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ORANGE COUNTY SOCIAL SERVICES AGENCY
ADULT SERVICES
POLICY AND PROCEDURE MANUAL

Program:	**In-Home Supportive Services**	**Number:**	**SH 40.2.1**
Subject:	**Application Process & Case Opening**	**Date:**	**08/15/06**
Approved:	Signature On File	**Replaces:**	**SH 1.4 /1/96)** **SH 1.4.1(6/1/94)**

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I.PURPOSE

To provide guidelines and instructions for the In-Home Supportive Services (IHSS) application process, including information and referral (I&R) function, assignment of case serial number, case opening, and referral of accepted IHSS Applications to IHSS Intake Units (IU) for assessment. See **Attachment A** (IHSS Operations Flowchart).

II.POLICY

A. The primary responsibilities of AU staff are: receiving initial inquiries regarding IHSS services, providing I&R services, beginning the case opening procedure, and forwarding IHSS Applications to the appropriate IHSS IU for initial assessment in accordance with procedure SH 40.2.1.1 (IHSS Intake)

B. AU staff shall forward all accepted Applications to the appropriate IHSS IU within 48 hours.

C. All Applications and case openings shall be processed within timeframes mandated by Federal, State, and County regulations and procedures.

D. IHSS Social Workers and Supervisors are mandated reporters for Adult Protective Services (APS). As such, they are required to report any suspected abuse of an elder or dependent adult to the Orange County APS Registry.

III. DEFINITIONS

A. Application Unit (AU) Database: The IHSS database used by AU staff to log, track, and count all telephone, in-person, and written contacts, including I&R and Application inquiries, and requests to apply for IHSS services.

B. Case Management, Information, & Pay-rolling System (CMIPS): The State database that all California Counties use to record case management data, authorize services to IHSS recipients, and authorize payment to IHSS care providers.

C. Medi-Cal Eligibility Data System (MEDS): The State database used to record and track Medi-Cal eligibility and history of individuals.

D. Folder Tracking System (FTS): The system for clearing and assigning appropriate case serial numbers.

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IV. PROCEDURE

A. **Inquiries to the AU**

AU SW's shall respond to all inquiries received verbally via telephone or in-person contact, or in writing via correspondence, e-mail, or FAX.

1. Information and Referral (I & R) Inquiries: The AU SW shall:
a. Offer and provide, to the extent possible, I&R services appropriate to the inquiry.
b. Assess, to the extent possible, any other service needs and provide appropriate I&R to address those needs.
c. Log all I&R contacts in the AU Database for statistical purposes.
d. Follow up on I&R's, as needed in the judgment of AU SW.
2. Application Inquiries: The AU SW shall:
a. Briefly explain the IHSS eligibility requirements.
b. Briefly explain the IHSS application process.
c. Answer any questions regarding eligibility requirements and application process.
d. Advise the potential applicant or authorized representative that he or she has the right to apply for IHSS Services under any circumstances.
3. Application inquiry or request by person(s) other than the potential applicant or authorized representative of the potential applicant

When a person or persons other than the potential applicant or authorized representative inquire about or request an Application, the AU SW must take the following additional steps prior to processing the Application:

a. Telephone the potential applicant/authorized representative to confirm the request for application.
(1) If request confirmed, process application.
(2) If the applicant/authorized representative cannot be reached by telephone:
(a). Mail the IHSS Referral Follow-Up Letter (F063-23-13) to the potential applicant's address. This form is part of the AU Database.
(b). Specify response deadline of 10 calendar days from mailing date.
(c). Document on IHSS Referral form.
(d). Forward letter and IHSS Referral Form to AU Office Technician (OT) for calendar control.
(e). If request is not confirmed by specified date, do not process the Application.

NOTE: Copies of the IHSS Referral Follow-Up Letter are kept for six months in a separate file maintained by the AU OT.

b. If a potential applicant or authorized representative either does not respond to attempts to confirm the request, or withdraws the request, the inquiry remains in the AU Database as an I&R contact.

B. **Applications**

Once an AU SW determines that a potential applicant or authorized representative wishes to apply for IHSS services, AU staff will process the Application as follows:

1. AU SW
a. Record all available pertinent information on the IHSS Referral Form (F063-23-53), by entering the information into the AU Database.
b. Clear the applicant on the following databases:
(1) AU Database: To determine if applicant has previously contacted AU, or has an Orange County Application already in process.
(2) CMIPS: To determine if the applicant has a pending Application, or a prior history in CMIPS. Print relevant screens.
(3) MEDS: To view and print INQX, INQE, INQM, screens.
(4) CalWIN Web: To determine if applicant, or applicant's family, is receiving, or has in the past received other social services.
c. Prepare an Application for Social Services (SOC 295) in accordance with the instructions and guidelines specified on **Attachment B** (Instructions for Completing the SOC 295). Sign and date the SOC 295 in the Authorized Representative field after obtaining consent of the applicant (CDSS MPP 30-009.224).
d. Initiate a Medi-Cal referral, if applicable, in accordance with procedure SH 40.2.9 (Co-Location of Medi-Cal Eligibility Technicians with IHSS Staff).
e. Confirm that IHSS Referral Form in the AU Database is complete and up to date. Forward signed SOC 295 and any MEDS screen prints specified in Section B.1.b.(3) to AU Office Technician (OT).
2. AU OT
a. Review the IHSS Referral Form by comparing it to MEDS screens printed and forwarded by AU SW. Verify accuracy of applicant's name, spelling of name, gender, date of birth, Social Security Number, and address. All entries should exactly match MEDS data.
b. Search CMIPS and FTS for any existing IHSS case number connected to the applicant. Print any additional relevant screens for filing in service folder.
c. Follow procedures specified in Section C of this document to identify a unique CMIPS Case Serial Number for the applicant. Consult with AU and/or IU Supervisor, as needed, to select the appropriate case serial number if more than one has been identified.
(1) If the identified number belongs to a previously closed file, request the Service Folder from Closed Files.
(2) If the identified number is new, create Service Folder (AKA Red Folder).
d. Print and/or gather the following documents and place them in the Service Folder:
(1) IHSS Referral Form from AU Database.
(2) Application for Social Services (SOC 295).
(3) All relevant screens from specified databases.
e. Forward Service Folder and contents described above to AU Supervisor for review.
3. AU Supervisor
a. Review Service Folder for accuracy and completeness.
b. Return the Service Folder to the AU OT within two working days so that it can be forwarded to the appropriate Intake Unit (IU) Supervisor timely.
4. AU OT
a. Forward Service Folder to appropriate IU Supervisor for assignment to an IU Social Worker.
b. Provide assistance and/or back up to the IU OT, as agreed upon by Clerical Supervisor and IU Supervisors. See procedure SH 40.2.1.1 (IHSS Intake).

