

Office of Self Sufficiency Programs

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Authorized Signature

Number: SS-IM-12-018  
Issue Date: 05/15/2012

Topic: Other

Subject: Case File Transfer Process and Case File Maintenance

Applies to (check all that apply):

- |  |  |
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| <input type="checkbox"/> All DHS employees             | <input type="checkbox"/> County Mental Health Directors                                  |
| <input type="checkbox"/> Area Agencies on Aging        | <input type="checkbox"/> Health Services   |
| <input type="checkbox"/> Children, Adults and Families | <input type="checkbox"/> Seniors and People with Disabilities                            |
| <input type="checkbox"/> County DD Program Managers    | <input checked="" type="checkbox"/> Other (please specify): CAF SSP<br>Transmittal Group |

Message

A recent Medicaid audit conducted by the Secretary of State's (SOS) office determined an application for Supplemental Nutrition Assistance Program (SNAP) benefits was used to determine Medicaid eligibility. The case file was subsequently transferred to a different branch; however, the SNAP application was not in the file and could not be located in either the sending or receiving branch. The missing application resulted in an error being cited for the department.

When an error is cited by SOS, any payments made on behalf of the client during the error period are required to be paid back by the department to the federal Medicaid agency. Payments include capitation fees and payments made for services the client received. These payments must then be charged to state general funds.

Case File Maintenance

It is important to ensure all applications for assistance and other documentation used to support eligibility determination are kept together in one case file at all times. If a branch uses more than one worker to determine eligibility for different programs, but uses the same initial application received from the client, the branch should have a process for ensuring the documentation is returned timely to, and retained in one case file. Keeping all documentation together in one case file reduces the likelihood of missing paperwork.

In addition, when a case file needs to be transferred to another branch, the case file must be sent timely using a tracking mechanism. When documents are received or discovered in a branch after the case file has been transferred, they, too, must be sent timely to the new branch. A tracking mechanism should be used in these instances as well.

See the link below for mail processing and privacy. When only a few documents need to be forwarded to another branch, scanning and emailing is also an acceptable method.

Maintaining valid/current applications and supporting documentation for all programs clients receive benefits from is a critical internal control and a fundamental element of program integrity.

### **Staff Resources**

Additional information can be obtained through the websites below.

Family Services Manual, MP21, Transferring of Case Files  
<http://dhsmanuals.hr.state.or.us/EligManual/13mpwg21.htm>

Field Business Procedures Manual, XVI Case Files  
<http://insidextra.dhs.state.or.us/caf/FieldBusinessProcedures/>

Imaging and Records Management Services (IRMS)  
<https://inside.dhsoha.state.or.us/asd/odm.html>

DHS Mail Processing and Privacy  
<http://www.dhs.state.or.us/mail/#handling>

*If you have any questions about this information, contact:*

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