# AX CA ESSENTIAL RECORDS

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| **DOCUMENT TITLE:** | Manual G<br>Chapter: 02 |
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06/06/2017

DEPARTMENT OF SOCIAL AND HEALTH SERVICES
Olympia, Washington

TO: HOLDERS OF MANUAL G

NOTICE NO: G-252
Issued: 09/10/86

FROM: Charles Reed, Asst. Secretary
AGING AND ADULT SERV. MS OB-43

SECTIONS REVISED:
02.04 F.

EFFECTIVE: On Receipt
FOR INFORMATION CALL:
Jean Gregory
SCAN 234-7136 or
Non-SCAN 753-7136

IF NOT DELIVERABLE, RETURN TO: DSHS STOCKROOM MS FB-11

SUBJECT: LIMITED ENGLISH SPEAKING (LES) CLIENTS

Place this notice in front of the Chapter 02, Manual G, and note on the Green Notice Control Sheet the date Notice No. G-252 was entered.

State law, RCW 74.04, Section 33 (SSB 3660) and the Predetermination Settlement between DSHS and the Office for Civil Rights of the U. S. Department of Health and Human Services (Docket Number 10837005) requires DSHS to recruit and hire bilingual or multilingual staff, when certain circumstances occur and criteria are met.

To satisfy this requirement and provide the required documentation, the DSHS 2-128(X) is revised to meet Social Service needs and to provide a report on the primary language of the head of household on all new or reopened service cases. The second copy of the DSHS 2-128(X), indicating the head of household's primary language, is batched and mailed weekly to Data Control. DCFS administrators receive a State Office Monthly Report (SFSSAS/SA3010) which identifies the number of LES clients by language in their DCFS catchment area. See Numbered Memo 84-5, Guidelines for Hiring Bilingual Multilingual Staff, for details.

This notice adds Item 02.04 F. 3. which says:

> The second copy of the DSHS 2-128(X), indicating the head of household's primary language, will be batched and mailed weekly to Data Control.

OB-51H OFFICE OF EVALUATION
& PROGRAM REVIEW
3=4,5=4,8=18,9=3,13=19

# CHAPTER 02

## SOCIAL SERVICE DELIVERY SYSTEM

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# CHAPTER 02
# SOCIAL SERVICE DELIVERY SYSTEM

## 02.00 INTRODUCTION

This chapter describes the framework within which The Community Services Offices (CSO) will deliver social services to eligible clients. The system is made up of several interdependent parts — people, procedures and paper. The purpose of the system is to organize the operations and resources (people, paper, etc.) in about the same way across the state so clients and workers can know what to expect if moving from one CSO to another.

Standardization of policy and procedures permits equal treatment regardless of geographical location and permits a more fair method of measuring workloads and performances. It is extremely difficult to develop equitable workload standards without standardized forms and procedures. Workload standards are essential for documenting the need for and use of social service staff.

## 02.01 SOCIAL SERVICE DELIVERY

A. Social services delivered by CSOs will be goal-oriented, time-limited and have specifically defined outcomes. Both staff and clients will be knowledgeable of the goals and objectives of the service(s) to be provided. Unmet goals and objectives not achieved or only partially achieved will be acknowledged.

B. Services will be provided in response to identified need and within department priorities. Services will be provided directly by the department or by purchase from the private sector. All appropriate methods of service delivery will be utilized. The emphasis will be on methods which enable the client to manage his/her situation with appropriate independence and with the least restrictive alternatives available. Services provided will be coordinated with co-existing community agencies and systems, such as Mental Health clinics, Area Agencies on Aging and health care organizations.

C. Service will be provided according to an Individual Service Plan (ISP). A service episode is defined as the planned and time-limited delivery of a variable number of services to achieve a stated objective or outcome. Service plans will be mutually determined by the client and the agency. When a mutually determined plan is not possible and the service is mandatory due to legal or program requirements (APS), the service plan will be developed by the department with the client's knowledge.

## 02.02 COMMUNITY SERVICES OFFICE ORGANIZATION

A. All social service workers are responsible for determining eligibility, authorizing needed services and developing and implementing the Individual Service Plan for cases assigned to them. Implementing the ISP may include any combination of:

1. Direct provision of service;
2. Arranging for purchased services;
3. Referral to, or collaboration with, peers in other service units;
4. Referral to, or collaboration with, non-CSO service providers/ community agencies.

B. All service workers in Adult Services will be able to authorize and provide or arrange for:

| | | |
|---|---|---|
| 1. | Adult Protective Services | Chapter 44 |
| 2. | Chore Services | Chapter 42 |
| 3. | Health Support Services | Chapter 48 |
| 4. | Financial Support Services | Chapter 60 |
| 5. | Residential Services for Adults | Chapter 46 |
| 6. | Information and Referral Services | Chapter 20 |
| 7. | Family Planning Services | Chapter 22 |
| 8. | Volunteer Services | Chapter 62 |
| 9. | Case Management | Chapter 46 |

C. The General Services Unit provides short-term, emergency social services to financial applicants; orientation to social services (optional for each CSO); incapacity review; and other social services needed to support or follow up the financial grant request.

D. Service workers assigned to this unit will be able to authorize and provide or arrange for:

| | | |
|---|---|---|
| (1) | Financial Support Services | Chapter 60 |
| (2) | Health Support Services | Chapter 48 |
| (3) | Family Planning Services | Chapter 22 |
| (4) | Information and Referral Services | Chapter 20 |

E. Other functions will be performed as deemed necessary by CSO administration provided they can be accomplished with a minimum number of client contacts (usually no more than 2 or 3).

F. Work Incentive (WIN) Unit

a. This unit must be organized and administered to comply with appropriate federal regulations regarding the WIN program. Federal guidelines come from both the Department of Labor and the Department of Health, Education, and Welfare. Not all CSOs have a large enough caseload of employable recipients of financial services to justify a separate WIN unit. Refer to Chapter 64, Work Incentive (WIN) Program, for CSOs authorized to have WIN Units.

