access health CT

Connecticut Department of Social Services

Making a Difference

Administration of Unknown Items

Process & Procedure Guide

Document Controls

Document Purpose

Documents that are scanned into the system and that are not a recognized document type or do not have an associated coversheet with a barcode, are attached to work items and placed in the Unknown queue in the HIX/Tier-1 system.

This guide describes the steps to effectively process Unknown work items through the shared HIX/Tier-1 system. This includes the actions required by processing staff such as classifying a document type (e.g., driver's type), indexing to an account and returning them to the work pool to be processed (e.g., as Manual Verifications).

Versioning Approach

Draft versions of this guide will be noted as V0.1. When a version is initially approved it will be promoted to V1. Whether to then use a decimal ("dot release") or a full integer release is discretionary based on the degree of change.

Intended Audience

The expected audience for this document includes:

1. DSS Management
2. DSS Cadres
3. Process trainers
4. Process staff as required
5. Access Health CT Staff

Version Control

Version	Date	Author(s)	Change
1.0	01/31/2017	DSS	Initial version

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Process Overview

High Level Description

The Unknown Documents queue consists of documents sent by consumers, which were not submitted with a barcoded coversheet, or were separated from the coversheet that connects the documents with the corresponding application/case in the shared HIX/Tier-1 system. This queue may also consist of returned mail that may or may not have been separated from the return envelope (refer to Return Mail Procedure).

The Application Processor's main goal when processing Unknown Documents is to classify the document type and index under an application (case) identifier. Unknown documents can be a variety of things including ad-hoc correspondence, manual verifications, unexpected returned notices (i.e., no applicable queue) and Appeal forms.

The majority of items are verification type documents submitted without a coversheet.

The Application Processor will index the work item with the most recent application ID (App ID) for the household, and return the work item to the appropriate work pool to be processed.

Guiding Principles & Goals

The Application Processor's primary role in the Unknown Documents queue is to assign the correct Application ID to the work item. Application processors will need to scan through all of the documents in their work item, and perform an application search in the shared HIX/Tier-1 system with the available identifying demographic data from the consumer's documents. In order to avoid violating any HIPAA privacy laws, it is important that the Application Processor links as many pieces of information from the work item documents to the correct Application ID in the shared HIX/Tier-1 system prior to updating the work item. If documents are linked to an incorrect Application ID then consumers (with online accounts) can gain access to documents that aren't their own and this would constitute as a Personally Identifiable Information breach.

For work items identified as Verification work items, the Application Processor's secondary role is to classify each unclassified document, e.g., as a driver's license or a pay stub.

The Work Item

Application Processors working in the Unknown Documents queue will receive various documents via work items sent to their HIX/Tier-1 system inbox. The work item may include a single document, or many documents, depending on what the consumer submitted. The scanning vendor splits a mailing and places a separator page between each document; the page classifies the document type (e.g., passport or paystub) or specifies it as "Unknown Document Type" if it is not recognized.

Each document in the work item has an assigned document ID and is stamped with a document received date. The Document Details section of the work item displays the identifying information for each document in the work item.

After an Application Processor has updated the work item with the correct Application ID from the shared HIX/Tier-1 system and has classified all of the work item contents with verification category Document Types (when this was not already done by the scanning vendor), the work item needs to be returned to the work pool, by selecting the appropriate action. The Unknown Document work item actions include:

- **Return to Pool** – This action will close the work item, remove it from the Application Processor's inbox and send it to the work pool to be assigned as a Manual Verification.
- **On Hold** – This action will close the work item, but keep it in the Application Processor's inbox for further review. Items are to be placed on hold when Application Processors are pending directives from leadership/training staff, but is still expected for the processor to complete upon receiving directives.
- **Escalate** – This action will close the work item, remove it from the Application Processor's inbox and send it to the desired party. When the action is selected, a dropdown menu will populate with leadership/training staff names. Application Processors are only to escalate items to staff when specific directives apply and the party that receives the escalation is expected to complete the work item.

  Send To DSS – This action will close the work item, remove it from the Application Processor's inbox and send it to the Department of Social Services (DSS).

Process Details

Application Processors working Unknown Documents will follow a two-step process, which must be completed in sequential order, to satisfy the queue's required duties. Each process, along with their respective directive variations are detailed below.

Step 1 - Assigning an Application ID

The first step for Application Processors in the Unknown Documents queue is to correctly identify the most recent Application ID for the document's household, and index it to the work item.

