

# CHAPTER 1

## APPLICATION & SCREENING

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### IHSS DOCUMENT IMAGING

#### General Information

In order to improve accessibility to case management information and as part of the Countywide green initiative, an Electronic Content Management (ECM) system is used to store IHSS case records. Case records are currently scanned at initial application and at the annual reassessment, once the face-to-face home visit and reassessment have been completed.

#### ***Document Imaging Definitions***

Document Imaging (Scanning) – The process that transforms paper documents into electronic images.

Kofax Capture – A software application that is used to create, index and validate batches of scanned documents.

Validation – The process that determines the identifying information and labeling of an electronic document using Kofax.

Verification – The process that verifies that scanned documents have moved correctly from Kofax to IHSS WebTop.

Separator Sheets – A sheet of paper with coding that is printed directly from Kofax. *Separator Sheets* (Attachments 1-H) are manually inserted between documents to indicate the start of a new batch or document.

WebTop – A browser-based interface that provides access to the ECM documentum repository.

Scanning Folder – Used to submit documents for scanning.

Social Worker Folder – Used to retain case documents that have not yet been scanned.

#### Social Worker Responsibilities

Prior to scanning, the IHSS Social Worker will process the application or annual reassessment following standard procedures. The Social Worker is responsible for ensuring that all documents are correct and complete, and include all of the required client and case information. At a minimum, the information consists of the applicant's name, the CMIPS II case number and a signature (if a signature is required). Documents that are incomplete may be considered invalid.

#### Submitting Documents for Scanning

Documents will be submitted for scanning by placing the *Scanning Folder* in the designated location labeled *Cases to be Scanned*. Documents not placed in a *Scanning Folder* will be returned to the Social Worker by clerical staff. Once the documents have been scanned, the *Scanning Folder* will be returned to the Social Worker.

#### ***Document Imaging Log***

The 12-90 HHSA – IHSS Document Imaging Log (Attachments 1-H) must be placed on top of the documents submitted for scanning. This form is used to track the scanning and shredding of case records and documents. The Social Worker is responsible for completing the tracking form prior to submitting documents for scanning. The form will be retained in the *Scanning Folder* for each case and will be scanned into the electronic case file when an application is denied, withdrawn, or terminated.

***Granted Applications and Annual Reassessments***

After the eligibility determination or annual reassessment has been completed, the *Scanning Folder* containing all related documents must be submitted for review to the Social Work Supervisor. Once all case actions are approved in CMIPS II, the *Scanning Folder* will be submitted by either the Social Work Supervisor or the Social Worker for scanning. The Social Worker will retain any additional documents that may be generated in the *Social Worker Folder* until the next annual reassessment or home visit.

***Denied/Withdrawn Applications and Terminated Cases***

The Social Worker will submit both the *Scanning Folder* and the *Social Worker Folder* to the Social Work Supervisor for review. Once the Social Work Supervisor completes the review of the case file, both folders will be submitted to clerical staff for document preparation and scanning. IHSS clerical staff will scan the 12-90 HHSA – IHSS Document Imaging Log (after it has been completed) into the folder *Miscellaneous*, subfolder *Correspondence and Notes*.

*Cases that have been terminated or denied without existing records in IHSS WebTop will be sent directly to Record Services (Record Room) intact. Scanning of documents will be initiated only if the recipient reapplies and the application is granted.*

***Inter-district Transfers***

Case records for inter-district transfers must be scanned prior to being reassigned in CMIPS II. The *IHSS Case Folder Filing Guide* (Attachments 1-H) will be used to determine which documents must be scanned, and which documents can be forwarded in the case file to Record Services (Record Room). The transferring office is responsible for retaining the *Scanning Folder* in the designated location for 14 business days, and for ensuring that all documents were scanned and can be located in IHSS WebTop. Once completed, the 12-90 HHSA – IHSS Document Imaging Log must be scanned into IHSS WebTop by the transferring office. The Social Worker assigned at the receiving office will be responsible for completing a new tracking form when additional documents are submitted for scanning.