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b. Service workers assigned to this unit will be able to authorize and provide or arrange for:

| | | |
|---|---|---|
| (1) | Work Incentive (WIN) Services | Chapter 64 |
| (2) | Employment and Training Services | Chapter 66 |
| (3) | Day Care Services for Children | Chapter 28 |
| (4) | Health Support Services | Chapter 48 |
| (5) | Financial Support Services | Chapter 60 |
| (6) | Family Planning Services | Chapter 22 |
| (7) | Chore Services | Chapter 42 |
| (8) | Volunteer Services | Chapter 62 |

G. Refugee Assistance

All Refugee Assistance cases should be assigned to one worker or the least number of workers required by the load. CSOs with bilingual Indochinese staff would assign all clients to these workers. The location of that worker in a section depends on the nature of the caseload.

H. The department recognizes that not all service workers have the program knowledge, training or experience necessary to provide this range of service, but they should have sufficient knowledge to arrange for the full range of services.

I. After assessing the qualifications of staff and the complexity and volume of service requests, the CSO supervisor may designate specialists. Functional specialists may be designated based upon the nature and volume of the service (e.g., APS) or the special expertise of the individual worker (e.g., intake/assessment specialist). However, the need to adopt this second alternative must be carefully assessed because the goal is for clients to see as few workers as possible.

J. The expectation that all service workers eventually should be able to authorize, provide or arrange for multiple services does not ignore the fact there are different levels of work to be assigned. The supervisor's judgment of the difficulty of the case and of the capabilities of service workers in his/her unit is critical to the effective delivery of services.

It is important that supervisors take the time to make appropriate worker to client assignments. Social service workers vary in skill and experience and are not interchangeable. The random assignment of workload based upon which worker is on intake that day can result in inequitable workload distribution, frustrated clients (shuttled among service staff) and unachieved objectives.

## 02.03 RECEPTION/INTAKE AND ASSESSMENT

### A. Initial Contact/Reception

1. A client may come into contact with the agency through a variety of means. The staff worker having the initial contact is responsible for ensuring the client is referred to, and the referral acknowledged by, the appropriate service unit. It will be the responsibility of the CSO administrator to ensure social service staff and clerical workers are advised of specific procedures for referral to the appropriate social service unit.

2. Generally, the reception functions are performed by clerical staff. The receptionist identifies the category of service requested and immediately refers the person to the appropriate service unit. Clients who are obviously in a state of crisis or who request emergency services will be seen by a social service worker as soon as possible. All social service workers are responsible for providing information and referral services.

3. The intent of the SSDS model organization is to move the client through each step of the service delivery process as smoothly as possible. The client should have contact with as few staff workers as possible.

### B. Intake and Assessment

1. The determination of service eligibility, needs assessment and information and referral functions are performed by all social service workers. If the client is not eligible or if the services requested are not available, the service worker is responsible for referring the client to other agency or community resources.

2. For program eligibility/intake and assessment procedures, see the specific program/service chapters which follow. Eligibility or need is documented on the DSHS 14-139(X) (Rev. 3/83), Social Service Eligibility Document and Face Sheet.

3. Based on the size of the office and the volume of urgent service requests, the CSO administrator may decide to designate some individual workers as intake specialists. These individuals would not carry continuing service caseloads but may provide short-term crisis intervention services. The need for quick response must be weighed against the effect (on clients) of transferring cases to other workers for continuing services. The latter is to be avoided when practical.

4. Intake/assessment specialists or others performing this function should be prepared to:

   a. Take complaints on alleged abuse, neglect or exploitation of individuals;

b. Screen referrals for out-of-home placement to determine if they are appropriate for action;

c. Evaluate for in-home service needs as appropriate;

d. Screen to determine potential need for case management.

5. Rotating the intake and assessment assignment among all service workers in a section (excluding trainees) does not and should not dictate random assignment of workers to clients. It is the responsibility of social service supervisors to evaluate the facts and assign workers to clients based on the workers' skills and experience as well as workload.

## 02.04 CASE ASSIGNMENT

A. Except for offices with designated intake/assessment specialists and the urgent service requests described in Section 02.03, clients will be referred to the section/unit which serves the target population to which the client belongs. Obvious adult protective service investigations and requests for continuing or longer term services will be referred directly from reception to the appropriate service unit.

B. Service workers should be assigned to clients by a supervisor to ensure the appropriate differential use of staff.

C. Intake, service planning and service delivery activities for a primary recipient should be performed by the same (single) service worker whenever possible. If more than one service worker is involved, one service worker shall be assigned primary responsibility for case coordination.

D. Clients returning for additional services shall be assigned to their original service worker whenever possible. Exceptions to this policy include:

1. Referrals for protective services;

2. Clients no longer in the target population served by the initial service worker;

3. Client/worker requests and their supervisor agrees to a change based on a personality conflict; or

4. The service worker's workload is too large to permit an adequate and timely service response.

E. Case Management

1. Case Management assists vulnerable adults to obtain and effectively use necessary support services. Case Management is provided only until the vulnerable adult's situation has stabilized or family member or friend is both able and willing to assume case management responsibilities. Case Management includes:

   a. A comprehensive assessment of the individual's needs.

   b. Development of a detailed plan of services and activities which are designed to achieve and maintain the maximum level of health and functional independence which the vulnerable adult is capable.

   c. Ongoing contact with the vulnerable adult to enable a prompt response to changes in his/her conditions.

2. All Case Management core functions are provided to each Case Management client. Case Management core functions include:

   a. Comprehensive assessment,
   b. Service plan development,
   c. Service plan implementation,
   d. Service plan review
   e. Termination planning,
   f. Record maintenance.

3. Case Management supportive functions are provided to Case Management clients only as needed. Case Management supportive functions include:

   a. Client advocacy,
   b. Assistance in obtaining services,
   c. Consultation with other support persons, agencies, etc.,
   d. Networking,
   e. Family support,
   f. Crisis intervention.

F. <u>Requesting Existing/New Social Service Records</u>

1. The social service worker requests a new or any existing social service record and file clearance by completing DSHS 2-128(X), Application, Registration and Control, and routing it to Master File or the designated clerical staff. Requests should specify names and birth dates.

2. If Master File (clerical staff) responds that no service record exists, a case number will be obtained and a file folder (record) established (see Section 02.12).

## 02.05 SOCIAL SERVICE PLANNING

A. No service (other than I&R) will be provided without the development of an Individual Service Plan (ISP). The ISP has several parts. The service worker assigned to the case has the full responsibility for all parts, which are:

1. Assessment of Need

   The service worker is responsible for assuring that the client's service needs are clearly stated and are understood by both the client and the service worker.

