

Action Request Transmittal Aging and People with Disabilities



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Number: APD-AR-21-039

Issue date: 8/18/2021

UPDATED

Topic: Provider Information

Due date:

Subject: EDMS Update: Scanning HCW and ICP-PSW documents to EDMS

Applies to (check all that apply):

- | | |
|--|---|
| <input type="checkbox"/> All DHS employees | <input type="checkbox"/> County Mental Health Directors |
| <input checked="" type="checkbox"/> Area Agencies on Aging: Type B | <input type="checkbox"/> Health Services |
| <input checked="" type="checkbox"/> Aging and People with Disabilities | <input type="checkbox"/> Office of Developmental Disabilities Services (ODDS) |
| <input type="checkbox"/> Self Sufficiency Programs | <input type="checkbox"/> ODDS Children's Intensive In Home Services |
| <input type="checkbox"/> County DD program managers | <input type="checkbox"/> Stabilization and Crisis Unit (SACU) |
| <input type="checkbox"/> Support Service Brokerage Directors | <input type="checkbox"/> Other (<i>please specify</i>): |
| <input type="checkbox"/> ODDS Children's Residential Services | |
| <input type="checkbox"/> Child Welfare Programs | |

Action required:

Starting August 1, 2021

Staff who process Homecare Worker (HCW) and Independent Choices Program-Personal Support Workers (ICP-PSW) applications and files will begin uploading documents to the APD HCW Personnel query in EDMS. This applies to all new applications and renewals. Other HCW/ICP-PSW files may be added at any time as local capacity allows.

This new query includes the following documents:

- HCW Application (DHS 0355, APD 0736),
- Supplemental Information (MSC 0301, W4, Auto Insurance Verification, Certifications, Employment verification requests, etc.),
- Terminations/Denials (DHS 300HRC, SDS 613 series, Incident reports, Admin Review notes),
- Appeals, and
- Unemployment.

A QRG and will be provided as an aid for filing documents in the appropriate category.

Staff will **not** be expected to narrate the receipt of documents at this time. Therefore, it is important the documents are scanned and uploaded in a timely manner.

A few FAQs:

How will this roll-out of EDMS affect my branch and daily work?

- **Electronic HCW/ICP-PSW Record Files:** Staff will begin storing current applications and supplemental information in EDMS. As providers apply or re-apply, the associated documents and paper file will be scanned into EDMS.
- **Record Review:** Staff will be able to search EDMS for provider records including applications, supplemental information, terminations/denials, appeals, and unemployment across counties and districts.

How will Local offices deal with existing paper files?

- The contents of existing paper files with these provider type records should be scanned as the provider's credentials are renewed.
- If the file contains incident reports or typed narratives or histories of provider actions, behaviors, or other contacts, those may be stored in Terminations and Denials category. **Any APS, confidential personal information or consumer specific documents should be placed in confidential shred bin.**
- Local office supervisors may direct their staff to work through paper files more quickly as time and availability allows.

What resources will be available through the course of the roll-out?

- **HCW/ICP-PSW Record Files Scanning Checklist:** This tool is intended to support staff through the process of converting the paper files in local offices.
- **HCW/ICP-PSW Record Files QRG:** This tool provides clarity on what different kinds of documents belong in the provider file and some information on what items may be purged.
- **FSAM:** The Field Staff Assistance Manual is being updated to revise the section on EDMS. Other sections in the FSAM may be modified or deleted as our work changes to an electronic case file model.

EDMS can be accessed by using the Internet Explorer browser and entering "docmanagement" in the toolbar.

User rights to EDMS are granted through form 780NM.

Staff with existing rights to upload information to EDMS (e.g. APD case info) **STILL** need to complete the 780NM IUP form and submit to OIS ServiceDesk.

All staff who work with these documents will need to complete DHS (de) [780nm](#) which available on Forms server

-Provide the user and manager information.