***State Hearing Requests***

The assigned Social Worker is responsible for ensuring that all case documents located in either a *Scanning Folder* or *Social Worker Folder* are scanned as soon as a case request is received from the case control clerk at Appeals. Cases without existing records in IHSS WebTop will be sent directly to appeals intact in the hard copy folder.

**Clerical Responsibilities**

Designated IHSS clerical staff will have the primary responsibility for scanning and validating IHSS documents and maintaining the supply of *Separator Sheets*. Clerical staff will:

- Scan and validate all documents contained in each *Scanning Folder*.
- Update the 12-90 HHSA – IHSS Document Imaging Log, and identify the individual that completed the scanning, verification, and/or shredding process, as well as the date that each process was completed.

***Creating Separator Sheets***

Clerical staff will print and maintain an adequate supply of *Separator Sheets*. *Separator Sheets* must be used between documents. If a document contains more than one page, a *Separator Sheet* must not be placed between the pages of the document.

To create a *Separator Sheet*:

1. Double click on the shortcut icon *Separator Sheet* located on the desktop.
  - a. If unable to locate the *Separator Sheet* icon on the desktop, use the following steps:
    - 1) Select the *Start* button on the bottom left side of the computer screen.
    - 2) Find and select *Programs*.
    - 3) Find and select *Kofax Capture 8.0* to open this folder.
    - 4) Right click on the *Separator Sheet* icon and select *Send To*.
    - 5) Select *Desktop* (create shortcut) to send the icon to the desktop.
2. After selecting the *Separator Sheet* icon, the window *Kofax Capture Separator Sheet Utility* will appear. Please see the *Scanning Desk Aid* (Attachments 1-H).
3. Select *Document Separator* in the drop-down menu titled *Separator Sheet Type*.
4. Select *HHSA-IHSS-Case* in the drop-down menu titled *Batch Class Name*.
5. Select *Patch T* in the drop-down menu titled *Patch Code Type*.
6. Select *Case Document Case Form* in the drop-down menu titled *Form Type*.
7. Select *Print* and choose the number of copies needed.

*Separator Sheets* that are generated from Kofax can be photocopied. An original document must be used when photocopying *Separator Sheets*. If a large amount of *Separator Sheets* are needed, copies can be requested through Xerox. *Separator Sheets* that cannot be read by a scanner must be replaced.

**Document Preparation**

The scanning of all IHSS documents for new applications was initiated effective November 1, 2011. Only designated information will be scanned and retained electronically for the case records of applications that were initiated prior to November 1, 2011; remaining documentation will be forwarded in the physical case file to Record Services (Record Room).

The *IHSS Case Folder Filing Guide* will assist staff in determining if a document needs to be scanned or sent to Record Services (Record Room) without scanning. Documents listed in the filing guide are scanned according to the retention period of the document.

Retention Period	Scanning Instructions
Permanent	Scan all documents
13 months	Scan documents that are dated 13 months or less
24 months	Scan documents that are dated 24 months or less
Current	Scan the current document in case file
No mandate	Do not scan

When preparing documents for scanning, clerical staff will:

- Remove all physical constraints (staples, paperclips, sticky notes, etc.).
- Repair tears.
- Perform document quality review (check for pencil or light ink marks and smudges on the document).
- Separate multiple copies of NCR forms.
- Eliminate/shred duplicate forms or NCR copies – use the signed or most legible copy.
- Include a *Separator Sheet* at the beginning of each document.
- Complete the 12-90 HHSA – IHSS Document Imaging Log, documenting the name of the individual who completed the document preparation process.

### Case Document Scanning Process

Case documents must be scanned in the order that they are received. The 12-90 HHSA – IHSS Document Imaging Log is to be used to determine the date that a document was submitted for scanning. The scanner is able to image two-sided documents and legal size paper.