2. Availability of Services

   The service worker must determine if agency services are available to meet the client's need. If agency services are not available, the service worker will offer to refer the client to an agency, community, or volunteer resource. The client may accept or reject the offer of referral. For cases where a social service record already exists, the nonavailability of services should be documented on DSHS 2-305(X), Service Episode Record.

3. Eligibility

   After determining that agency services are available, the service worker must determine the client's eligibility for the service. If the client is ineligible, the service worker will offer to refer the client to an agency, community, professional practitioner or volunteer resource. The client may accept or reject the offer of referral. Service ineligibility should be documented on the DSHS 14-139(X), Social Services Eligibility Document and Face Sheet and retained by Master Files in a "denial" file.

4. Plan of Action

   a. Problems as perceived by the client are explored and clarified in the initial interview. Then the client and the service worker mutually develop a plan of action--who will do what and when.

   b. The plan should include specific objectives and describe the steps to be taken to alleviate the problem or meet the need identified.

   c. The client and service worker must arrive at some agreement about the frequency of their contact and the duration of the service(s). (See service priorities listed in Chapter 01, Social Services Policy and Administration, and in Section 00.14 of each program/service chapter.)

B. Individual service plans should be developed by the end of the second interview with the principal client. Without a service plan, additional problem exploration or planning interviews require supervisory approval. Mandatory service plans (APS, etc.) will be developed with the knowledge of the clients. The ISP will be recorded on DSHS 2-305(X), Service Episode Record (SER).

C. A service episode is defined as the time-limited delivery of a variable number of services to achieve a stated goal or outcome. An ISP is developed with certain tasks to be completed (by the client and the worker) within that given time frame. This planned time limit, the service episode is recorded on the DSHS 2-305, Service Episode Record.

D. Where there is a major change from the stated goals of the ISP, that change initiates a new service episode and new narrative recording. Changes in the time allowed to complete tasks or changes in the number of tasks to be completed (as long as the goal doesn't change) do not constitute a new service episode.

A new ISP may be developed at any point in a service episode. In all instances, the current ISP will be evaluated and a disposition of the previously planned action recorded on the DSHS 2-305(X) SER.

E. The ISP must be renewed according to specific eligibility and program requirements noted in the program or service Chapters 06-99. The Service Episode Record must also include other information (other than the ISP) required by programs or services. Narrative recording requirements are described in Section 02.11 and in the instructions to the SER described in Chapter 99, General Forms.

## 02.06 CONTINUING SOCIAL SERVICES

A. Continuing social services are defined as all social services delivered by CSO staff which are not emergent or short-term crisis intervention services. Generally, continuing or long-term services are those which require more than three work days to complete.

B. Services to be delivered will comply with program standards and procedures indicated in each of the program/service chapters. (See Chapters 20 through 62.)

## 02.07 CASE CONSULTATION

A. In order to avoid the transfer of active cases within CSO offices, service workers may consult with one another about difficult or unfamiliar functions. For example, if a service need arises which is not usually part of the assigned service worker's functions, the service worker may discuss the service need and appropriate action with service workers who provide that service frequently.



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B. After such consultation, the assigned service worker then decides whether to provide the service, request supervisory approval to transfer the case, or request the continued assistance of the consulting service worker.

C. During the consultation process, the assigned service worker maintains all direct contact with the client. Case consultation does not replace supervision. Case consultation is a process for utilizing peer expertise and ought to be used as needed and with the knowledge of the supervisor.

D. CSO staff may also reach an agreement to consult with non-DSHS service workers in their community such as Developmental Disabilities, Vocational Rehabilitation and AAA service staff (see Chapter 01.12).

## 02.08 DENIAL/REDUCTION/TERMINATION OF SERVICE

### A. Denial

1. Social services are not provided to persons who do not meet applicable program eligibility criteria. These criteria are described in each program chapter.

2. Service workers are responsible for making social service eligibility determinations based on income and/or resources by completing the DSHS 14-139(X), Social Services Eligibility Document and Face Sheet. The program eligibility criteria is described in each service chapter (Section 00.15).

3. When services are denied for financial or program eligibility reasons, the applicant will receive a copy of the DSHS 14-139(X) documenting the denial and informing him/her of the right to request a fair hearing.

4. If a service record already exists, a copy of the DSHS 14-139(X) will be filed in that record. If the applicant does not already have a service record, a copy of the DSHS 14-139(X) will be routed to the appropriate clerical staff (i.e., Master File) for filing in a file folder for denials.

5. DSHS 14-139s for persons denied service (and who do not have service records) will be retained for three months in case the applicant requests a fair hearing. These applications may be filed alphabetically in one folder, and older applications (four months or more) should be purged from the file on a quarterly basis.

B. Reduction/Termination

1. Once the client and the service worker have mutually developed a time-limited service plan, the service worker will make every attempt to keep within that time frame. Time frames and response standards are described in Section 00.21 of each service chapter.

2. The amount of service purchased or provided to a client by the department may be reduced or terminated:

   a. At the client's request (nonmandatory services).

   b. When the service worker determines that a level of service is no longer necessary or appropriate.

   c. When needed and authorized services must be reduced or terminated because of program funding cutbacks.

3. Whenever possible, the service worker will terminate services through mutual negotiation with the client in an exit interview. The Individual Service Plan (ISP) should be evaluated with the client. Skill in conducting the termination process is critical as it may seriously impact the stability of goal or objective attainment.

4. The service worker will enter on the DSHS 2-305(X), Service Episode Record, the appropriate narrative recording to evaluate the ISP and indicate case disposition at the earliest possible time after contacting the client. The service worker will also complete the DSHS 14-159, Change of Service Authorization, within two working days of the termination contact. Timeliness in completing this form is particularly important when a payment is involved.

5. When all authorized services are terminated, the service worker will review the service record for completeness (including court data, the SER and other required service forms) and either send it to their supervisor for review or to closed files clerk per CSO office policy.

## 02.09 FAIR HEARING PROCESS

A. Applicants or recipients of social services have a right to appeal any action to deny, reduce, suspend or terminate social services and may request a fair hearing. Applicants or recipients may also request a fair hearing if the department fails to act upon a request for service within 30 days. Requests for a fair hearing must be made in writing within 90 days of the notification of decision by the department to deny, reduce, suspend or terminate services. (See RCW 74.08.070 and WACs 388-08-002 and 388-15-030.)

