POLICY

DEFINITION OF CASELOAD MANAGEMENT:

- It is the process of organizing & carrying out specific duties in an accurate, efficient and professional manner.

- **Work with the participant** to provide the best possible service. Educate individuals as to their rights and responsibilities. Time will be saved and you will have the satisfaction of providing excellent client service.

- **Teamwork** - Get to know, learn from and utilize the strengths of fellow team members and support staff and share your own strengths in turn. Everyone will benefit.

- **Familiarize yourself with available internal and external services** and refer appropriately. Minimize time spent with participants on matters outside your range of specialization.

- **Familiarize yourself with the Resource Library, Ontario Works Directives and the Manitoulin-Sudbury OW Policy & Procedure Manual.** Know how to look things up and do so before asking for help. It will save you and others valuable time.

- **Plan your month** - Use a calendar to block off cut-off dates, "must attend" meetings and training sessions. Schedule participant appointments and time for resulting paperwork; as well as time for all other administrative duties and complicated case reviews. *Do not schedule appointments at month end or cut-off.* Avoid taking applications late in the day.

- **Set your priorities** on a daily, weekly and monthly basis. Deal immediately with those matters that directly affect service to your participants. Use computer tools such as suspend lists, task lists, etc. to prioritize your work.

- **Anticipate potential crises** and take steps to prevent or deal with them. This is time spent wisely.

- **Try to handle each piece of paper only once.** If you pick up a piece of paper, do not put it down without doing something that will help move it on its way. Do something no matter how small, to complete that task. Attempt to complete filing in a timely manner.

- **Seek help from your supervisor** - it is not always necessary to work alone; however, prior to seeking help have a recommendation prepared for discussion.

- **Corporate File Standards –** The Manitoulin-Sudbury DSB will move towards electronic filing of all client information. The only exception to this practice will be in relation to any legally required documents signed by the client that must be kept on file as required by the Ontario Works legislation. As a general rule, any verification or documentation that in the past was photocopied and placed on the corporate file, will now be scanned and filed electronically.

- **Exception Based Income (EBI) Reporting -** Clients who have fluctuating income, pending income or earnings are required to declare all income received by means of the Income Reporting Statement (IRS) on the 16th of every month for income received from the 16th of the previous month up to and including the 15th of the current month. Verification of income received must be submitted with the IRS. OW Case Managers with the approval of their Supervisor will be given the option to implement EBI reporting process and override the monthly income reporting requirements for clients with no income or fixed/static income.

PROCEDURE

MANAGING AN ONTARIO WORKS CASELOAD INVOLVES THE FOLLOWING:

1. Completion of Applications
2. Opening & Maintaining Corporate Files
3. File Reviews & Consolidated Verification Process
4. Participation Agreement Reviews
5. The Actioning of Tasks
6. Updating 2212’s – Declaration of Support & Maintenance

7. Corporate File Maintenance
8. Organizing and Actioning Paper flow (Mail and filing)
9. Telephone Messages
10. Month End
11. Monthly Reports
12. Cut off

Please refer to the succeeding sections for a detailed description as well as principles and procedures to follow for each item.

1. COMPLETION OF APPLICATIONS

- Applications are to be completed in the office. Home visits will be done on an exceptional basis only, i.e. living in a remote community, participant cannot come into the office due to medical reasons, inability to get a babysitter, or there is no public transportation available and they cannot find a ride.
- When booking the appointment, make the applicant aware of the documents and information required to complete the application. This will help ensure that the participant will be prepared with the necessary documentation and information required for the completion of the Application for Financial Assistance and Participation Agreement.
- Prioritize referrals in order of date as much as possible; however, rental situations should have precedence over board and lodging situations.
- Prepare application packages to include all appropriate forms.
    - Rights and Responsibilities **must** be reviewed with the applicant after forms are completed.
    - The information sheet on co-residency and cohabitation **must** be provided to all single applicants/recipients residing with individuals of the same or opposite sex.

- The participation requirements of Ontario Works must be explained to all members of the benefit unit with requirements, and the Participation Agreement (P.A.) completed.

- Your telephone number should be noted on the copy of the Rights and Responsibilities form that you leave with each participant. Explain to participants that they are **not** to come into the office without an appointment. This will eliminate waiting time on their part and allow you to schedule your time more effectively.

- If the participant does not come to the office for a scheduled appointment, a memo should be sent to the individual asking them to contact you to reschedule the appointment. If the individual does not respond within ten working days, the case is to be found ineligible.

- Encourage questions from the participant to cut down on the number of future visits and telephone calls to the office.