However, it may be that the documents were clearly intended the DSS scanning unit used by ImpaCT/ConneCT for non-MAGI Medicaid, nutritional and cash programs, i.e., they are forms or notices generated by ImpaCT. In this situation the Application Processor shall proceed to send the unknown work item to DSS by selecting the *Return to DSS* action and clicking Submit. In this situation the processor has finished their work for this item.

Assigning an Application ID entails reviewing each document in the work item, seeking identifying demographic information that will allow for an application search. Using the Application Search tab in the shared HIX/Tier-1 system, processors will perform a search using any of the following:

• Household Member First/Last Name	• Phone Number
• Date of Birth	• Person ID
• Social Security Number	• Email Address
• DSS Client ID	• Address, City and Zip Code

Once an application ID is found that may correspond to the documents in the work item, the Application Processor will navigate to the most recent application ID belonging to the string, and try to confirm that documents belong with the household in as many ways as possible.

The system currently does not display all information in the view-only pages. Specifically the following information is not available:

- Employer Type and
- Immigration Details

In this situation it may be helpful to Report a Change on the application. When a change is reported, more detailed application data is visible, which may allow the Application Processor to confirm that the documents belong with the application/household.

It is imperative that Application Processors, when reporting a change for this information seeking purpose, click the Delete Pending Changes link from the application homepage after their review. This will remove the application created by the change report action from the system and keep the previously accessed App ID as the most recent in the household's string.

Application Processors must be certain that the documents belong to the account found in the shared HIX/Tier-1 system. Indexing the incorrect App ID to a work item will allow consumers, with an online account, access to another family's information, which will violate HIPAA privacy laws. Once the Unknown Documents have been confirmed as belonging to an account in the shared HIX/Tier-1 system, Application Processors will identify the most recent App ID for the household and update the work item accordingly:

- Under Work Item Details, click Edit.
- Copy and paste the App ID from the shared HIX/Tier-1 system to the Application ID field of the work item.
- Click Save. The following confirmation message will be displayed: "Work Item Save Successful."

NOTE: If the most recent application for the household is in an In-Process status, Application Processors should not use that App ID to update the work item, as it may be deleted from the system. In-process applications will not have a Report a Change link. In such instances, Application Processors will update the work item with the most recently submitted App ID. This will be the previous App ID from the application string.

If a consumer's identifying information from work item documents cannot be confirmed as belonging to an existing account in the shared HIX/Tier-1 system, it is possible that the consumer incorrectly sent the items to AHCT, i.e., they should have been sent to the DSS Scanning Unit used by ImpaCT/ConneCT for non-MAGI Medicaid, nutritional and cash programs. If it is possible that the documents may be intended for the ImpaCT/ConneCT systems then the Application processor shall proceed to send the unknown work item to DSS by selecting the Return to DSS action and clicking Submit.

In some cases, the work item will already have an Application ID indexed. This could be for one of two reasons:

1. The document was a HIX/Tier-1 document and had a barcode but has no expected queue. For example, a Hearing/Appeals Form that was sent with an eligibility notice or an informational notice that was never expected for the client to send back.
2. The work item was already processed, but a system error prevented it from reaching the appropriate work pool (Refer to Repeated Items in the Unknown Documents Queue section). Application Processors should not update the Application ID field when it's already populated. This means that step one of the Unknown Document process is complete, and the Application Processor may proceed to the second step: Processing the Work Item.

Step 2 - Processing the Work Item

The second step in the Unknown Documents queue is to classify the documents of the work item. Each document included in the work item may need to be classified. Typically, the documents will display the "Unknown Document Type." For each link under the Documents section of the work item, Application Processors will classify each document by navigating to the Document Details section of the work item. Clicking the "+" icon will expand the section, displaying the Document Type dropdown menu. For each document link, Application Processors will:

- Click Edit
- Select the appropriate Document Type from the dropdown menu
- Click Save. The following confirmation message will be displayed: "Document Save Successful."