B. The appellant in a fair hearing shall be afforded the opportunity to present his/her grievance or case to the fair hearing examiner or he/she may seek the aid of others such as legal counsel. Departmental staff may not represent appellants.

C. A fair hearing request may be withdrawn by the appellant at any time prior to the date of the fair hearing.

D. When an applicant/recipient (A/R) expresses dissatisfaction with an action or decision of the department, the service worker will:

1. Explain the reasons for the action or decision in question, including the facts upon which the decision is based.

2. Explain the criteria for initiating the fair hearing process.

3. Inform A/Rs of their right to have counsel at a hearing.

4. Not coerce clients into applying for or withdrawing hearing requests.

E. The worker will determine whether the client's expressed dissatisfaction is intended to be a request for a fair hearing. If the client does request a fair hearing, the service worker will advise the client to put the request in writing and submit it to the Office of Hearings, DSHS, P.O. Box 2465, Olympia, 98504, as soon as possible but within 90 days.

F. If the client makes a verbal request for a fair hearing but does not provide a written appeal at that time, the service worker will note in the service record the date, the issue, and the client's expressed intent. The service worker will also notify the CSO fair hearing coordinator of the client's name, case number, and date of verbal request.

G. If the service worker receives a written request for a fair hearing, the worker should note the date of the request in the service record and immediately forward the written request to the fair hearing coordinator or his/her designee.

H. If the client decides <u>not</u> to request a fair hearing, the service worker will note in the service record the date, the topic of discussion, that the fair hearing process has been explained, and the client's decision.

I. The CSO fair hearing coordinator or designee will:

1. Be responsible for presenting the CSO case to the fair hearing examiner.

2. Be the contact person between the Office of Hearings and the CSO.

3. Have overall responsibility and authority in reviewing the CSO case, including but not limited to: contacting workers involved and/or their supervisor(s), notifying the CSO witnesses who are to be present at the hearing, reviewing what documents need to be available to present the department's case, etc.

4. Provide instructions regarding fair hearing procedure.

5. Determine if the attendance of an Attorney General is needed.

6. Notify the CSO administrative secretary which supervisory unit has the responsibility to do the fair hearing report and also when hearings are withdrawn and/or rescheduled.

7. Prepare the DSHS 9-354(X), Fair Hearing Report, upon receipt of the fair hearing request and route a copy to the service worker. The service worker is responsible to see that the copy is filed in the service record. (See Chapter 99, General Forms, for a copy of this form and instructions.)

## 02.10 SOCIAL SERVICE RECORDS

### A. Purpose of Service Records

The purpose of social service records is to record essential information concerning each individual for whom services are requested or provided to document eligibility, to document progress toward service plan objectives and to provide accountability for federal and state fund expenditures (see WAC 388-73-054).

### B. Service Documentation

Social service records are to be maintained for each person/family receiving social services. Records provide the basic documentation for federal and state audits of services provided and funds spent (RCW 74.04.060). State law requires records to be kept for services (see RCW 74.08.545). Adequate records must also be maintained on licensed or approved vendors (providers) and for persons who apply and are subsequently denied licensure or approval for service (RCW 74.15).

C. Social service records are tools to be used by service workers to provide readily accessible information concerning the results achieved through the provision of services and document activities thereby providing information for court reports.

D. Except for brief information and referral contacts and less than 30 minutes of crisis intervention or other social services, an individual/family who applies for and receives social services will have a service record opened and the appropriate paperwork completed. Records must be maintained on all persons or providers licensed or approved by the department. Persons or agencies from whom the department purchases services must also maintain service records on service recipients (see RCW 74.13.133).

E. Service Record Required Contents

1. The basic information required in a service record is documented on the:

   a. DSHS 2-305(X), Service Episode Record (Narrative recording);

   b. DSHS 14-139(X), Social Services Eligibility Document and Face Sheet;

   c. DSHS 14-154(X), Social Services Authorization (service, objectives, payment rates, client data);

   d. DSHS 14-159, Change of Service Authorization (turnaround document);

   Instructions for the completion and use of these forms are detailed in the Social Service Payment System Manual, and Chapter 99, General Forms.

2. The record must contain proof that the person was eligible and that eligibility was determined. DSHS 14-139(X) will provide documentation.

3. The record must indicate which services were provided and whether services were agency provided (direct service) or vendor provided (purchased service). This information is entered on the DSHS 14-154(X)/159 by use of the appropriate service codes. (See Social Service Payment System Manual, Appendix A.)

4. The record must contain an Individual Service Plan (ISP). Service plans and objectives are documented on the DSHS 14-154(X), which has service and objective codes, and the DSHS 2-305(X) (SER), which contains narrative recording. For CARES/COPES clients, the CARES/COPES Plan of Care may substitute for the Individual Service Plan (ISP). For Case Management clients, the CM Service Plan may substitute for the ISP.

## 02.11 NARRATIVE RECORDINGS

A. It is important that entries on the DSHS 2-305(X) (SER) be legible, use appropriate headings and address all of the following components:

1. Identified Problem(s) (IP)

   A clear statement of the problem or identified needs.

2. Individual Service Plan (ISP)

   A statement of the service plan including tasks and methods to achieve the objective(s), who will accomplish them and time frames. Note on the (SER) when service plans of care forms for CARES/COPES and Case Management are being used as a substitute for the ISP.

3. Narrative (NARR)

   Information adequate for probable future uses of the record including: dates of client contact; a brief description of specific events and observable acts which have importance; additions or changes to the plan; names and addresses of referrals and others involved in providing services; and any supporting data needed for court activity. When more than one worker provides services to the same individual/family, recording by both workers or a coordination summary must be entered.

4. Evaluation (EVAL)

   An evaluation of the ISP with a statement of the outcome. This statement must relate back to the identified problem and must indicate whether the objectives of the service were achieved. The summary should indicate what factors influenced the outcome of the service plan and summarize major events in the course of service delivery. It should be brief, about one page or less.

5. Disposition (DISP)

   A statement of action and future plans, i.e., whether the case is to be closed completely or continued for the same or different services with an indication of why this is the plan for the client.

B. Narrative Recording - Completeness and Accuracy

1. Most narrative recording is done on the DSHS 2-305(X), SER; however, other service recording or data forms which are required and samples are shown in Chapter 99, Forms.

