

CHAPTER 1

APPLICATION & SCREENING

IHSS CASE RECORD RETENTION

General Information

All paper documents related to IHSS applications dated January 1, 2013 or later will no longer be retained in a physical case file. A *Scanning Folder* and a *Social Worker Folder* containing the case name, CMIPS II case number, and the assigned Social Worker number will be used to retain IHSS documents until the documents have been scanned into an electronic storage system. The *Scanning Folder* will be used to submit documents for scanning. The *Social Worker Folder* will be used to retain case documents that have not yet been scanned.

IHSS Record Retention Policy

As a result of Conlan II and other litigation, all IHSS case records are currently being retained until further instructions are issued by CDSS.

Purging of Documents

In order to reduce the amount of paperwork in the case file, the Social Worker and the Social Work Supervisor will include in the review process the removal and shredding of any paperwork in the case file that is unnecessary or redundant.

The following items can be shredded if they are not required to document eligibility, service need, or payment history:

- AIS Suite Printouts – Retain the SOC 295 and the SOC 293A if it has been completed and signed by the applicant
- 12-90 HHSA Safety Checklist – This form has been discontinued and is not required.
- Fax Cover Sheets
- Fax Receipts
- Any NCR Paper Duplicates – For example, only one copy of the 293 needs to be retained for each sequence printed. The yellow duplicate of the HHSA 12-37 can be removed once the original form has been returned.
- Email Printouts – Printouts not documenting, or directly related to eligibility, authorized hours or payment history not available in CMIPS. (e.g. authorization for a Special Payment)
- CalWIN Printouts from Previous Grantings

Evaluate the paperwork for current status and any information that is still pending. If the Social Worker and the Social Work Supervisor are in agreement that the paperwork does not document IHSS eligibility or payment for services and is no longer necessary, it can be shredded. Contact IHSS Program Support if clarification is needed on document retention.

Document Scanning

All paper documents in an IHSS case file initiated prior to November 1, 2011 will not be scanned. The *IHSS Case Folder Filing Guide* (Attachments 1-H) will assist staff in determining if a document needs to be scanned or sent to Records Services without scanning. Documents listed in the filing guide are scanned according to the retention period of the document.

Retention Period	Scanning Instructions
Permanent	Scan all documents
13 months	Scan documents that are dated 13 months or less
24 months	Scan documents that are dated 24 months or less
Current	Scan the current document in case file
No mandate	Do not scan

Sending Cases to Records Services

Documents that are not scanned, according the *IHSS Case Folder Filing Guide*, will be sent in the case file to Records Services for retention. The case file will be logged into the IHSS Case Tracking System in SharePoint and sent to Records Services using the Inter-County mail system.