

**Procedural Standard 99-20
February 26, 2007**

TO: All Staff

FR: A. E. Adams, Ph.D. Director, Disability Evaluation Services.

BY: Sherry Campanelli, Program Compliance Manager

RE: Case File Order

Purpose:

The primary purpose of this instruction is to provide staff with guidance for case file order throughout the review process from the opening of a case through case closure. It applies to both MassHealth as well as Emergency Aid to the Elderly, Disabled, and Children (EAEDC) and Temporary Aid to Families With Dependent Children (TAFDC), programs administered by the Department of Transitional Assistance (DTA). This document also clarifies the procedure for maintaining file order when the applicant has had a prior determination(s) of disability.

Guideline:

I. Case File Order for an episode which is *open in review* (#1 references material filed on top):

Right side of Folder

1. Disability Determination Review Form
2. SSI Medical listings and/or DTA Standards forms
3. EAEDC Medical Report, if relevant
4. Disability Supplement
5. Residual Functional Capacity (RFC) and Individual Functional Assessment (IFA) forms
6. Consultative Examination (CE) Reports and Testing
7. Additional information received including CD-ROMs clipped to related prints
8. Copies of all letters for additional information and CEs

Left side of Folder

1. The Tracking form(s) for the open episode(s) being processed.
2. File copies of Request for Information (RFI) letters
3. Copies of medical records release forms

II. Folder dividers for old and new episodes

In subsequent application situations, to divide open active episode(s) from the old closed episodes, adhesive dividers are attached to a case when it arrives from Medical Records and is associated with the new episode. The prior episode's tracking form will be moved from the left side of the original folder to the left inner side of the divider. The case order of the open episode then follows the same process as described herein for a first application.

III. When there are dual (for both MassHealth and one of the DTA programs) applications open;

Right side of the folder

1. Disability Determination Review Form
2. SSI Medical listings and/or DTA Standards forms
3. MassHealth Supplement
4. EAEDC Medical Report, if relevant
5. DTA Supplement
6. RFC and IFA forms
7. Consultative Examination (CE) Reports and Testing
8. Additional information received including CD-ROMs clipped to related prints
9. File copies of all letters for additional information and CEs and medical release forms

Left side of Folder

1. The MassHealth tracking form
2. The DTA (EAEDC or TAFDC) tracking form
3. File copies of Request for Information (RFI) letters
4. Copies of medical records release forms

Note: The ultimate responsibility for closed/permanent case file order lies with the Medical Records staff. However, all staff who handle open cases are responsible for assuring that the case file is maintained so as to facilitate a quality case review and that case information is adequately secured at all times within the folder jacket.

IV. Case File Order for cases closed and ready to go to the Medical Records Unit to be mailed and filed.

Left Side of the Folder:

1. Progress notes printed following case closure
2. CD-ROMs, if any, in secure holder (related prints remain on the right side)

Right Side of the Folder

- 1, Tracking Form
2. Decision Letters (if applicable)
3. Disability Determination Review Form
4. SSI Medical listings and/or DTA Standards forms
5. RFC and IFA forms
6. EAEDC Medical Report, if relevant
7. Supplement(s)
8. CE Reports and Testing
- 9, Additional information received including prints from CD-ROMs
10. File copies of all letters, for Additional Information, and Consultative Exams and/or to obtain signed releases

Summary: A standard case file order contributes to efficiency in the disability review process as well as a case folder product that facilitates the appeals process and provides adequate documentation for an agency audits. This procedural standard applies to all staff as they handle cases throughout the review process.