2. Records must contain statements of fact. Service workers should make non-judgmental entries. If the worker wishes to record opinions or personal inferences, these must be clearly labeled as the worker's opinion or judgment of the situation.

3. Brief phrases describing key points, should be used whenever possible.

4. The worker responsible for providing a service is responsible to write the needed record narrative. Supervisors are responsible to see necessary recording is completed including accurate completion of the DSHS 14-154(X) and 14-159 SSPS forms.

5. The length and completeness of the narrative depends on the type of service and probable future need for the record. For details about what program or service information must be recorded in the service record, refer to the service chapters, Chapters 20-68.

C. Recording Requirements for Service Contractors (Purchased Services)

1. All social service contractors must maintain records on each person served. Providers having contracts authorizing their staff to make eligibility determinations must maintain records to substantiate that eligibility decision.

2. Records must contain an entry for each service given, indicating how the service relates to the goals and objectives stated in the contract.

3. Records must be maintained and stored in a professional manner meeting all requirements of CSO service records.

## 02.12 SERVICE RECORD MAKE-UP AND MANAGEMENT

A. A consistent format for the make-up of service records is essential because the record is:

1. A tool for the service worker to use during service delivery.

2. The official documentation of all actions related to the client.

3. Subject to being subpeoned into court.

B. The original make-up of a service record, including assignment of a case number, is a clerical function. CFSC or CFSC area office procedures for building, filing, storing, securing and transferring social service records shall be consistent with Manual E and the following guidelines.

C. All nonactive service records will be maintained in a central file location under clerical control (see Manual E). Active service records may be located with the assigned service worker.

D. Once a service record is made up, the service worker assigned to the case is responsible for maintaining the contents in the manner described below. When a service record is ready to be closed, the service worker must review for both completeness of information and conformity to the sequence described in the next paragraph.

E. The service record will contain three separate sections placed in a folder (but not attached to it) in the following order:

1. Section 1. Narrative Recording Section: This section contains the current Social Service Application, DSHS 14-139, and the DSHS 2-305(X), Service Episode Record. The Social Service Application and SERs will be placed in this section in chronological order with the most current social service application on top serving as a face sheet. Slide fasteners will be inserted from front to back.

2. Section 2. Service Authorization/Payment Section: This section will contain all forms which document eligibility or authorize or award services and service invoices. The DSHS 14-154(X), Social Services Authorization, DSHS 14-159 and Change of Service Authorization forms award letters will be placed in chronological order with the most current at the front. Slide fasteners will be inserted from back to front.

3. Section 3. Document Section: This section will contain all legal, medical, program specific forms, other general documents and correspondence. They will be placed in chronological order with the most current at the front, except that the most recent court order will always be at the front. Slide fasteners will be inserted from back to front.

F. The service worker determines the need for a Volume II service record according to specifications in F. 2.

1. The service worker requests in writing on the DSHS 1-01(X), Record Transfer Notice, that a Volume II folder be created.

2. All documents and forms that are more than one year old will be placed in the Volume I service record in their original chronological order by the clerical support person. Exceptions to the one-year time frame must be requested of the CSO administrator or his designee in writing by the service worker.

3. Unless it is being used, the Volume I service record will be kept in the central file. If Volume II is filled again, the purge process must be repeated, moving material older than one year into Volume I or create Volume III.



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G. Any requests for combining or separating service records will be sent to the clerical support person for action. The file clerk or other designated clerical support is responsible for maintenance of the central file location (see Manual E). No one, other than these designated persons, will be permitted to remove or replace records from central files.

H. All non-adoption social service records (all volumes) which have been closed (i.e., no service authorizations open) for a minimum of one year and which have no active financial service record (also closed for one year) will be purged from central files and transferred to Records Reference Center, Mailstop N 43-2, in Kent.

The Records Reference Center retains closed records for three (3) years. After being closed for a total of four (4) years, and due notice to the CSO, the closed (inactive) service records are destroyed.

I. For procedures and forms required to prepare, submit or retrieve records from the Records Reference Center, see the DSHS Records Management Procedures Manual (3/83).

## 02.13 PRIVACY, SECURITY AND ACCURACY OF SOCIAL SERVICE RECORDS

A. Information in a social service record is confidential. In general, confidential information should not be released outside the department without the knowledge and written consent of the client or guardian. In instances where the department has an obligation to report or release data, the client or guardian should be advised of this requirement.

B. By law (Freedom of Information Act) clients with proper identification have the right to look at their records if they request to do so. They may also challenge the accuracy, completeness or relevance of statements. Therefore, it is important to record factual statements and to label opinion or hearsay if it is written in the service record. Sources of APS complaints must remain anonymous and their names should be purged from the record prior to the client's review.

C. Information in social service records must be complete and accurate and can be shared only with authorized representatives of public or private agencies having a legitimate need to be informed concerning clients whom they are actively serving.

D. Records are available to DSHS staff members who have an assigned responsibility for the client or DSHS SO or CFSC staff who are engaged in officially sanctioned and authorized research or program monitoring.

E. All material presented at a fair hearing shall be open to the examination of the client and his/her representatives, even though such material would ordinarily be considered confidential (see WAC 388-08 and 388-09).

F. Sharing Information Outside the Agency

1. For policy, forms, and procedures to be used for release of records, see the DSHS Records Management Manual (3/83) and WAC 388-320. The DSHS Records Manager is Troyce Warner, Office of Administrative Regulations, OB-33D, Olympia, Washington 98504.

2. The following forms must be completed when processing requests for information or records:

   a. Request for Disclosure of Records, DSHS 17-41 (Revised 12/80).

   b. Authorization to Disclose Personal Information, DSHS 17-63 (Revised 12/80).

   c. Denial of the Disclosure of Public Records, DSHS 17-62 (Revised 12/80).

3. Staff subpoenaed to appear in court do not take the social service record unless it also is subpoenaed. If the record is subpoenaed, the Assistant Attorney General assigned to that program area should be consulted in advance of the hearing.

4. No individual shall be permitted to make any partial or complete list of service recipient names or addresses, or amounts paid to any person (vendor) out of DSHS offices. Social Service Payment System reports (including DSHS 14-154s and 159s) are considered confidential.