-Under ACCESS Doc management/thin client access, please check the Other box and add **“EDMS HCW-Enroll”**

ACCESS: Doc management / thin client access:

<input type="checkbox"/> Case Info SSP (Plus SNAP/CCF)	<input type="checkbox"/> Financial Services	<input type="checkbox"/> EDMS – Personnel files
<input type="checkbox"/> Secured SSP	<input type="checkbox"/> OHP	<input type="checkbox"/> EDMS – Training eval. form
<input type="checkbox"/> Case Info APD (Plus SNAP/CCF)	<input type="checkbox"/> OPAR	<input type="checkbox"/> EDMS – PDMP
<input type="checkbox"/> Secured APD	<input type="checkbox"/> QC review	<input type="checkbox"/> OSH – CTO
<input type="checkbox"/> BCU	<input type="checkbox"/> Hearings	<input type="checkbox"/> OSH – RA
<input type="checkbox"/> DPU	<input type="checkbox"/> Checks	
<input type="checkbox"/> Estate admin unit	<input type="checkbox"/> HR I9	<input type="checkbox"/> Other: <input type="text"/>

Note: APD staff will need to install the following:

\\wpdhsappl55\Execute\APD-HCW-Personnel-DE_installer.bat

Once the link above is clicked the new APD-HCW-Personnel-DE Outbound and corresponding process button will be installed in the user’s existing Remote_Scan folder on their desktop.

Note: AAA staff will need to request the Citrix remote scanning tool; please work with your local IT as needed.

Reason for action:

The EDMS system is being expanded to include new queries for all provider types.

The first phase of expansion is for **Homecare Worker (HCW) & Independent Choices Program-Personal Support Workers (ICP-PSW) Record Files**. The EDMS file will hold applications and other supporting documents that are currently maintained in paper files at local offices.

The second phase includes an additional query for HCW vouchers, adjustments and other payment-related information. Documents related to HCW payments will remain in paper format at the local office at this time.

Field/stakeholder review: Yes No

If yes, reviewed by: APD/AAA Leadership & Policy/Operational Group

If you have any questions about this action request, contact:

Contact(s): Trevor Waskin, APD Field Operations trevor.j.waskin@dhsoha.state.or.us

Phone:

Fax:

Email: EDMS.HELP@dhsoha.state.or.us

APD HCW Personnel Remote Scan Upload Tool

The Remote Scan tool was developed to allow users to remotely scan and upload HCW documents to EDMS from their location.

The files must be in Tiff format, therefore converted/printed to tiff prior to uploading. This can be done using the Graphic Region Tiff Printer (GRTP) which is currently available to install via the Software Center. Advanced Tiff Editor (ATE) must be installed prior to GRTP.

To install the HCW Remote Scan tool select the link located in the body of the email.

Once installed you will see a “Remote_Scan” folder located on your desktop. (Note: HCW tool will be added to the existing Remote_Scan folder on the user’s desktop if they already have a remote scan tool installed.)

Within the “Remote_Scan” folder an APD-HCW-Personnel-DE Outbound folder and a corresponding process button will be added.

There is also a “Problem_Scans” folder that will be included. This folder is where documents will be automatically re-directed if there is an issue with a file at upload time, such as non-compliant resolution or compression. Files may also go into the “Problem_Scans” folder if the user closes the data entry window before completely entering the data and pressing the “Submit” button.

Note: If a file is moved into the Problem_Scans folder due to bad resolution/compression open the file in ATE, print to the GRTP and save the new document that was created. Delete the file that was originally moved to the Problem_Scans folder and process the new compliant scan.

Once a valid tiff document is placed into the “**Outbound_APD_HCW_Personnel-DE**” folder, and the corresponding process button is selected (double-clicked), a viewer window will appear that will show the user up to the first 20 pages of the file and a set of index fields that the worker must enter information into.

Below are the fields that are included in the tool and the current validation rules for each field based on the technical requirements that were gathered. The validation rules help to limit information be entered incorrectly.

Note: For fields that have the **(R)** listed, these are considered required fields, therefore those fields must have a value before the file can be sent.

Form Type - Auto-set to HCW_Personnel

Date Received (R) - Auto-populates with today’s date. Change date using the date picker or manually change. Will not allow a future date to be entered

SSN (R) – 9 numeric

Individual Name (R) – 1-40 alpha/numeric characters (including commas & spaces)

Provider No. – Must be exactly 6 digits

Category(R) – 5 Drop-down menu options. Includes; Appeals, Application, Denials/Terminations, Supplemental Info & Unemployment

Retain Values for next Document? – 2 Drop-down options, includes; Retain and Discard. This field allows the patient information to be retained. This would be used if there are multiple files/sections being uploaded for the same patient. If there is no need to retain the information the field can be left blank.