When scanning a new batch of case documents:

1. Double click on the shortcut icon *Kofax 8.0 Batch Manager* located on the desktop.
  - a. If unable to locate the *Kofax 8.0 Batch Manager* icon on the desktop, complete the following steps:
    - 1) Select the *Start* button on the bottom left side of the computer screen.
    - 2) Find and select *Programs*.
    - 3) Find and click on *Kofax Capture 8.0*.
    - 4) After selecting the *Kofax 8.0 Batch Manager* icon, the window *Kofax Capture Batch Manager* will appear.
2. Click on the first icon *Create Batch* on the top left of the tool bar. The window *Create Batch* will appear and will open to the first tab titled *General*.
3. Complete the following steps in the order listed:
  - a. Select *HHSA-IHSS Case* in the drop-down menu titled *Batch Class*.
  - b. Enter the *Name* in the field in the following order: last name, first name and CMIPS II case number (example 1234567).
  - c. Leave blank the following fields:
    - *Description*

- *Pages per document*
  - *Document per batch*
  - *Pages per batch*
- d. Click on the *Save* button.
  - e. Select the *Close* button to complete the process and return to the *Kofax Capture Batch Manager*. The batch has been created and will appear highlighted in the batch list. If the batch is not highlighted, click on it to select it.
4. Select the second icon from the left *Process Batch*. The window *Kofax Capture Scan* will appear.
  5. If not pre-populated, select *Kodak i1300 without SVRS with AIPE* from the drop-down menu located on the left side of the screen.
  6. Place the documents face down on the Kofax machine. Documents will be fed into the scanner as portrait, not landscape orientation.
  7. Click on the purple icon below the drop-down menu called *Scan Batch*. The scanner will make images of the documents scanned.
  8. View documents in the *Batch Contents* tab located on the left under the green, purple and red icons. Individual documents will be labeled as case forms in the *Batch Contents*.
  9. Click on the (+) sign to the left of each case form to view all of the pages of the documents scanned. Check the quality of the scanned images for pages that may be blurred, blank, smudged, crooked, or for pages that were missed. Continue this process until all of the documents have been reviewed.
    - To rotate or delete a document, right click on the document and select the appropriate choice.
    - If a document needs to be replaced or inserted, place the physical document on the scanner first, then click *Replace* or *Insert*, and the document will be scanned.
    - If a *Separator Sheet* was missed and pages within a case form need to be separated, right click on the image and click on *Split*. This will create a new case form.
  10. When the batch has been reviewed and corrected, click on the fourth icon from the left, *Close Batch*.
  11. When the dialogue box asks, “Are you sure you want to close this batch?” select “Yes”.

### ***Documents Not Read by Scanner***

Documents that cannot be read by a scanner will be evaluated for retention by the Social Work Supervisor. If necessary, the document can be forwarded to Program Support for review. If the document needs to be retained, Program Support will attempt to convert the file to an electronic document that will be imported into IHSS WebTop. Information that documents eligibility or payment of services must be retained if possible.

## Validation

When the scanned batch has been closed, the *Kofax Capture Batch Manager* window will re-appear and the scanned batch is ready for validation. Select the batch that is to be validated if it is not highlighted. The highlighted batch must display *Validation* under the *Queue* column and must display *Ready* under the *Status* column before proceeding with validation. If the batch information does not appear, documents may have not been scanned properly and must be scanned once again. Detailed information about the validation toolbar can be located in the *Validation Module Quick Reference* (Attachments 1-H).

When validating a scanned batch, clerical staff will:

1. Select the second icon from the left *Process Batch*. The window *Kofax Capture Validation* will appear with the first batch that was scanned. The left side of the window will have several fields of client information that must be entered before the documents can be viewed.
2. Enter the client's Social Security Number (without dashes) in the *Client SSN:* field.
  - a. If the Social Security Number is found, the following fields will pre-populate with the information from CMIPS II:
    - *Case Number*
    - *Date of Birth*
    - *First Name*
    - *Last Name*
    - *Client Index Number*
    - *Client Street*
    - *Client City*
    - *Client Zip*
  - b. If the information is not found, manually enter the information in the blank fields.