## 02.14 CASE TRANSFER POLICIES

A. Case Transfer

1. Every effort will be made to avoid transferring active clients from one service worker to another within the CSO.

2. When a transfer is necessary, the two service workers and the client when possible, will consult about: the reasons for the transfer; responsibility for the continued service planning for the client; and will document their decisions/actions in the service record.

3. Appropriate reasons for transferring an active case from one service worker to another include:

a. The client or worker requests a transfer based on a legitimate personality conflict.

b. An evaluation by the supervisor and the service worker that the service need extends beyond the knowledge or current skill level of the assigned service worker.

c. Program guidelines require the intervention of a different service work function such as a referral to Child Protective Services or Family Reconciliation Service.

d. The service worker transfers out of the section, CSO, or terminates employment.

B. Transfer Process Within CSOs for Active Cases

1. The transferring service worker must make certain that the service record is complete and all documentation is current.

2. The transferring service worker will discuss the case with the receiving service worker, or if unavailable, the appropriate service supervisor. The discussion will determine which services will be terminated, when the transfer will occur and whether a joint conference with the client is appropriate. If there is no change in purchased services and no change in provider, payments should not be interrupted (i.e., DSHS 14-159, Authorization Not Terminated). See the Social Service Payment System Manual.

3. The transferring worker will complete DSHS 1-01(X), Records Transfer Notice, attach it to the service record and forward them to the receiving service worker.

4. The receiving service worker will review the service record and the DSHS 1-01(X) for completeness and route the DSHS 1-01(X) to clerical support/master file/central file.

5. The receiving service worker will authorize any new services and confirm the accuracy of any transferred services. The receiving service worker will review the individual service plan with the client and make any required changes on the DSHS 2-305(X), Service Episode Record.

C. Transfer Process Between CSOs - Closed Cases

Requests for transfers of closed cases will be handled by clerical support. The transfer-out must be made within five working days of the receipt of the request (see Manual E).

D. Transfer Process Between CSOs - Active Cases

1. The request for transfer of active cases may be initiated by either the receiving or sending office. When the request for transfer is made, the transferring service worker must review the service record for completeness. All documentation and recording must be current. However, the service record will not be held for more than five working days after the request is made. Additional material will be forwarded to the receiving office at a later date. The service worker should note in the record what material will be sent later.

2. If the department is purchasing a service for this client and the provider or payee will not change as a result of the transfer, the transferring service worker will not terminate payment on the DSHS 14-159. See the SSPS Manual.

3. If the provider or payee will change, payment will be terminated on the DSHS 14-159 prior to the transfer out to the new CSO. (See the SSPS Manual.)

4. If the client is receiving no purchased services, the sending service worker will terminate all services on the DSHS 14-159 and submit it as a regular termination. The receiving worker must then submit a new authorization to open services.

5. Residential placements out of the CSO area should be authorized by the sending office prior to transferring the record.

## 02.15 SOCIAL SERVICE INFORMATION AND REPORTING

A. The social service reporting and payment information systems generate output reports consisting of worker, management, payment and statistical data. Statistical and payment reports provide a historical record of all vendor or provider services. Management reports are used for management of day-to-day activities and to monitor and develop statewide programs (see the SSPS Manual).

B. Statistical and payment data is entered from the DSHS 14-154(X), Social Services Authorization, and DSHS 14-159, Change of Service Authorization. All social information on clients is maintained in individual social service records on forms such as the DSHS 2-305(X), Service Episode Record, and other forms described in service Chapters 20-68.

C. Output reports are provided at different levels of detail to all three administrative levels - SO, CSOs and Regional offices (see SSPS Manual).

## 02.16 SOCIAL SERVICE WORKLOAD STANDARDS

A. Using the program standards (described in each chapter) functions, tasks and activities which comprise each social service have been analyzed and measured. Based on the standardized policies, procedures and forms described in specific service chapters, the department has established social service workload standards.

An "average time to complete" time standard has been assigned to each service. The count points for determining the volume of work is the number of designated services authorized on the DSHS 14-154(X) or the DSHS 14-159.

B. Documentation of the volume of service requests and changes in workloads is used to develop budgets for staffing CSOs and Regional offices. Whenever program standards change or new services are developed, measurement for those new standards or services will be conducted.

## 02.17 SOCIAL SERVICES - RANDOM MOMENT TIME SAMPLE

A. Introduction

1. The Social Services - Random Moment Time Sample (SS/RMTS) form collects information on a random sample basis for allocation of staff costs among service and eligibility categories. The sampling procedure is designed to satisfy federal financial participation requirements, provide an audit trail and management information for DSHS executives, and claim salary match funds for social service staff.

2. Data from the sample forms are computer processed and a monthly report is produced. This report is used to estimate the proportion of total service worker time devoted to each federally matchable program activity. These calculations are used to claim federal reimbursement for salaries under Title IVA, IVB, IVC, IVE, XIX, and XX of the Social Security Act (approximately $20 million per year).

3. For instructions on completion of the RMTS form, see Chapter 99.

B. Social Service RMTS Coordinator Responsibilities

1. The CSO administrator shall appoint a CSO - SS/RMTS coordinator and a backup person to serve in his/her absence.

2. The coordinator and his/her backup have the following responsibilities:

   a. Receiving and filing the contact schedules and computer generated DSHS 4-315, Sample Forms;

b. Distributing the sampling forms to the unit supervisor;

c. Keeping track of which contacts have been made and which forms returned (on the contact schedules); Keeping an audit file of completed contact schedules for 90 days after the sample month;

d. Reminding unit supervisors when a DSHS 4-315 is overdue; and

e. Overseeing the collection and submittal to SO of SS/RMTS sample forms (DSHS 4-315), as specified in the procedures below. See Manual E, Chapter 91.

C. Coordinator Procedures

1. Prior to the first day of each week, CSO - SS/RMTS coordinators receive a set of contact schedules, one for each working day of the week. These schedules are computer printed lists of randomly selected social service worker positions and randomly selected sampling times and dates during the standard work week (i.e., 8:00 a.m. to 12:00 p.m. and 1:00 p.m. to 5:00 p.m., Monday through Friday).

2. Each contact schedule indicates which worker positions are to be sampled and what time they are to be sampled during one work day. The persons and times to be sampled must not be revealed to the workers before sampling time.