Screen shot of data entry window

The screenshot shows a web application window titled "HCW App". On the left is a data entry form with the following fields:

- Form Type: APD_HCW_DE (dropdown)
- Date Received (R): 01-07-2020 (calendar icon)
- SSN/EIN (R): (text input)
- Individual Name (Last, First, MI) (R): (text input)
- Provider No: (text input)
- Category (R): (dropdown)
- Retain Values for next document?: (dropdown)

A "Submit" button is located at the bottom of the form. On the right is a preview window showing the following information:

- HCW Enrollment Demo
- Date Received: 10/01/19
- SSN:
- Provider Name: PROVIDER, HCW
- Provider Number: 333333
- Application

At the bottom of the preview window, there is a red error message: "You have reached the maximum limit for viewing pages." Below this message are navigation buttons: "<< prev" and "next >>".

and the image window in the Remote Scan tool

After the worker hits submit, the file and data will be sent over the EDMS Server to be placed into the HCW Provider Section within the EDMS Web Portal. Images will normally be available to query & view within 4 hours of submission.

EDMS Web Portal (DocManagement)

The **HCW Provider Section** has been created in the EDMS Web Portal for retrieval and viewing purposes. Here is the link for the EDMS system:

<http://docmanagement/>

Users that need access will need to submit a 786 with the 0780nm form attached for access to the Query Selection.

Once at the EDMS Home page, select **HCW Provider Section** from the Query Selections list.



Tuesday, January 07, 2020



Welcome To The EDMS System

[Error Messages](#)

[EDMS User Guide \(for SSP, APD, AAA\)](#)

Query Selections

Direct Pay Unit & Child Care Unit

Financial Services

Client Case Files

Case Information

AAA APD Case Information Secured

SSP Case Information Secured

Oregon Health Plan

Hearings

Learning Center

OPAR

QC REVIEW

Checks

I9

SNAP

HR Documents

Rx Drug Monitor Program

OSH CTO Timekeeping

OSH Remittance Advice

OSH Patient Financial Services

DD Fairview Documents

HCW Provider Section

Public Records

Once at the Select a Query to Execute screen select the **HCW Personnel Files Documents** listed under the Document Queries.



Once the document query is selected enter information into any of the fields listed below to query by. It is best to only use one or two fields in the query; otherwise every field has to match in order to get results. Using the % sign acts as a wildcard.

- Select Another Query
- Home
- Help-FAQ's
- Error Messages
- EDMS User Guide (for SSP, APD, AAA)

InfoImage View Server Query

Query the Domain "withsappl29" for Documents matching the following criteria using the Query Definition "HCW Personnel Files"

Date_Received (YYYYMMDD):

SSN/EIN:

Individual_Name (Last, First MI):

Provider_No:

___ Category ___:

Scan_Date (YYYYMMDD):

Enter information about the items to locate, then click the Execute button to the right.

Once the Execute this Query button is pressed you will get a list of results. The screenshot below shows 10 results found for documents received in the year 2019.

- Select Another Query
- Home
- Help-FAQ's
- Error Messages
- EDMS User Guide (for SSP, APD, AAA)

<<-First <Prev Redo Next> Last>>

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Date_Received (YYYYMMDD)	SSN/EIN	Individual_Name (Last, First MI)	Provider_No	___ Category ___	Scan_Date (YYYYMMDD)
20190101	123456789	TESTER, TEST		Application	20191015
20190812	121212121	TESTXXXXXXXXXXXXXXXXXXXXXXXXXX, NAMEXXXXXX	123456	Denials/Terminations	20191017
20191001	999999999	TESTER, TEST		Application	20191015
20191001	987654321	ENROLLMENT, HCW		Application	11062019
20191001	999999999	provider, hcw	333333	Application	20191113
20191015	123456789	TESTER, TEST		Application	20191015
20191015	123456789	TESTER, TEST		Supplemental Info	20191015
20191106	123456789	last, first, mi	888888	Denials/Terminations	11062019
20191106	555555555	provider, test	123456	Appeals	11062019
20191107	000000000	TEST, HCW	000000	Supplemental Info	20191107

<<-First <Prev Redo Next> Last>>

1/7/2020 1:30:09 PM

If there are no results that match the information you entered in your query you will see the following messages instead of a list of results, **“Unfortunately, there are no items found which conform to these specifications.”** If you select the **“Click here to modify this search criteria and try again”** button it will take you back to the query screen.

QRG – HCW Record File Document Types

Purpose:

In the new EDMS query selection for HCW documents will be indexed separately into the system by Document Category.