C. **Assignment of Case Serial Number/Case Opening**

1. No record in MEDS or CMIPS

The AU OT shall perform the following tasks to confirm that the applicant has no case serial number in MEDS and no case record in CMIPS.

a. MEDS
(1) View MEDS screen prints INQX, INQE, and INQM forwarded by the AU SW (See Procedure Section B.1.b.3) to confirm no case serial number for applicant.
(2) Double-check by viewing MEDS screens INQA, INQT, and INQL.
(3) Print "No Records Found" screen for the Service File.
b. CMIPS
(1) View CMIPS screens NAMR, SSNR, RELA, RELB.
(2) If no records are found on these screens, there is no case record of the applicant in CMIPS for case serial number assignment purposes.
c. FTS
If no case serial number in MEDS, and no record in CMIPS, the AU OT will use FTS to generate a new case serial number for the applicant.

2. Matching/Reconciling records in MEDS and CMIPS

The AU OT shall perform the following tasks to confirm that the case serial number in MEDS and case record(s) in CMIPS match. Generally speaking, CMIPS records must be reconciled to MEDS records. If MEDS records appear to be inaccurate, the AU OT must ask the AU SW and/or Supervisor to consult with appropriate Medi-Cal staff to determine which data (MEDS or CMIPS) should be corrected.

a. MEDS: View applicant's personal information on INQM screen.
(1) Make sure the SSN-VER is verified, as indicated by "J" in the field.
(2) If not, highlight this field to remind IU SW of the need to verify applicant's SSN and DOB.
b. CMIPS: View information on NAMR, SSNR, RELA, and RELB screens.
(1) Confirm that applicant's name, DOB, and SSN match on all screens.
(2) If confirmed, use single case serial number identified in MEDS as the case serial number for the new Application. Request case from closed files, if appropriate.

3. Multiple Case Records in CMIPS

a. The AU OT shall perform the following tasks to document multiple case records in CMIPS:
(1) Print RELA, RELC, and WARR screens for each case record found in CMIPS.
(2) Consult with AU supervisor and/or appropriate IU Supervisor to determine which CMIPS case record should be attached to the case serial number identified in MEDS.
b. The AU Supervisor and/or the IU Supervisor shall advise the AU OT which CMIPS case record to use based on the history of warrants paid, as indicated on the WARR screen of each case record:
(1) If no warrants paid on any case record, use any of the available case records.
(2) If warrants have been paid on one case record, but not the others, use the case record with the warrant history.
(3) If warrants have been paid on two or more case records, use the case record with the longest warrant history.

4. Deleting CMIPS case records

a. Any CMIPS case record pertaining to an IHSS applicant that does not exactly match a MEDS case serial number for that applicant during the process of case opening, shall be deleted from CMIPS at the discretion of the EDS Liaison.
(1) Unused CMIPS case record with no warrant history
: The AU OT will forward copies of WARR, RELA, and RELC screens to the EDS Liaison, along with a request to delete the unused case record from CMIPS.
(2) Unused CMIPS case record with warrant history: In addition to forwarding screens and request to delete to the EDS Liaison, the AU OT shall:
(a). Reference any inactive CMIPS case record number on the Service Folder and the SOC 293 of the active case.
(b). Reference the active CMIPS case record number on the Service Folder and SOC 293 of any inactive case. Retrieve inactive case from Closed Files, as needed, for this purpose.

NOTE: To reference a case record number on the SOC 293 of another case, enter the number in the "County Use," P40 field of the SOC 293

b. EDS Liaison

The EDS Liaison designated by IHSS management shall review all CMIPS screen prints forwarded by the AU OT, determine if an unused/inactive case record number should be deleted from CMIPS, and submit a "Delete of Record" request to EDS, as appropriate.

VI. REFERENCES

California Department of Social Services (CDSS) Manual of Policies and Procedures (MPP)

- 30-759 IHSS Application Process
- 30-009.211 Service Delivery Standards (SDS) – Offer of Services
- 30-009.22 SDS – Applications
- 30-009.23 SDS – Determination of Eligibility
- 30-050 Service Program No. 1: Information and Referral Services

Orange County Social Services Agency: Adult Services Operations Manual

- SH 1.6 Use of Authorized Representative
- SH 40.2.9 Co-Location of Medi-Cal Eligibility Technicians with IHSS)
- SH 40.2.4 Inter-County Transfer

VII.ATTACHMENTS

- **Attachment A:** IHSS Operations Flowchart
- **Attachment B:** Instructions for Completing SOC 295

VIII.LINKS TO FORMS

Application for Social Services (SOC 295)

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