Application Processors will use the HIX/Tier-1 Document Types worksheet (Appendix A) in order to determine the appropriate Document Type to select for each item. The HIX/Tier-1 Document Types worksheet categorizes all of the Document Types available via the work item drop down menu, allowing Application Processors to isolate the Verification category Document Types. There are specific directives for certain documents:

- For all AHCT Notices, including but not limited to: Cover Sheets, Eligibility Determination Notices, Failed Verification Notices, Additional Verification Required Notices, etc., Application Processors will select the "Cover Sheet" Document Type.
- For Appeals Requests, Application Processors will not classify the document. Instead, they will select the Escalate work item action and send to designated Appeals Department worker responsible for printing and transmitting to the DSS Appeals Unit.
- For returned mail, please refer to the Return Mail Procedure below.
- For work items that solely include a (1304) QHP Renewal Signature Form, Application Processors should select the "Business Record" Document Type, select the Escalate work item action, and send to designated supervisor. If there are additional documents in the work item, they should be classified appropriately and returned to the pool using normal directives, instead of being escalated.

All other unclassified document links in the work item will need to be classified by Application Processors with the closest corresponding Verification category Document Type, using the provided HIX/Tier-1 Document Type worksheet.

There are several Verification category Document Types that must be avoided by Application Processors. Items classified with the Document Types below will not be successfully sent to the Manual Verification queue, and will reappear in the Unknown Documents queue when submitted:

• Company Statement	• Eligibility Determination
• Insurance Policy	• Eligibility Redetermination
• Income Source Statement	• Invoice
• Miscellaneous	

Unless "Cover Sheet" is appropriate, the Document Type "Business Records" may be used to classify documents that would fit the description of the Document Types above. Additionally, for documents that are not easily categorized, the Document Type "Written, signed statement from spouse, parent, sibling, teacher, doctor, lawyer, etc." may be used as a generic Verification category Document Type.

Return Mail Procedure

A piece of returned mail may appear in an assigned Unknown work item. The following steps should be taken when encountering a returned mail work item. The steps are categorized by the information available on the envelope sticker:

- **Envelope sticker with the last name only**: Call the consumer to confirm the address. If you are unable to reach the consumer please document the phone call in HIX/Tier-1 and keep the address in HIX/Tier-1the same.
- **Envelope sticker with an out of state address that states "temporarily away":** Attempt to contact the consumer by phone and if you are unable to reach them please leave a voicemail requesting a call back. We need to wait three business days for a response. If there is no response from the consumer in three business days then change the mailing address in HIX/Tier-1 (Out of state addresses should not be used for a primary residence).
- **Envelope sticker with an out of state address and it does not state "temporarily away":** Attempt to contact the client by phone and if you are unable to reach them then leave a voicemail requesting a call back. We need to wait three business days for a response. If there is no response from the consumer in three business days then update the address in HIX/Tier-1 and re-run eligibility.
- **Envelope sticker with no address:** Check any new documents that have been received since the returned mail was received. Check to see if a new address is listed on that correspondence. If there is a new address, update HIX and re-generate the letters that were received in returned mail. If there are no new documents since the returned mail was received make an outbound call to the

Error where Items returned to the Unknown Documents Queue

If Application Processors notice that an item has been returned to the Unknown Queue, it did not make its way to the Manual Verification work pool appropriately. These work items are identified by already having an Application ID indexed. Application Processors should follow the following steps to resolve repeated items in the Unknown Documents queue:

- Click Edit to change each work item link's Document Type to "Unknown Document Type," and click Save.

- Click Edit again in order to reclassify each document, according to the appropriate Document Type, and click Save.
- Select the “Return to Pool” action and click Submit to close the work item.

This is a workaround while the System Integrator is analyzing the system issue causing work items to be returned.

Case Comments

Application Processors will enter Case Comments for the Unknown Documents queue in the work item; they will not save notes in the shared HIX/Tier-1 system. Below the Work Item Details section, Application Processors will click View/Add Comments, which will yield a popup text box for entering required notes. Case Comments are required for all Unknown Document work items and must include the following criteria:

1. Application Processor’s shared HIX/Tier-1 system username
2. Denote vendor name
3. Specify Processing Queue: Unknown Processed
4. Latest App ID indexed to work item
5. A list of each Document Type included in the work item and their corresponding document ID, which is located under the Document Details section of the work item. Each document link may have a different document ID.

After Case Comments are complete, Application Processors will click Add in order to save notes in the work item. The following confirmation message will be displayed: “Comment Add Successful.”

Closing the Work Item

After Application Processors have performed the two-step procedure for their Unknown Documents, the correct action must be selected in order to close the work item window. For work item actions and their corresponding use, refer to The Work Item section.

Appendix A – HIX/Tier-1 Document Types

HIXTier-1 Document Types - 2017-02-09.x