Department of Human Resources 311 West Saratoga Street Baltimore MD 21201	**Family Investment Administration** **ACTION TRANSMITTAL**
Control Number: #12-27	**Effective Date: Upon Receipt** **Issuance Date: June 5, 2012**

TO: **DIRECTORS, LOCAL DEPARTMENTS OF SOCIAL SERVICES**
ASSISTANT DIRECTORS OF ADMINISTRATION/FINANCE OFFICERS
DEPUTY / ASSISTANT DIRECTORS FOR FAMILY INVESTMENT
FAMILY INVESTMENT SUPERVISORS AND ELIGIBILITY STAFF

FROM: **ROSEMARY MALONE, EXECUTIVE DIRECTOR**

RE: **DOCUMENT IMAGING**

PROGRAM AFFECTED: **ALL PROGRAMS**

ORIGINATING OFFICE: **OFFICE OF PROGRAMS**

SUMMARY:

DHR is phasing in implementation of a new document imaging system in all local Departments of Social Services and Child Support Enforcement Offices (CSE). The phase-in will proceed through August 2012. CSEA is providing information to CSE office staff. The document imaging system allows staff to scan customer verifications into a secure common statewide database. Another name for this system is Enterprise Content Management Solutions (ECMS). You may also be familiar with its desk top icon, "On Base." This AT will address the process as document imaging or scanning for the sake of consistency. One of the goals for document imaging is to eventually convert all records into an electronic format. We plan to reduce reliance on paper records and to facilitate more efficient electronic management of customer documents.

The document imaging system has input, retrieval and management capability provided by Compass Capture software.

Several local departments are already using the document imaging system. This action transmittal provides a brief overview and guidelines for the process. The INPUT USER GUIDE and the RETRIEVAL USER GUIDE are located on FIPNET under MANUALS. At http://fipnet1.dhr/Manuals, select Enterprise Content Management Solution (ECMS) Input User Guide or Retrieval User Guide. Please review the guides for additional instructions on how to scan and file documents and for information on retrieving documents in the system.

Document imaging is a new process for DHR. Throughout the implementation process, we will learn new shortcuts, quirks in the system, and more efficient ways to use it. This Action Transmittal is the first, but certainly not the last, we will issue as we all continue to learn and new information becomes available.

REQUIRED ACTION:

We recognize there are different operational models in the local departments. Some LDSS offices operate under a caseload management model while others operate under a process management system or another model or a combination. Each LDSS must develop standard operating procedures (SOPs) to ensure that their office meets the statewide expectations set forth by FIA and stated in this AT.

SOP

The following information must be in the LDSS SOP. Please forward a copy of your LDSS SOP to Vince Kilduff via e-mail.

- Think through what your Quality Assurance process will be to ensure that staff are transitioning to the new technology.

- Think through how documents are routed in your business model. In the caseload model documents may be routed directly to a specific person, but in the process management model, documents may need to be processed through several people who review them and determine the next steps to be taken.

- Ensure that all staff understand that document imaging will be used and that all documents must be scanned in to the system within **24 hours** of their receipt.

- Ensure that case managers:

  - Know who and how to notify designated staff of needed changes
  - Know the follow up procedures to ensure that changes are completed timely. Example: What is the process if a document is incorrectly attached to an individual? Who will fix it and in what time frame?

- Ensure that staff **always check** the system to determine what documents and information were previously scanned for the customer they are working with.

- At present, a limited paper file can be maintained. However, in addition to providing a verification history for the next person, we believe that maintaining a scanned copy of the Work Number results will reduce the cost of using The Work Number system. If the information is scanned in, it is available to anyone who needs it.

- Ensure that staff know whether the LDSS is maintaining a limited paper record and what is supposed to be maintained in it. A good rule of thumb; scan it if you would save it as paper.

- The SOP must also include procedures for emergency or other out-of-the-ordinary situations such as staffing shortages or power outages. The system backs up data that is scanned into it.

Planning is critical

Prior to document imaging implementation there are several steps that each LDSS will need to consider. The following tips were developed by Assistant Directors in jurisdictions that have implemented document imaging.

- Decide early who you select to be in the Train the Trainer sessions. As Subject Matter Experts (SMEs) for document imaging, they need to be able to work with staff. Make sure they are going to be available.

- Each LDSS must have at least two super-users.
  - The super-users will be points of contact with the Office of Technology for Human Services and PSI Help Desks.
  - They are also a resource to their co-workers.

- Analyze your business model and determine where in your business process you will scan and where your scanning equipment will be located.

  - The equipment can be "upfront" at the reception desk, near incoming mail, or at the "back end" near the on-going eligibility process.
  - A location close to the "front end" reduces the number of photocopies staff make and the amount of paper being managed.
  - If your system is set up so documents are scanned in a central location, how are interim changes getting scanned in and reviewed to meet the requirements of the Food Supplement CAP.

- Ensure that the person who scans documents in your office has both FIA policy knowledge and CARES knowledge.