The document categories are:

- HCW Application
- Supplemental Information
- Terminations & Denials
- Appeals
- Unemployment

HCW Application	Supplemental Information	Terminations & Denials	Appeals	Unemployment
DHS 0355 APD 0736 W-4 I-9 DHS 9046B DHS 300HRC	MSC 0301HR MSC 0189 Auto Insurance Verification CPR Certification First Aid Certification LPN Certification CRN Certification CNA Certification Employment verification requests	SDS 613 series Incident reports Admin Review notes	DHS 0299	

General Considerations:

It is important that users index each form or group of forms (application/renewal packets) appropriately.

New applications that failed to consent to a background check should also be uploaded.

As an interim process until the roll-out of Provider Time Capture (PTC), any reported change of provider contact information should be documented and uploaded to the file. Staff are **not** required to narrate these actions at this time.

QRG – HCW Record File Document Types

Restricted documents, such as those related to HIV/AIDS or domestic violence documentation, ARE NOT stored in EDMS. See FSAM Chapter V. for more examples and information.

Form Validation Frequency:

Form #	Name	Frequency
MSC 301HR	Background Check Request	Every 2 years
W-4	<i>Employee Withholding</i>	At least annually
I-9	<i>Employment Eligibility</i>	One time
N/A	Auto Insurance Verification	
N/A	CPR Certification	
N/A	First Aid Certification	Every 2 years
N/A	LPN Certification	Every 2 years
N/A	CRN Certification	Every 2 years
N/A	CNA Certification	

Terminations & Denials: This includes forms and documents related to when a HCWs provider number is being terminated or their application is being denied.

- DHS 300HRC (Final Fitness Determination)
- SDS 613 series (Notice of Termination)
- Incident reports: This is information gathered by local office staff that may have been printed and saved in the HCWs hard file
- Administrative review notes: This is information gathered by central office staff as part of an administrative review.
- Local Offices should upload relevant electronic documents to EDMS that are received from the Central Office HCW policy analyst that performs Terminations & Administrative Reviews

Incident Reports or typed narratives or histories of provider actions, behaviors, or other contacts, may be stored in Terminations and Denials. Any APS, confidential personal information or consumer specific documents should be placed in confidential shred bin.

QRG – HCW Record File Document Types

Appeals

- DHS 0299 (Hearing Request)
- Exhibits and evidence
- Final Order

Unemployment

- Request for verification

****Special Note for Independent Choices Program-Personal Support Workers****

These individuals do not have a provider number but do require a background check.

These providers should be listed in this new query by Last Name, First Name and Date of Birth (DOB).

Please enter “777-77-7777” in the required field and absolutely **DO NOT USE** the person’s Social Security Number (SSN) in place of this generic number.

HCW Record Files Scanning Checklist

Each local office or district has established processes and protocols for the maintenance of Homecare Worker (HCW) Record files. This short guide is intended to align those practices and ensure documents are accessible, identifiable and available statewide.

What needs to be scanned?

Similar to paper files, there are several items in the current HCW Application Packet that will need to be scanned into the HCWs Records Files.

The Application Packet includes:

- HCW Application SDS 0355 (*most current*)
- In-Home Provider Enrollment SDS 736
- Background Check Request MSC 0301HR (*valid for two years*)
- Federal and State W-4s – employee withholding (*most current*)
- I-9 – employment eligibility verification (**must be witnessed**) (*most current*)
- HCW guide acknowledgement form DHS 9046B (*most current*)
- Direct Deposit Auth./Cancel Direct Deposit MSC 189 (*optional to return*)

Before scanning, be sure to review the file for information that does not belong in the file. This would include narrations about clients, consumer medical information or providers medical information. Incident Reports or typed narratives or histories of HCW actions, behaviors, or other contacts, may be stored in Terminations and Denials. Any APS specific documents should be placed in confidential shred bin. *

The current retention rule for HCW Records Information requires the Department to keep records for 7 years after the provider's number becomes inactive. For this reason, it may be difficult to determine a destruction date. Therefore, all HCW Records Files, active or inactive for 7 years or fewer, will be scanned into EDMS. HCW files for providers whose numbers have been inactive for more than 7 years should be destroyed. No HCW Records files will be archived.

**There may be additional provider specific information in the paper file that you may feel is important to keep. Please staff with your supervisor or lead worker who can contact the APD Provider Relation Unit (PRU) or the HCW Analyst (Traci Lerner) if they have questions.*