

1436 CASE RECORD

1436.05 RI WORKS PROGRAM CASE RECORDS

EFF: 10/2008

The assigned clerical staff in each office is responsible for setting up a paper case record when a request for assistance is received. If after Person Search in INRHODES during the Intake screening process indicates the applicant has a previous record, the paper and electronic file are located or requested from another office, as appropriate. If there is no previous program history or the record is not yet available, a dummy record is set up for the Intake appointment.

1436.05.05 Intake Worker Receives Application Forms

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When the eligibility agency representative receives the Application for Assistance - Part 1 for the Intake and the Statement of Need (DHS-2) at the interview, those forms and all relevant documentation and other forms related to the application, the interview, and the decision on eligibility are filed in the record. After the intake interview, the case record is processed through the appropriate clerical person for typing and attaching an identification tab to the record. The tab contains the case I.D., the name, address, city or town, and zip code. (Record tabs are typed with last name first, followed by first name and middle initial, if any.)

1436.10 PURPOSE OF RECORD KEEPING

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Record keeping helps the agency to assure that each client receives appropriate assistance and service. It sustains continuity despite change in staff. Case records reflect the way the agency receives and acts on applications, determines eligibility for a payment, obtains information concerning problems, the need for service, and the services given.

1436.15 USE OF CASE RECORDS

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The agency uses four separate case records for each case in its RI Works Program. Data concerning decisions on eligibility and payments are recorded in the INRHODES electronic record maintained by the eligibility technician. Application forms, documentation, monthly report forms, correspondence, and other papers are filed in the eligibility record. A service paper record maintained by RI Works case workers contains the copy(ies) of the employment plan(s) and other activity scheduling, assessment test results, etc., as appropriate. The INRHODES electronic file also tracks and contains the RI Works employment plan activities, updated assessment information, notices, etc. The Employment Activity Referral and Response System (EARR) is the intranet communication system by which employment activity providers report attendance, progress, observations and recommendations

to the RI Works staff. The EARR maintains (from the date of its implementation, October 1, 2007, forward) an individual history of training and other contracted activities for each participant.

The InRhodes and EARR systems are both electronic records that will provide information critical to the employment planning with the participant at the netWORKri One Stop Center. The DHS staff co-located there will require detailed information to facilitate planning, to be coordinated with their DLT and ORS counterparts.

All case records provide factual information about whether the law and the policies of the agency are being properly and equitably applied. It is part of the agency's record of accountability for the expenditure of public funds. Records are source documents for case reviews, validation, regular and periodic statistical reports, and research studies. The case records provide a source of non-participant-specific data on program effectiveness, for administrative planning, and for interpretation to the public on how programs are operating.

All case records explicitly contain confidential matter. It is unlawful for any person to make use of, or cause to be used, any information contained in records for purposes not directly connected with the administration of the RI Works Program, except with the consent of the participant concerned as referenced in RIGL 40-5.2-26.

1436.20 ORGANIZATION OF THE PAPER FILE

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RI Works paper records must be organized by subject matter in accordance with the categories described below.

Case Chronology

A chronology of case activity is retained in both the INRHODES IV-A Case Log (CLOG) and service case narrative (CNAR).

Vital Statistics

Essential documents such as birth, baptismal, marriage or death certificates, divorce decrees, Social Security cards, I-94s, I-151s, etc. are duplicated whenever possible on 8.5" x 11" paper and retained inside the back cover for the life of the record.

Other Essential Materials

Apart from vital statistics information, any forms and other required materials are ordered beginning at the front of the record as follows:

- DHS-2, Statements of Need packaged as above and retained for the life of the record;
- Documents pertaining to income and resources, including all forms such as DHS-3's, AP-50, AP-91s, AP-150, AP-151, AP-152, VA or RSDI award letters, TPQY cards and replies, etc.;

- Documents pertaining to medical, employment, or scholastic history, including C-1b, C-1a, and any other form or correspondence falling into one of these categories;
- Child Support documents and other court action and legal documents, including AP-35, AP-121 with Hearing Decision, DHS-25 and any other documents of a legal nature; and
- Miscellaneous items, including any other forms or correspondence not specifically mentioned above nor readily categorized in any of the above areas.

All material contained in a RI Works program record is retained for a period of THREE (3) years PLUS the current year unless otherwise indicated.