

Electronic Document Management System (EDMS) Document Preparation, Scanning, and Manual IQC

Medicaid Information Technology System (MITS)

HP Enterprise Services



Medicaid Information
Technology System



EDMS Catalog of Courses

Business Courses

Introduction to EDMS

Document Preparation, Scanning, and Manual IQC

Correction Processing – Completion: NEW

Quality Assurance – Completion: VERIFY

FileNet One Step Workflow

COLD Reports

Technical Courses

Orientation to FileNet System Administration

Orientation to Captiva System Administration



EDMS: Document Preparation, Scanning, and Manual IQC

Course Objectives

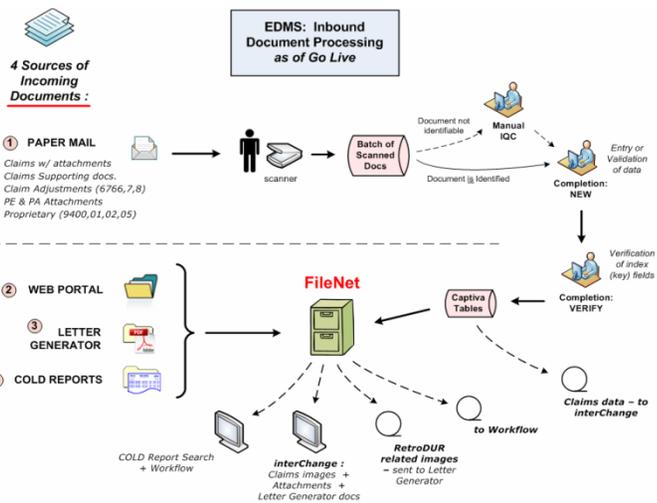
1. Explain the need for scanning documents into EDMS
2. Describe the objective and the activities of each step of the scanning process in detail, including:
 - a) The types of inbound documents to be scanned
 - b) Sorting and batching the documents in preparation for scanning
 - c) The scanning process itself
 - d) Disposition of the paper documents after scanning



Agenda

1. Introduction
2. Background – What is Being Scanned?
3. Document Preparation
4. Scanning
5. Manual IQC





Introduction

EDMS Related Definitions

Term	Definition
Captiva	Commercial off-the-shelf (COTS) software that manages the scanner, from interpreting the scanned documents through storing the resulting images on the FileNet data repository with index values. Captiva can be programmed to recognize certain documents (such as claim forms).
Coversheet	EDMS' predefined sheet that must precede certain documents to be scanned, for identifying the document and its index/key value.
FileNet	The database in which EDMS stores all MITS application data received for storage.
IQC	Image quality control is the process used by Captiva to automatically detect image quality issues such as dog ears, image darkness, etc.
OCR	Optical character recognition, which is the Captiva software's ability to 'read' black typed data off red forms and eliminate the need for data entry.

