

# Handling Returned Missing Information

Process & Procedure Guide

## Document Controls

### Document Purpose

When entering a paper application form, or a paper renewal form, into the HIX/Tier-1 system it is sometimes necessary to contact the client for more information, for a clarification or for a signature. The system generates missing information and signature notices which are sent to the client. The missing information notice can embed custom text (e.g., “Please fill out Section 6 for John as you skipped this in your Application”) and can include a paper application form as an attachment.

This task is focused on handling missing information and signature notices returned by the client. When these notices are returned, they are scanned into the system by the State’s scanning contractor and attached to an electronic work item in the HIX/Tier-1 system. This document provides guidance on the key components of effectively processing these notices through the shared HIX/Tier-1 system. The following includes what actions are required by Application Processors, such as data entering consumer application information, running eligibility determination, and documenting actions on the consumer’s account.

### Intended Audience

The expected audience for this document includes:

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

**Version Control**

Version	Date	Author(s)	Change
1.0	01/31/2017	DSS	Initial Version
1.1	11/17/17	Jose Martinez	Removed reference to sending blank applications and updated Case Comment requirements.
1.2	05/03/2019	Rob Marchant	Expanded the text to more explicitly call out that Missing Signature is part of this process, i.e., not just missing information.  Importantly, Missing Signature updates should use the filing date of the returned signature form.

**Document Sign Off**

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## Process Overview

### High Level Description

Application Processors work the paper application or paper renewal queues in the shared HIX/Tier-1 system<sup>1</sup>.

### Missing Information

When critical missing information prevents the consumer's application from being submitted, Application Processors will perform an outbound call. The goal is to reach the consumer, obtain critically missing data, and submit application in order to determine the consumer's eligibility.

When the consumer is not reached via an outbound call, Application Processors generate a missing information notice that is mailed to consumers. This notice indicates what information needs to be updated on the pending, or in process, application in the shared HIX/Tier-1 system. Reminder 1327 Notices are sent to the consumer, fifteen and thirty days after the initial 1323 notice is sent. If the consumer does not provide the necessary information within forty-five days, the shared HIX/Tier-1 system will deny the application (application has a status of *Denied*), and the consumer will be informed by a 1328 Missing Information Denial Notice. This will require the consumer to start the process again by submitting a new application.

Prior to the system proceeding with the denial action on the forty-fifth day, the consumer may respond to the missing information notice by contacting the call center, logging in to their account via the consumer shared HIX/Tier-1 portal, or by mailing back the missing information notice. If the consumer chooses the mailing option, the documents are scanned and become work items. These work items require processing actions by Application Processors working in the missing information queue. The processes for processing the returned missing information notice are detailed in this document.

### Missing Signature

If an application or renewal does not have a signature, then a similar process to the general missing information process is initiated. The missing information work queue is shared for general missing information and missing signatures. Key differences include:

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<sup>1</sup> Procedures for processing these queues be found in the *Paper Application Data Entry PP Guide* and the *Paper Renewal Data Entry PP Guide*.

- The initial notice is a 1315 Missing Signature notice. There is also a 15-day missing signature reminder notice; the 1329 notice.
- When the application is terminated it is placed into a status of *Canceled* (not *Denied*). No cancelation notice is sent.
  - Note: The application is not denied, because without a signature it was never a true application and so there is nothing to deny.
- If a signature is received in time, then the application can be submitted, but the Application Filing Date is updated to be the date of receipt of the signature.
  - Note: The signature makes for a submitted application. Without a signature these 'applications' are not counted in timeliness reports and once the signature is received the timeliness is measured from the date of signature receipt.

## Guiding Principles & Goals

Consumers who mail their missing signature or missing information will have their updated information entered into the shared HIX/Tier-1 system by an Application Processor. The processor's goal is to locate the consumer's application, enter the requested critically missing information, and submit to yield an eligibility determination. Enrollment selection and case comments, or notes, are also required to finalize the process.

If required information for the eligibility determination is still missing, or is unclear, Application Processors will perform an outbound call in order to clarify information with the consumer. If the consumer is not reached, Application Processors will generate an updated missing information notice, which will inform the consumer of the remaining required missing application data. The application processor must include case comments on the consumer's account referencing outstanding information necessary to finalize the application.

## The Work Item

There are three different work items associated with Single Streamlined Applications:

- 1) Paper Applications
- 2) Paper Renewals
- 3) Missing Information and Missing Signature Notices

The majority of processing for these three work items will follow the same procedures as laid out in the *Paper Application Data Entry P&P Guide*. There are minor differences that will be explained within each work item's associated P&P guide.

Application Processors working in the (FileNet) Missing Information queue (which has missing information and missing signatures) will receive work items sent to their shared HIX/Tier-1 system inbox. Each assigned work item contains at least one document link. 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. The Application Processor will perform an application search in the shared HIX/Tier-1 system with the work item application ID in order to locate the consumer's most recent application.