*Effective January 1, 2013, CMIPS II case numbers must be used to identify a case record. Case numbers should be entered into Kofax in the following format:*

*1234567*

3. Manually select the identifying information for the following fields:
  - *Location No* – The district office number is to be used as the *Location No*.
  - *Worker No* – Select the worker number of the assigned Social Worker.
  - *Worker Name* – Enter the complete first name, then last name of assigned Social Worker.
  - *Category* – The *Kofax Filing Guide* (Attachments 1-H) will be used to determine the identifying category for a document.
  - *Form Name* – Forms that do not appear in the drop-down menu will be identified as *Correspondence and Notes*.
  - *Case Status* – Select either open or closed

4. Press “tab” on the keyboard to move to the next document. A dialogue box will appear and ask to “Save data before closing document?” select “Yes”.
5. After the validation of all documents in the batch, a final dialogue box will appear asking “All documents have been processed. Close batch?” select “Yes”. The batch will be uploaded into the server automatically in the next few minutes, and the *Kofax Capture Batch Manager* window will reappear.
6. Complete the form 12-90 HHSA – IHSS Document Imaging Log, documenting the name of the individual who scanned and validated the documents into Kofax.

### WebTop Verification of Scanned Documents

Clerical staff must verify that each scanned document has moved correctly from Kofax to IHSS WebTop. **Documents that have been scanned and validated in Kofax cannot be “verified” in WebTop by the same individual.** To access IHSS WebTop, open the internet browser and type in the following address:

<http://webtop-hhsa.sdcounty.ca.gov:7012/ihss>

1. Enter the login information in the following fields:
  - a. Enter the username in the *Login Name* field.
  - b. Enter the password in the *Password* field.
  - c. Select *HHSA* from the *Repository* drop-down menu.
  - d. Hit the *Login* button or press enter.

*During the initial login, a security window will appear requesting permission to run the application, select “Run”. Another window will then appear asking “Do you want to trust content from this site?” select “Yes”.*

2. Search for a scanned document by entering case information into any of the fields located in the *Client/Case Search* screen.
  - a. Select the *IHSS Search* tab from the menu area at the top of the screen.
  - b. Select *Client/Case Search* in the *IHSS Search* drop-down menu.
  - c. Enter the case information into the search fields.
3. Complete the 12-90 HHSA – IHSS Document Imaging Log documenting the name of the individual who verified that the documents are located in WebTop.

### Tracking of Cases Verified in WebTop

Case folders that are verified in WebTop will be tracked using the form 12-90B HHSA – IHSS Cases Verified in WebTop Log (Attachments 1-H). Clerical staff is responsible for completing the tracking form once a case folder has been verified. The tracking log will be saved in the designated clerical folder by calendar month.

## Updating Case Document Properties

Documents scanned into IHSS WebTop with incorrect case information can be updated by changing the document properties. To update the case document properties:

1. Search for the case document.
2. Right click on the document name and select “Properties”.
3. Change the fields that need to be corrected and select “OK”.

## Shredding of Scanned Documents

**Documents cannot be shredded by the same individual who “verified” that each scanned document moved correctly from Kofax to IHSS WebTop.** Clerical staff is responsible for retaining documents that have been scanned into IHSS WebTop in the *Scanning Folder* for 14 business days. This process will ensure that all the documents were scanned correctly prior to shredding. After 14 business days, clerical staff must complete the following steps.

1. Confirm that the following information identifying the scanned document in WebTop matches the information in CMIPS II:
  - *Client Social Security Number*
  - *Case Number*
  - *Date of Birth*
  - *First Name*
  - *Last Name*
  - *Client Index Number (CIN)*
2. Ensure that the following documents are located in WebTop prior to shredding them:
  - *SOC 295 Application for Social Services*
  - *SOC 332 In-Home Supportive Services Recipient/Employer Responsibility Checklist*
  - *12-43 Service Activities Narrative* (if available)
  - *SOC 873 IHSS Health Care Certification Form*
  - *SOC 321 Request for Order and Consent – Paramedical Services* (if available)
3. On the 12-90 HHSA – IHSS Document Imaging Log, document the name of the individual who performed the final review in WebTop and shredded the documents.