3. The RMTS Coordinator files each contact schedule and DSHS 4-315 form chronologically, by sample date.

4. CSO-SS/RMTS coordinators then give the DSHS 4-315 sample forms for the positions to be sampled to the appropriate social service unit supervisors the afternoon before the sample date.

5. Hold the Contact Schedule in a pending file until the end of the sample day awaiting the return of the DSHS 4-315 form(s) from the unit supervisor(s). If the DSHS 4-315 forms are not returned by the end of the sample day, obtain them from the appropriate unit supervisor(s).

6. Update the Contact Schedule as necessary to show any worker changes made on the DSHS 4-315 by the unit supervisor.

7. Record on the Contact Schedule the date the worker completed the DSHS 4-315.

   NOTE: Normally this should be the contact date.

8. Place the completed DSHS 4-315 forms in the self-addressed envelopes provided and route to outgoing mail.



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9. Enter on the Contact Schedule the date the DSHS 4-315 is mailed to SO.

10. Retain the completed Contact Schedule in the audit file for the time period specified in the Records Inventory, Disposition Authorization and Transfer Schedule. At the end of the specified time, dispose of each Contact Schedule according to the DSHS Records Management Procedures Manual.

D. Social Service Supervisor Responsibilities

The social service unit supervisor is responsible for:

1. Distributing forms to workers to be sampled;

2. When appropriate, contacting branch or sub-offices, to reach workers to be sampled;

3. Verifying the preprinted data in Section I of the DSHS 4-315 sample form. The position number and program codes must match the payroll/personnel documents.

4. Completing Section II, item G, Worker Status, on the DSHS 4-315 form for each contact;

5. Verifying the service worker entries in Section III (working on a specific case) or Section IV (no specific case). Supervisors are to assure that only one, not both III and IV are completed.

6. Documenting that this quality control review has occurred by signing the supervisor's signature on the bottom of the DSHS 4-315.

7. Forwarding the completed DSHS 4-315 to the SS-RMTS Coordinator.

E. Procedures for Social Service Supervisors

1. A week's worth of contact schedules are mailed to each CSO together in one envelope. The schedule for each day is stapled shut. The RMTS coordinator files unopened schedules by date and gives each unit supervisor their sample forms the day before.

2. The unit supervisor distributes the sample forms (DSHS 4-315) to workers at the time they are to be sampled. The persons and times to be sampled must not be revealed to the workers before sampling time. The supervisor completes the form (Section II of DSHS 4-315) for employees not on duty.

3. Certain positions are NOT sampled: Project employees, Homemakers, and Community Nurse Consultants. These positions are entirely state funded or are tracked through a different system.

Note below there are special procedures for workers in sub-offices (branch) or workers not in the office or those working nonstandard work weeks.

4. Unit supervisors are responsible for knowing how to complete the DSHS 4-315 and for seeing workers follow the form completion instructions printed in Chapter 99. Errors in program eligibility codes may lose federal matching funds, and unit supervisors are responsible for preventing/correcting errors.

5. Sampling Contact Guidelinesfor Section II, Worker Status

Note: If you supervise a part-time or full-time employee working nights or weekends (e.g., on stand by), you must alter the time of the sample.

a. Sampling Employees on Standard Work Week (Day Shift)

All sample dates and times on the contact schedules are selected randomly, from during the standard work week, 8:00 a.m. to 12:00 p.m. and 1:00 p.m. to 5:00 p.m., Monday through Friday. All workers will be sampled during these hours. If you have an employee who works different hours from these, see below.

b. Sampling Employees in Branch or Sub-Offices

If the sampled person works in a branch or sub-office, the CSO - SS/RMTS Coordinator or responsible unit supervisor must distribute the form or call the branch (unit) supervisor well in advance of the sample time to inform the service worker to complete a DSHS 4-315 at the correct time.

Note: The completed DSHS 4-315 form must be reviewed and signed by a social worker supervisor and returned to the CSO - SS/RMTS Coordinator within two working days.

c. Sampling Employees on 4/40 Work Week (Nonstandard)

If the service worker is on a 4/40 work week and the sample date is his/her day off, the unit supervisor calculates a substitute contact date (Section I, Item B) only, so he/she is sampled at the same time of day on the next work day. For example, if the scheduled contact time was Monday and that was the worker's day off, change the schedule contact day to Tuesday.

d. Sampling Employees on Night Shift and/or Standby

If the service worker works a night shift or is called on duty from standby, the sample time only (Section I, Item C), on the contact schedule will need to be lined out. Please write in a substitute sample time which is the same number of hours/minutes into the night shift as the original time was after 8:00 a.m. (start of day shift).

e. Multiple Samples for the Same Worker

Occasionally the same service worker may appear more than once on the same day's contact schedule. Such instances are not duplications but occur because every worker has an equal chance of entering the sample at any time, regardless of whether selected earlier. In this case, sample each time the worker is listed.

f. Section II: Worker Status At the Time of Sample is <u>On the Job</u> (Item G-1)

(1) If the service worker filling a regular position is working either standard or nonstandard work hours and is on the job (including workers called in from stand-by) in the office or sub-office (branch) at the moment to be sampled, circle item G-1 (on the job), contact him/her at the specified time (or substitute time - see above), and have him/her complete Sections III or IV of the DSHS 4-315.

(2) If the service worker is on an intermittent position and works either standard or nonstandard work hours and is on the job (not on standby) at the moment to be sampled, check Item G-1, etc.

NOTE: Standby status is not considered on the job for purposes of this sample.

(3) If the service worker works part-time hours and is on the job at the moment to be sampled, check Item G-1, etc.

(4) If the worker is not in the office but is <u>on the job</u> elsewhere, hold the form for his/her return.

For example: If the worker is in the field, in transit to a client's home, have the worker complete the form for the client towards whom he/she was traveling and check G-1, On the job. The form should be completed by the end of the next work day for that worker and returned to the RMTS coordinator.

g. Section II - Worker Status: All Other Categories of Worker Status (Items G-2 through G-6)

(1) The unit supervisor will complete Item G and sign the bottom of the form.

(2) For service workers on the job (e.g., on duty) but not working at the moment to be sampled, check Item G-2 (work break).

(3) If the position to be sampled is vacant (that is, no new worker has yet been appointed to that position), circle G3 "position vacant" and sign the form with no other entries.

(4) For workers on leave, circle G4 or G5.

