Release Information", must be stapled to the HCS-102 and filed in "Permanent Documents", Section IV divider 3.

► **NOTE:** **BOLD *** font below indicates extension related documents. If an extension application (HCS-175) is filed all related documents must be filed together as a packet in the case file.

a. Timeclock exemption request form and verification (HCS-220A);
b. PERP/JERP (Pathways Employment Related Payment/Job Supplement Employment Related Payment) forms (FA-360);
c. Supportive service forms;
d. County FAIM/TANF forms;
e. Teen Parent Living Arrangement Checklist;
f. *Domestic violence questionnaire (HCS-326);
g. Retroactive Timeclock Alteration Request (HCS-200);
h. *Application for the Extension of TANF Cash Assistance (HCS-175);
i. *Illness/Incapacity Determination for Extended TANF Cash Assistance (HCS-176);
j. *TANF Cash Assistance Extended Benefits Referral (HCS-177);
k. *TANF Cash Assistance Extension; Notification/Application request (HCS-178);
l. *TANF Extended Benefits Re-Evaluation Form (HCS-181);
► **m. *Request for Health/Employability Evaluation for Extended Benefits (HCS-209);**
► **n. *Request for Work Activity Capabilities (HCS-207);**
► **o. *Request for Mental Health and Cognitive Impairment Information (HCS-206);**
p. Out-of-State TANF Benefit Request Form (FA-100);
q. Direct Bank Deposit Authorization Form (HCS-179) or any other bank direct deposit form. Keep the most recent version and those completed in the last three federal fiscal years; and,

r. TANF Cash Assistance Payment Selection Form (HCS-180). Keep the most recent version and those completed in the last three federal fiscal years.

NOTE: Medical documents obtained by using the HCS-102, "One Time Only Authorization to Release Information", must be stapled to the HCS-102 and filed in "Permanent Documents", Section IV divider 3.

Divider 4: **Child Care**
Child care referral form (HCS-051).

NOTE: Verification of child care expenses are filed in Section III, Divider 1 "Expenses (non-medical)".

Divider 5: **Emergency/General Assistance**

a. Emergency Assistance forms (HCS-020); and,
b. General Assistance forms (if needed by OPA).

Divider 6: **Refugee Cash/MA Assistance**
All forms related to Refugee Assistance

SECTION VI

Divider 1: **Correspondence**
a. Case transfer information;
b. Authorization to Release Information forms from other agencies;
c. Written correspondence between recipient and agency;
d. Non-TEAMS notices (all notices must now be sent from TEAMS so this divider can soon be deleted);
e. Miscellaneous correspondence; and,

Divider 2: **Child Support**

NOTE: Verification of child support expenses are filed in Section IV, Divider 1 "Income and Related Expenses".

a. Child Support Enforcement Referral (HCS/CS-332);
b. Notice of Requirement to Cooperate;
c. Good cause claim (HCS-333); and,
d. Good cause verification.

Divider 3: **Medical**

NOTE: Medical documents obtained by using the HCS-102, "One Time Only Authorization to Release Information", must be stapled to the HCS-102 and filed in "Permanent Documents", Section IV divider 3.

NOTE: Medical documents for TANF Extension purposes are filed in Section V, Divider 3 "TANF Cash Assistance".

a. Correspondence from the recipient or medical provider regarding medical eligibility/bills;
b. Assessment for Medical Assistance (HCS-491 and 493);
c. Medically Needy forms (HCS-410 and 412);
d. List of Medical Expenses (HCS-451);
e. TEAMS incurment (INCU) screen printout;
f. Provider Informational Memo/Medicaid Incurment (HCS-454) (commonly referred to as the one-day authorization form);
g. Authorization for Out-of-state Medical Travel/Per Diem;
h. Screening Determination;
i. EPSDT information/KIDS Count;
j. Health insurance policies;
k. Incapacitated/pregnancy statements;
l. Third Party Liability referral form/correspondence;
m. Essential for Employment Form (HCS-782);
n. Emergency Medical for Aliens (FA-400); and,
o. Provider Notification of Eligibility Determination for Medicaid Claims Processing (HCS-455) (commonly referred to as the 365-day letter).

Divider 4: **Application**

a. Applications for Assistance (HCS-250, 251, 004 and 245);

NOTE: Applications for Extension of TANF Cash Assistance (HCS-175) are filed in Section V; Divider 3 "TANF Cash Assistance".

b. Addendum to Application;
c. Application/Redetermination Checklist (HCS-220);
► d. Adding a New Household Member (HCS-261A/HCS-261B);
e. Voluntary request to withdraw application;
f. Recertification/Redetermination forms (HCS-272);
g. Video viewing confirmation forms (if used by the OPA); and
h. Authorized Representative (Group Home) Responsibilities and Liabilities (HCS-536).

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