- Record “outstanding information required to complete application” on a “missing information letter”. State on the letter the date the information is required by and keep a copy of the letter in the file.

- No signed documents are to be taken out of the office, except those that are intended for the participant (i.e. copy of Rights and Responsibilities, etc...)

- Process applications as soon as possible. Each one must be actioned as quickly as possible. If there is outstanding information which precludes processing a case, make a note in SDMT to clearly state why the application is being held. This is particularly valuable when the Case Manager is away from their desk or is absent from work.

- Each of the following must be completed before submitting an application to be approved:

  (M) - Mandatory

  1. Form 1 (Application) - M
  2. Form 3 (Consent) - M
  3. Rights & Responsibilities - M

4. Participation Agreement - M
5. 2212 (Declaration of Support & Maintenance) - M
6. Any assignments, if applicable – M
7. Lien Consent and Documentation – M
8. Literacy Test and Evaluation – M
9. Any other forms relevant to specific case – M
10. Inter-Departmental Consent Form - M

Make clear and concise notes regarding case in SDMT notes section

- The computer system and the mailing system are to be used at all times unless the case is deemed to be an emergency.

CROSS REFERENCE: Section 2.3 – Application (How to Complete)

2. OPENING, MAINTAINING & CLOSING OF CORPORATE FILES

Corporate File Standards – The Manitoulin-Sudbury DSB will move towards electronic filing of all client information. The only exception to this practice will be in relation to any legally required documents signed by the client that must be kept on file as required by the Ontario Works legislation. As a general rule, any verification or documentation that in the past was photocopied and placed on the corporate file, would now be scanned and filed electronically.

All filing and the creation of Corporate Files are to be completed by the Case Manager, Family Support Worker or the Eligibility Review/Case presenting officer depending on the type of file.

Manitoulin-Sudbury DSB's File colour coordination **is** as follows:

Ontario Works - Corporate Client File:	Green (4 parts)
Family Support Worker:	Pink
Eligibility Review Office:	Yellow
Social Benefits Tribunal Review:	Orange
Consolidated Verification Process:	Blue
Child Care:	Green

- Most Important! Filing must be done by **ALPHA-NUMERIC CASE I.D.** only!

- Filing is done in **chronological order** with the most recent date on top. Documents date stamped "received", overrides the date of the document.

Creating a Corporate Client File:

- Using a **GREEN** corporate file folder and lettering, put the CASE I.D. down the side of the file.
- Place a white label on the top right-hand corner (when holding the file sideways). Write the following information on the label:
  - Clients full name (last name first)
  - Client's Date of Birth
  - Client's SDMT ID #

The Four Sections:
Information in the 4 Section Green Corporate Client File should be divided as follows: Documents and verification required to be filed will be filed electronically with the exception of any legally required documents signed by the client that must be kept on the corporate file as required by the Ontario Works legislation.

PART A:

- Benefit Unit Summary (On-going and Termination) (Electronic Copy)
- Income Reporting Statements (Electronic Copy)
- Monthly Activity Reports (Electronic Copy)

PART B:

- Application Form (Hard Copy)
- Consent to Disclose and Verify Information (Hard Copy)
- Rights and Responsibilities (Hard Copy)
- Inter-Departmental Consent Form (Hard Copy)
- Photocopies of Birth Certificates, Social Insurance Numbers, etc... (Electronic Copy)
- Proof of Accommodation (e.g. rent receipts) (Electronic Copy)
- Driver's License (Electronic Copy)
- Baptismal Certificate (Electronic Copy)
- Funeral Expenses (Electronic Copy)
- Life Insurance (Electronic Copy)
- Changes of Address (Electronic Copy)
- Direct Banking Information

- Client letters (Electronic Copy)
- RBC Calculation Reports (Electronic Copy)
- Any hand written letter from client (Electronic Copy)
- Overpayment and Arrears (Electronic Copy)
- Any information regarding client (Electronic Copy)
- Affidavits and Statutory Declarations (Hard Copy)
- Case Review Sheets (Electronic Copy)
- Enhanced Verification Checklists (Electronic Copy)
- Budget Worksheets (Electronic Copy)

PART C:

- Declaration of Support and Maintenance (Hard Copy)
- Referral to Family Support Worker (Electronic Copy)
- Court Orders with a seal (i.e. divorce settlements) (Electronic Copy)
- Anything regarding the support and custody of children or the respondent (Electronic Copy)
- Copies of support-related correspondence (Electronic Copy)
- ERO/CPO Referrals, Reports, etc. (Electronic Copy)
- Originals of Assignments, Statutory Declarations, Agreements to Reimburse, court orders or private agreements (Hard Copy)