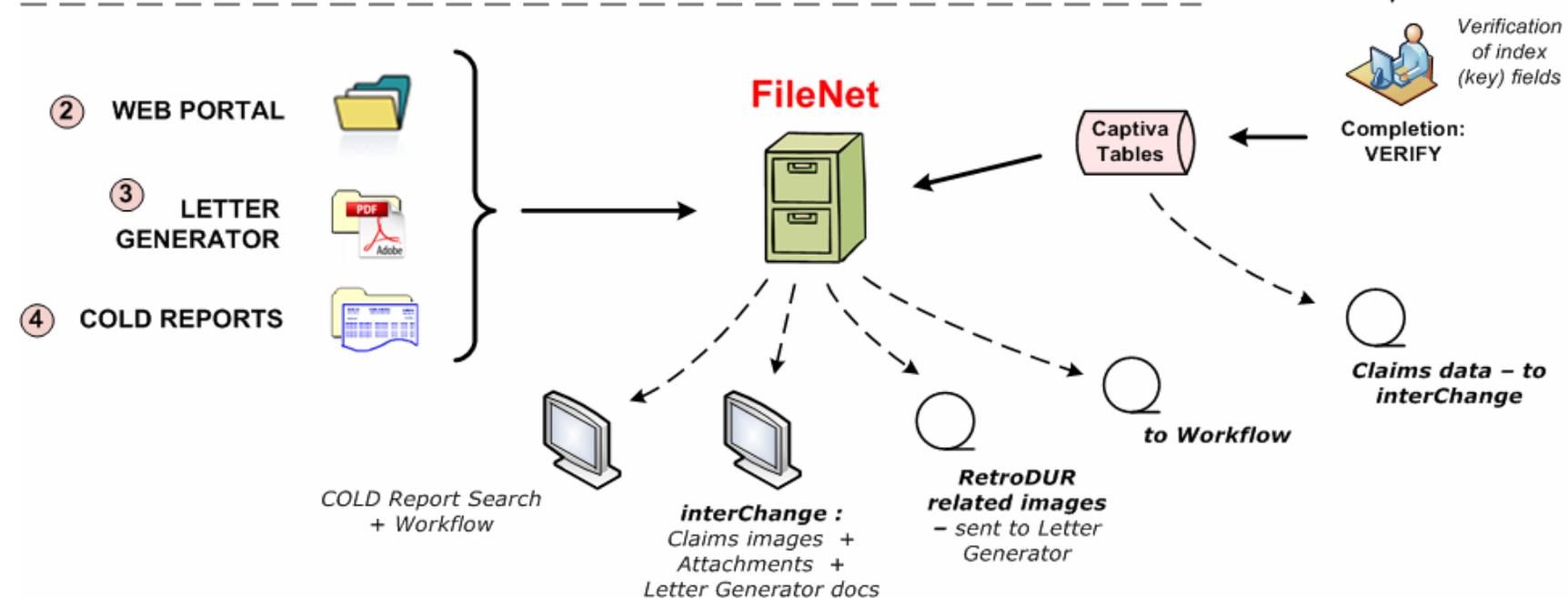
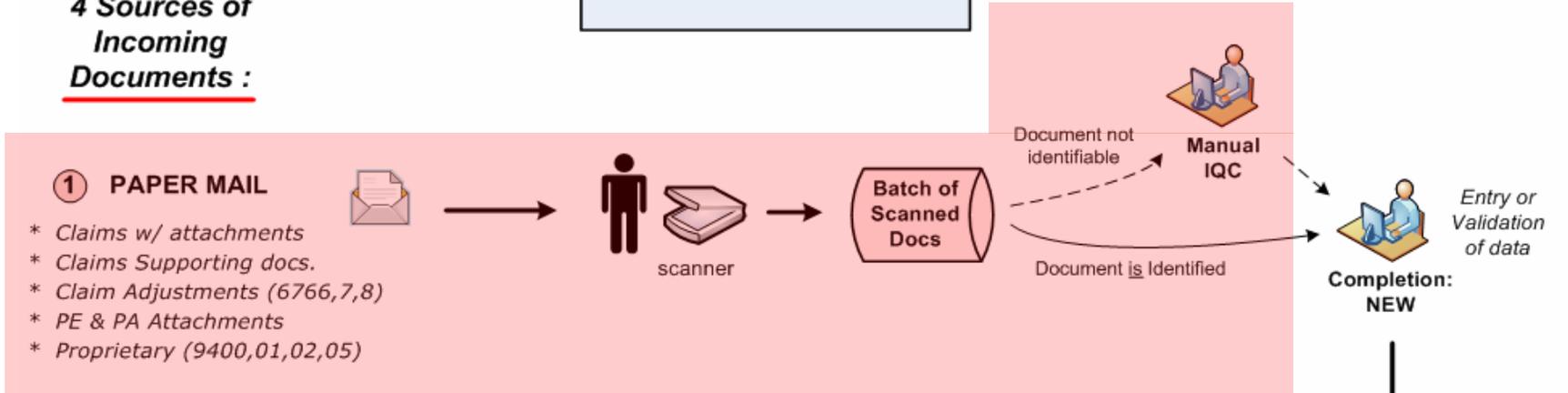


EDMS – A Bird’s Eye View ...



4 Sources of Incoming Documents :

EDMS: Inbound Document Processing as of Go Live



What Information Does EDMS Store?

