

## **Worker Guide**

### **Case Files – Maintenance and Transfers**

#### **A. 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 Department of Human Services (DHS) Mail Processing and Privacy at: <http://www.dhs.state.or.us/mail/#handling>. When only a few documents need to be forwarded to another branch, scanning and emailing is 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.

#### **B. Case File Transfers – Overview**

The intent of this policy is to standardize the process and minimize the steps while ensuring good customer service. The key is for branches to act on case information they have received, to minimize the transferring of documents between branches, before completing a transfer.

The ‘no wrong door policy’ applies here, and branch offices should honor the client’s needs and ability to access services at the most convenient location. In support of this policy, clients should be served where they present for services, whenever possible.

The interoffice transfer process includes:

- Sending a request to the branch office email box;
- Electronic transfer of the case online;
- Sending the hard file to the receiving office;
- Recording the transfer on the *Case Record Transfer In/Out Log*, [DHS 833](#) form.

For case transfers to APD affiliated offices, or for the interagency agreement between CAF and APD on ‘Where Clients are Served’ see the worker guide at <http://www.dhs.state.or.us/spd/tools/additional/workergd/b.4.htm>

Each SSP branch office has an email address specifically for case transfer-related actions (example: 0101 SSP Casetransfers). Local managers will designate certain staff for access to this email box. These email boxes are to be checked daily for case transfer correspondence. The email addresses will be maintained at Central Office. It is the local office responsibility to contact the Service Desk when revisions are needed to authorized access.

## C. Receiving Branch

### Receipt of client information at a branch office other than where the case is open – client is not relocating/moving

A client may turn in a document at a branch office, other than the branch where they are currently served. The client is not relocating/moving, but for convenience, may turn in paperwork at the branch closest to where they work, for example.

When a document is received at a branch different from where the case is open, and it is determined the client is not relocating/moving, the branch that receives the paperwork must forward the information to the appropriate branch **upon receipt**.

If a document is received:

1. Write “Scan” across the top of the document.
2. Scan the document, ensuring the document is legible.
3. Email the document to the applicable branch case transfer email address (e.g. *2401 SSP CASETRANSFERS*).
4. Shred the original document.

### Client report of relocation/move

Upon a move reported by change report, recertification, request from the current branch office or other contact, notify the transferring branch within 24 hours to request the case be transferred.

**Process all paperwork submitted by the client at the receiving branch.** Do not send paperwork (such as [DHS 852s](#) or redets reporting a move) to the transferring branch to be processed.

- Send an email to the branch case transfer email box requesting the case. Include case name, case number and the new address as reported by the client. Do not include confidential information in the subject line.

- If the case has not been transferred online and:
  - Client need is urgent, the receiving branch manager or designee may use PSET to transfer the case.
  - The client has no emergent needs, and the case has not been transferred online within three working days, the manager or designee should contact the transferring branch for resolution.
- If the hard file is not received within five working days, make a second request for the case via email. Use the words ‘second request’ in subject line.
- **Record receipt of incoming case file on the Case Transfer Log, and to whom the case was assigned/delivered.**
- Narrate all requests and actions taken in TRACS.

## D. Transferring Branch

Upon a reported client move, request from the new/receiving branch office, or other need to transfer, act on any case information or any documents waiting to be processed before transferring the case.

- Update all case records online (TRACS, CMS, FSMIS, open JOBS activities) using ‘webm,find’ to ensure all open cases are identified. Updates should include changing the branch number, as well as changing the worker ID to CT unless a new worker has already been assigned. If uncertain where to transfer a case, use the Zip Help window {F1} on the mainframe or the Zip Code Directory at [http://zip4.usps.com/zip4/citytown\\_zip.jsp](http://zip4.usps.com/zip4/citytown_zip.jsp).
- Complete and send the *Notice of Transfer* ([DHS 414](#)) form or NOTM GS00414 (or *Notification of Case Transfer* ([SDS 905](#))) informing client of the new office contact information.
- Worker completes the *Case Transfer Checklist* ([DHS 831](#)) form and attaches it to the file to be transferred.
- **Transfer clerk logs case transfer information on the Case Transfer Log** (do not send hard files to OHP).
- Send the hard file by UPS, Fed Ex or PacTrac (Do not send case files through Shuttle or U.S. Mail!)
- If case information needing to be processed is received after the case file has been transferred, email the case transfer email box of the receiving branch with details of the information you will be sending. If possible, fax the documents or scan and attach them to the email.

- Narrate all actions related to the case transfer.

**Note:** *Closed case files will not be transferred unless specifically requested.*

**Tip** – The TRACS system contains a list of cases transferred to a branch office. To access this list, click on the Client List icon, then click on the Branch View tab. Select *Cases Transferred In*, and click Apply view.

This list shows all cases, regardless of status, transferred to a branch where the case action is Transfer (CM=TRAN, FCAS=TRN). The case will remain on the list until an action other than transfer is taken.

## E. Examples

*Example 1: Receiving branch. Ella Heller walks into the Hermiston branch to reapply for SNAP. Her case is currently open in Ontario. The Hermiston branch does the intake interview and follows the procedure above to request the case be transferred to their office.*

*Example 2: Receiving branch. Joe Smith walks into McMinnville branch to submit an SRS report for his SNAP case. The report includes information that client moved to McMinnville area from Gresham. McMinnville branch follows the receiving branch procedures of requesting the file via email, including the new address information. McMinnville will keep and take action on SRS report.*

*Example 3: Transferring branch. The Beaverton branch has an ERDC and SNAP case for Akim Tucker. He calls his worker to report a new address in Springfield and to ask that his 10-year-old be removed from the case. Akim says he has taken a new job. The worker in Beaverton updates his mailing address on both CM and FS, sends 10-day notice to remove the child and a [DHS 210A](#) asking for verification of his earnings and the name of his new day care provider. She fills in the [DHS 210A](#) with the address and phone number of the Springfield branch, sends NOTM GS00404, narrates the action and gives the file to her branch transfer clerk.*

*Example 4: Transferring branch. Three weeks after transferring the case, the worker in Beaverton finds Akim's last [DHS 7476](#). Because it was already processed and needs only to be filed, send it to the Springfield branch via shuttle.*