- Determine if there are other processes that you can centralize such as mail or Fax. Encourage the use of telephone calls with customers, especially those who apply via SAIL. FIA will issue guidance on protecting customer Personally Identifiable Information (PII) when using e-mail correspondence with customers.

During and After Implementation the Local Department will:

- Immediately upon installation of the equipment, designated staff must begin using document imaging.

  - PSI provides train-the-trainer sessions in each local department.
  - All FIA and Child Support Enforcement verifications must be scanned into the system, as well as the applications for assistance.

- LDSS designated staff **must scan verifications that impact pending actions (applications, redeterminations or 6-month reviews and interim changes)**. Do not scan documents on closed cases or documents on active cases that were approved in a previous month. Cases can be purged at their redetermination.

- The exception to scanning only information for pending actions is with overpayment cases. Individuals working on an overpayment case may scan the information into the system to ensure the information is not misplaced in the future.

- There are many ways to sort information and locate it in the system. Sort by date to locate the most current documents.

  - When doing clearance, LDSS staff should always print MABS and Work Number screens.

  - At LDSS option, these screens do not have to be scanned in as verifications.

  - At LDSS option, State Data Exchange (SDX) information does not have to be scanned in. It is readily available and the CARES narration must address the SDX findings.

Documents

After a local department receives equipment and training on the use of document imaging you must begin scanning documents for all applications, pending cases, redeterminations and 6-month reviews, interim changes, overpayment cases and appeals.

All documents must be free of all staples, paper clips, sticky notes, etc., to prevent damaging the equipment. All documents scanned into the system will remain in the database and are retrievable whenever staff needs them.

Customers do not have to bring verifications to the local department in person. Faxed, emailed or previously scanned versions are acceptable, unless questionable.

DO NOT RETAIN any of the customer's original documents in the case record. Return original documents to the customer. Once customer documents are scanned, any paper copies of customer information should be recycled or shredded depending on the personal information contained in them. There is no reason to maintain paper that has been scanned into the system.

*The **Social Security Administration (SSA)** provided clarification for us that the **Interim Assistance Reimbursement form (DHR/FIA 340) can be** scanned.*

- ***Once the 340 is scanned, do not retain the original paper 340.***
- *The instructions from SSA are to shred the original form after it is successfully scanned.*
- *Make sure the scanned copy is clear before shredding the original.*

- *There is no longer a reason to send a copy to the Finance Office since the scanned document is available to them.*

Please note: Photo IDs and some other verifications do not always scan clearly. Make sure the information scanned clearly before you return it to the customer or shred copies. Social Security Numbers (SSN) on SSN cards and driver's license in particular do not scan clearly. Photocopying and then enlarging a driver's license photo helps it to scan clearer. There is no simple solution for ensuring SSNs scan clearly.

Scanned documents can be submitted to the **State Review Team (SRT**) as long as the documents can be read.

The Mail-In Benefit Review form should be scanned in as a Redetermination.

Retention

Imaged documents that are no longer needed such as the previous year's Primary Prevention Initiative (PPI) forms, the old lease when the customer has a new address, a school form for the previous year can all be sent to Archive when no longer needed.

Associating Identifying Data and Data Input

Keywords are identifiers associated to a document by the scanner operator at the time the documents are scanned. These words are used to retrieve documents associated with specific customers or cases. The index of Key Words is on page 8 of the **Input Users Guide located on FIPNET at** FIPNET Homepage or **fipnet1.dhr/Manuals.**

The document imaging system also receives information from overnight batch with the Customer Information System (CIS) for active customers and cases. The system "**autofills**" keywords. The scanner operator identifies whether a customer is known to ECMS and selects the data. Additionally, for customers not known to the system, keywords can be added manually.

Every case that was active in CARES on November 1, 2011 and after is already in the ECMS system. You can attach the documentation you are scanning to one of those cases simply by entering the case number. To attach documentation to pending cases that were not active on November 1, 2011 you must enter key words as well as the case number."

The Client ID or head of household fields must contain nine digits. The autofill process adds leading “0”s to make up to nine digits. When those fields are manually entered, the leading “0”s in the field must be manually entered.

Please review the Input User Guide for additional information on scanning, information for later retrieval and on retrieving scanned documentation.

Document Imaging System or Equipment Problems

When local departments encounter issues with the document imaging system or equipment that they can’t resolve, the designated super-user in the jurisdiction must call the OTHS Help Desk. The OTHS Help Desk will attempt to resolve the issue, but if they can’t, OTHS will refer it to the PSI Team Help Desk.

ACTION DUE: Upon installation of equipment and training for designated staff in the location.

INQUIRIES: Please direct TCA policy questions to Mary Ellen Scalley at 410-767-7953 or mscalley@dhr.state.md.us. Food Supplement inquiries should be directed to Rick McClendon at 410-767-7307 or rmcclend@dhr.state.md.us.

cc: DHR Executive Staff
FIA Management Staff
Constituent Services
Help Desk
Finance Officers