PART D:

- Participation Agreements (Hard Copy)
- OW Participation (Electronic Copy)
- All employment related documents (Electronic Copy)

Electronic and/or Hard Copies of the following documentation must be present on file:

- Birth Certificates - Client, Spouse, Dependent Children (Electronic Copy)
- Marital Status - Divorce Papers & Death Verification (Electronic Copy)
- Immigration - Passport, Citizenship Card, Refugee Status Landing Record, Minister’s Permit (Electronic Copy)
- Support - Form 2212, (Hard Copy)
- Court Order, Private Agreement, Assignment, Direction (Electronic Copy)
- Insurance Policies (Electronic Copy)
- SIN numbers - Client, Spouse (Electronic Copy)
- Health Card - Client, Spouse, Dependent Children (Electronic Copy)
- School - Dependent Children (Electronic Copy)
- Employment - Earnings Verification, Income Tax Documents, Child Care Receipts (Electronic Copy)

- Assets - Bank Accounts (Electronic Copy)
- Vehicle – Registration (Electronic Copy)
- Accommodation - Lease, Rent Receipt, Deed for Property, Mortgage Agreement, Condo Expenses, Hydro/Utilities, Fuel, Taxes, Lien information (Electronic Copy)
- Assignments, Agreements to Reimburse, Statutory Declarations, court orders or private agreements (Hard Copy)

Name Changes:

- Check SDMT to see that the name change has been done. If not, make the correction by updating SDMT including the note section

- Make a new label for the front of the file using the new name but include in brackets the old name (i.e. formerly...)

- Put new lettering down the side of the file

- If there is FSW or ERO/CPO involvement, they should be informed of the changes

- Place renamed file in the correct alphabetical spot on the shelf

Files requiring a New Volume:

- On the front of the original file, a narrow label must be placed directly below the CASE I.D. label. Write in large block letters: "**Volume 1 of 2**".

- Make up the second volume identical to the first, CASE I.D. letters down the side, etc. with this exception, on the narrow label beneath the CASE I.D. label write "**Volume 2 of 2**".

- File contents that pertain to the present year must be removed from the old file and entered into the new file.

- Place both volumes in the correct alphabetical location on the shelf.

- Additional volumes should be added as above with the volume labelling reading "**Volume 1 of 3**", "**Volume 2 of 3**", etc...

Closing a Corporate File:

Please ensure the following steps are taken and information is present when closing a Corporate File:

FILE TERMINATION CHECKLIST

Termination Reason(s)

Member Name: Member ID: Date of Termination:

Reason for termination:

Financial reviews completed? (Stop payment/cheque status) :Yes ☐ No☐ N/A ☐

Tasks cleared? Yes ☐ No ☐ N/A ☐

VW Reason: VW letter on file? Yes ☐ No ☐ N/A☐

Moved from municipality? Yes ☐ No☐ N/A ☐

If yes, New address:

Employed? Yes ☐ If yes, Name of employer: No ☐ N/A ☐

If employed, was client informed of EEHB? Yes ☐ No ☐ N/A ☐

Amount of overpayment (include **all** for our office):

Reason for overpayment:

File transferred to 667 if no overpayment, transferred to 668 with overpayment? 667 ☐ 668 ☐

Case added to Inactive File Listing: Yes ☐ No ☐

Client on DSS: Yes ☐ No☐ If Yes, send e-mail to Supervisor to terminate DSS.

Client Notification

Copy of Benefit Unit Summary on file? Yes ☐ No ☐

Copy of Termination letter to client on file? Yes ☐ No ☐

Termination letter gives correct reason for termination? Yes ☐ No ☐

Overpayment explained to client in letter? Yes ☐ No ☐

Appeal process explained to client in letter? Yes ☐ No ☐

Support

Is support in this case assigned? Yes ☐ No ☐

If assigned, input assignment cancelled date in SDMT Yes ☐ No ☐

FSW notified to cancel assignment? (Copy of memo) Yes ☐ No ☐

Have all temporary waivers been end-dated? Yes ☐ No ☐

Staff Notification

E-mail sent to z.OW termination@msdsb.net? Yes ☐ No ☐
(this e-mail group includes: FSW, ERO, Housing, Child Care and Employment staff)

Completed by: ______________________ ____________ **Date**

3. FILE REVIEWS and CVPs

- The File Review is used to review the participant's ongoing eligibility for Ontario Works. Case Managers are required to redo documents Form 1, Form 3, Form 2212 (if required), Inter-Departmental Consent Form and the Rights and Responsibilities on an annual basis. (See Section 9.1 Frequency of Reviews)

- CVP is mandatory to make sure all items on the "Case Review Checklist" have been submitted.