(5) For service workers who are working part-time or intermittent or are on standby (i.e., not on job) at the moment to be sampled, change the date or time of the sample.

NOTE: Please write in a substitute sample time which is the same number of hours/minutes into their shift as the original time was after 8:00 a.m.

(6) For workers away from this office or unit on job rotation, or temporary assignment elsewhere (not on duty), circle G-6.

6. THE WORKER'S SUPERVISOR SHOULD RETURN COMPLETED FORMS TO THE CSO-RMTS COORDINATOR BY THE END OF THE SAME DAY OF THE SAMPLE AND ABSOLUTELY NO LATER THAN TWO WORK DAYS AFTER THE SAMPLE MOMENT.

7. When all DSHS 4-315 forms for the day have been completed (except for those held for workers out of the office or where the eligibility is pending), mail them in the pre-addressed envelopes provided, to DSHS, Data Support and Analysis Section, MS OB-34F, Olympia, WA 98504. Branch offices or outstationed units may mail completed samples directly, without sending them back to the primary office.

8. Mail those forms held over for workers on the job but out of the office or pending information such as parental income/resources to determine a child's eligibility, as soon as they can be completed, but no later than two working days after the moment of the sample.

9. Should questions arise about correct procedures for collecting SS/RMTS data, telephone or write:

   Department of Social and Health Services
   Data Support and Analysis Section, MS OB-34F
   Olympia, WA 98504
   Attn: SS/RMTS Analyst
   Telephone: 753-7501 or SCAN 234-7501

D. Procedures for Sampled Workers and Unit Supervisors

1. When the unit supervisor contacts a worker to fill out Section III or IV of the DSHS 4-315, the worker should note carefully what he/she is doing at the moment of contact (including any case he/she is working on), promptly complete the form, and pass it to his/her unit supervisor for his/her review and signature.

2. The supervisor reviews the form for completeness and accuracy, corrects it as necesary (conferring with the worker), signs the form, and returns it to the CSO - SS/RMTS Coordinator, to log its completion.

3. Special care should be taken with Items K and L which are the "meat" of the data. Section III only is completed when there is a single primary recipient (client) identified. Section IV only is completed when there is NO single, specific client toward which the service worker's activity is directed.

4. Completing these items will require serious study of the form instructions and definitions by service workers and unit supervisors (see Chapter 99). Forms should be returned promptly to the CSO - SS/RMTS Coordinator for transmittal to the SO.

5. Questions about worker activity or eligibility category codes should be directed to:

   Community Services Policy Unit
   MS OB-41N
   SCAN 234-4652

## 02.18 SOCIAL SERVICE MONITORING AND VALIDATION

A. CSO casework supervisors are responsible for monitoring services and expenditures authorized by their staff. The Social Service Reading Schedule, DSHS 15-164(X), should be used to document:

1. Mandated services are authorized, provided, and closed in a timely manner.

2. An adequate needs assessment was made.

3. Department policy and procedure are followed.

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4. Eligibility and funding sources are correctly determined.

5. Appropriate preplacement planning is done.

6. Case documentation is completed.

7. Correct output and management information can be created from the services authorized.

B. A minimum of three records per month per service worker should be read. Records should be drawn in a manner ensuring an unbiased cross section is reviewed over a period of a few months.

C. Service supervisors should retain a copy of all completed reading schedules for a minimum of six months for use in preparing performance appraisals. It is important schedules are stored in a manner assuring the privacy of the service worker.

D. See Chapter 99 for instructions to complete the form.

E. Program Managers are responsible for evaluating statewide programs. The eligibility of social service recipients may be validated. In addition to an eligibility validation process, the social service program managers may also review service records to assess the quality of service delivery and the completeness of service records (e.g., required forms).

F. Program Managers are responsible for identifying: service delivery system problems requiring corrective actions; staff training needs; and needed revisions for operating manuals.

## 02.19 PAYMENT OF FEES FOR VITAL STATISTICS

A. When it is necessary to pay advance fees to vital statistics agencies in other states for records of birth, death, marriage, etc., the service worker will:

1. Verify the amount of fee required for the information needed and obtain the address of the state vital statistics agency. The Disbursements Section of the Office of Accounting Services has a catalog of state vital statistic agencies in the event the address or fee amount are unknown.

2. Prepare a letter in duplicate to the agency for the CFS designee's signature indicating:

   a. The type of record/information being requested.

   b. The name and case number (if applicable) of the party for whom the record is being requested.

c. The CSO address to which the record should be mailed.

B. The CSA will sign and forward both copies of the letter, along with a memorandum requesting a check be issued for the appropriate fee, to:

Department of Social and Health Services
Supervisor, Disbursements Section
Attn: Administrative Revolving Fund
MS OB-24B
Olympia, Washington 98504

C. Disbursements staff will:

1. Issue a check on the DSHS Administrative Revolving Fund and mail it with the requesting letter to the vital statistics agency indicated.

2. Return the copy of letter to the originator notifying them the request has been forwarded to the vital statistics agency.

## 02.20 REPLACEMENT OF LOST OR DESTROYED VENDOR WARRANTS

A. DSHS 9-13(X), Affidavit of Lost or Destroyed Warrant, is the proper form for requesting replacment of a vendor warrant. The top half of this form should be completed in duplicate. When completed, signed by the vendor, and notarized, the original of the Affidavit should be returned to Disbursements. See Manual E, Chapter 31.

B. The copy of the Affidavit should be kept in the social service record attached to the copy of the original payment authorization document (DSHS 14-154/159).

C. The Disbursements Office checks with the State Treasurer's Office to see if the warrant is outstanding. The replacement process takes from one to two months. If they find that the warrant has been cashed, then the process involves investigation before issuing another warrant and may take longer.

D. CSOs are not authorized to initiate another voucher. The only part CSOs play is to see the proper Affidavit is completed and submitted to Disbursements.

E. This procedure applies to all vendor payments, including adult foster home vouchers, day care vouchers, and special payments for chore services, administrative payments, etc.

## 02.99 REQUIRED FORMS

See Chapter 99, General Forms, for instructions on these forms:

DSHS 2-305(X), Service Episode Record
DSHS 4-315(X), Social Services - Random Moment Time Sample
DSHS 14-139(X), Social Services Eligibility Document and Face Sheet
DSHS 14-164(X), Social Services Reading Schedule