The premise behind this work pool is that the consumer has a pending application in the shared HIX/Tier 1 system and eligibility was not determined due to the missing information or signature requested in the notice. However, the consumer may have already updated and completed their application prior to the processor's receipt of the missing information work item. In that case, the application would not be pending, or have an in-process status. Applications that are in the in-process status are missing consumer data, preventing it from being submitted and yielding an eligibility determination. Additional application statuses in the shared HIX/Tier-1 system include:

- **Denied** – Application has been denied for failure to provide missing information in a timely manner.
- **Canceled** – Application has been canceled for failure to provide a signature in a timely manner.
- **Partially Enrolled / Enrollment in Progress** – Enrollment process has been started after eligibility determination for one or more applicant, but has not been completed.
- **Determined** – Eligibility has been determined.
- **Completed** – Applicant has been successfully enrolled in a health plan.
- **Submitted** – Indicates a system error occurred during eligibility determination.
- **Initiated** – QHP application determined and enrollment file sent to carrier.

Applications in any of the statuses listed above may not need additional action.

Once the appropriate application is identified, the consumer's information is entered in the system according to the directives outlined in this guide.

After an Application Processor has entered all of the consumers' application data in the shared HIX/Tier-1 system, or has reached a point where he/she needs further assistance, a work item action must be selected in order to close the item window. The missing information work item actions include:

- **Send to DSS** – This action is not used in the missing information queue.
- **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.
- **Complete** – This action will close the work item and remove it from the Application Processor's inbox. Application Processors are to select this action when the application was successfully submitted and yielded an eligibility determination.
- **Missing Info** – This action will close the work item and remove it from the Application Processor's inbox. Application Processors are to select this action when critical missing information remains, and they are still unable to receive an eligibility determination.

A missing information work item may also include manual verification documents that were scanned in as part of the intake process. Application Processors are to enter all information provided on the paper application in the shared HIX/Tier-1 system before using data from verification documents. In the interest of determining eligibility, if critical missing application information is retrievable via the attached verification documents, it should be entered into the shared HIX/Tier-1 system. After application submission, verification documents that happened to be attached to the Paper Application should be used to manage any outstanding Verification



Checklist (VCL) items, according to directives in the *Tier 1 Manual Verifications: Process and Procedure Guide*.

## Process Details

### Step 1 – Locate most recent application

Once the missing information work item is opened, the Application Processor begins by performing a search in the shared HIX/Tier-1 system via the Application Search tab. Processors will attempt to locate the consumer's most recent application. If the consumer returned the barcoded missing information/signature notice with the accompanied application, the work item should be indexed with the consumer's application number (App ID). Application Processors will perform a search with the work item App ID, ensuring to check the box for "Display all associated applications." This will ensure the Application Processor locates the most recent application for the consumer.

### Step 2 – Process the Missing Information Work Item

Application processors should follow the same steps as described in the *Tier 1 Paper Applications P&P Guide* when processing the AH3 application. The goal is to update any blank areas of the application. For areas where an answer was previously entered, the Application Processor may leave the existing data provided it does not contradict the missing information work item. New information should overwrite the existing information. There are some special considerations:

- For Missing Information (NOT missing signature): If the most recent application for the consumer is in the "in-process" status, Application Processors should not update the Filing Date or Document ID fields on the Application Information screen.
- For Missing Signature (NOT missing information): If the most recent application for the consumer is in the "in-process" status, Application Processors should update the Filing Date on the Application Information screen to the receipt date of the signature and the Document ID field to reference the signature document.
- If the most recent application was submitted and is complete, but there is still a need to Report a Change and update the account, the work item data from the missing information should be used.

After the missing information has been updated, Application Processors will need to clear out the information used to generate the missing information, prior to submitting the application. Application Processors will navigate to the Manage Missing Information Quick Link and delete any information under the Notes box for each consumer. Also, each consumer's checkbox will need to be unchecked. The shared HIX/Tier 1 system will not allow the Application to be submitted if any fields under the Manage Missing Information Quick Link are populated.

## Outbound Phone Call

Application processors are to follow the outbound phone call procedures outlined by the Paper Applications P&P.

## Generating another Missing Information Notice

It is possible that the returned information is incomplete or generates more questions. In that case the Application processors are to follow the missing information procedures outlined by the *Paper Application Data Entry P&P Guide*.

## Enrollment

Application processors are to follow the enrollment procedures outlined by the *Paper Application Data Entry P&P Guide*.

## Case Comments

Case Comments are essential for successful processing across multiple vendors. They provide information that will assist with understanding prior actions and detail account history. Under the account homepage, the notes section is accessible by clicking the *Manage Case Comments* Quick Link. From this page, Application Processors will click *Add Case Comment*, which will yield a popup text box for entering required notes. Case Comments are not required for all assigned missing information work items. Case Comments are required by Processors in the following scenarios:

- Outbound call performed
- Missing Information Notice generated
- Any processing action taken deviates from standard directives

When required, Case Comments must include the following criteria:

1. Application Processor's shared HIX/Tier-1 system username
2. Denote vendor name
3. Specify Processing Queue: MIN Processed or MIN Received
4. If an outbound call was performed, document any clarifications or changes received from the consumer.
5. If another missing information notice was sent, indicate all of the information that was requested.

After Case Comments are complete, Application Processors will click **Add Comment** in order to save notes in the shared HIX/Tier-1 system.

## Closing the Work Item

After Application Processors have assessed all documents included in their work item and have made all necessary updates in the shared HIX/Tier-1 system, 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.