- Make sure the participant is aware of the information that will be required prior to a scheduled interview.

- If the participant does not appear for the scheduled appointment try to reschedule; if the participant does not have a telephone, write him/her a memo requesting that they call to reschedule. If there is no response **within ten working days**, the participant's benefits **must** be put on hold.

- Encourage questions from the individual (i.e. education).
- Advise the participant that he/she should utilize your voice mail.
- Complete the Rights and Responsibility form **each time** the Case Manager does a file review.
- The Participation Agreement **must** be updated **every three months or six months depending on the participation requirements.**
- Action "Tasks".

4. THE ACTIONING OF THE TASK LIST

- The Task List is used as a tool to assist in effective caseload management. The SDMT system generates tasks for cases which require action.
  - a. Manual Tasks

    This is a task that is manually entered. A task is input when information is required for a future review, i.e. support, rent receipts, birth verification, income etc. The item should be changed to completed or a future date input when they become due.

  - b. System Generated Tasks

    These are tasks that are generated automatically. Tasks are reported only once, i.e. diabetic diet expires etc. and therefore must be actioned immediately. Tasks will remain on the list until they are resolved by the Case Manager.

5. ACTIONING OF CASELOAD REPORT

- This comprehensive alphabetical list of participants is produced for each caseload at the end of every month.

- It will show:

  1. Participant name, address, phone number, date of birth and SDMT ID number.
  2. Program type (OW) and status (ongoing)
  3. It will also show a range of other important items such as:
     - Reason for assistance;
     - Payment type (DBD or cheque);
     - Effective date (Grant date);
     - Last PA and next PA
     - Lists dependents on budget
     - Dependent's birthdates

- The two most important uses of the Caseload Report are:

  - It provides a list of active participants
  - It tells you when the next Participation Agreement is due

6. ORGANIZING AND ACTIONING MAIL

- Review your mail daily. Prioritize it so that items which require immediate action are taken care of first. Items which require money should be given priority.

- Do not let your mail accumulate. Handle each piece only once.

- Check your mail for changes of address (i.e. participants who have moved) and make relevant changes in SDMT. Complete a change of address form for corporate file.

- Prepare for extra mail between the 16th and 25th of each month when Income Reporting Statements are due.

7. TELEPHONE MESSAGES

- **All telephone messages must be returned within 24 hours.**

- Please renew your voice mail message everyday indicating the date and the length of time that it will take you to get back to the individual. (i.e. Hi, you've reached Sally Smith at ext. 666. It's Monday, September 25. If you leave a detailed message with your name and phone number, I'll be able to return your call **within 24 hours.** Participants will continue to call or will come into the office until they receive appropriate service.

- Messages should be left on your internal and external voice mail to advise individuals of the dates that you will be away from the office. The message must also indicate that inquiries may be directed to the office switchboard by pressing 0.

8. DEALING WITH MONTH END

- Avoid scheduling appointments at month end.
- Ensure proper documentation in the SDMT notes section so others can understand clearly what you are expecting from the participant.
- If you can resolve the problem before month end, do so (i.e. releasing cases from suspend where outstanding information has been provided).
- Do not put cases on suspend unnecessarily if you are going to be away at month end.
- If you are going to be absent at month end, note in the SDMT notes section any anticipated problems that may occur.

9. CUT OFF

- The day of cheque run is the final day to input any changes that can affect the month end cheque.
- Changes must be input into SDMT prior to "cut off" at 4:30 p.m.
- Review and action suspend report
- Mark on your calendar each cut-off date as you become aware of them

Exception Based Income (EBI) Reporting

OW Case Managers with the approval of their Supervisor will be given the option to implement EBI reporting process and override the monthly income reporting requirements for clients with no income or fixed/static income.

The Case manager will review the criteria for EBI, the client's circumstances and may use their discretion to determine which clients are suitable.

Clients will be expected to sign a new Rights and Responsibilities Form indicating their agreement to participate in EBI reporting which will confirm their understanding that they need to report all changes to their Case Manager and meet with their Case Manager at minimum every three months to review their participation in EBI reporting.

EBI reporting will be not available to clients who have fluctuating income, pending income, pending earnings or in the first three months of eligibility for Ontario Works. They will be required to declare all income received by means of the IRS on the 16th of every month for income received from the 16th of the previous month up to and including the 15th of the current month. Verification of income received must be submitted with the IRS.

Income from earnings will be calculated using the actual net earnings in the month received.