A. Images of scanned documents

With Go-Live, four types of documents will be scanned:

1. Claims (CMS1500, UB04, ADA2006) – only those with attachments
2. Claims adjustments (6766, 6767, 6768)
3. Proprietary forms (9400, 9401, 9402, 9405)
4. Paper attachments sent by the provider to support Claims, Provider Enrollments (PE), and Prior Authorizations (PA) that the provider uploaded via the Web Portal



What Information Does EDMS Store?

B. Documents that will be directly loaded into EDMS – **not** from scanning:

1. Provider enrollment (PE) attachments and prior authorization (PA) attachments that were uploaded by providers on the Web Portal and stored directly into EDMS
2. COLD reports (standard business reports) created by the interChange applications
3. Outbound letters and forms generated by MITS and/or the business user, via the Letter Generator process



Agenda

1. Introduction
2. Background – What is Being Scanned?
 - a) Claims (CMS1500, UB04, ADA2006) – only those with attachments
 - b) Claim adjustment forms (6766. 6767. 6768)
 - c) Proprietary forms (9400, 9401, 9402, 9405)
 - d) Paper attachments sent by providers
3. Document Preparation
4. Scanning
5. Manual IQC



Background: What is Being Scanned

What is the goal of scanning?

- To create electronic images of paper documents related to Claims, Claim Adjustments, PE requests, PA requests, and other OHP related 'transactions'

How do these documents come into OHP?

- Providers and other entities are instructed to mail them to unique PO boxes, based on document type
- Being separated by mailbox simplifies the process of sorting the documents into the correct batches for scanning



Background: What is Being Scanned

Those documents to be scanned for storage within EDMS:

1. Claims (CMS1500, UB04, ADA2006) – **only those with attachments**
2. Claims adjustments (6766, 6767, 6768)
3. Proprietary forms (9400, 9401, 9402, 9405)
4. Paper attachments sent by the provider to support Claims, Provider Enrollments (PE), and Prior Authorizations (PA) that the provider already uploaded via the Web Portal



Background: What is Being Scanned

1. Claims – only with attachments

There are three types of claims:

- A. **CMS1500 – Health Insurance Claim form**
- B. **UB04 – Institutional Claims form**
- C. ADA2006 – Dental Claim form

Optical character recognition (OCR) reads the key information off the **red** claim forms. Captiva is programmed to find the key fields on each red form.

For black forms, data entry ('Key From Image', or KFI) will manually capture key information.

Background: What is Being Scanned

Examples of **RED** and **BLACK** claim forms

1500

HEALTH INSURANCE CLAIM FORM

APPROVED BY NATIONAL UNIFORM CLAIM COMMITTEE 08/05

PICA

1. MEDICARE <input type="checkbox"/> (Medicare #)	MEDICAID <input type="checkbox"/> (Medicaid #)	TRICARE CHAMPUS (Sponsor's SSN)	CHAMPVA <input type="checkbox"/> (Member ID#)	GROUP HEALTH PLAN (SSN or ID)	FECA BLK LUNG (SSN)	OTHER <input type="checkbox"/> (ID)	1a. INSURED'S I
2. PATIENT'S NAME (Last Name, First Name, Middle Initial)		3. PATIENT'S BIRTH DATE MM DD YY		SEX M <input type="checkbox"/> F <input type="checkbox"/>		4. INSURED'S N	
5. PATIENT'S ADDRESS (No., Street)		6. PATIENT RELATIONSHIP TO INSURED Self <input type="checkbox"/> Spouse <input type="checkbox"/> Child <input type="checkbox"/> Other <input type="checkbox"/>		7. INSURED'S A		CITY	
CITY		STATE		8. PATIENT STATUS Single <input type="checkbox"/> Married <input type="checkbox"/> Other <input type="checkbox"/>		CITY	
ZIP CODE		TELEPHONE (Include Area Code) ()		Employed <input type="checkbox"/> Full-Time Student <input type="checkbox"/> Part-Time Student <input type="checkbox"/>		ZIP CODE	
9. OTHER INSURED'S NAME (Last Name, First Name, Middle Initial)		10. IS PATIENT'S CONDITION RELATED TO:		11. INSURED'S I		12. Policy	
a. OTHER INSURED'S POLICY OR GROUP NUMBER		a. EMPLOYMENT? (Current or Previous) <input type="checkbox"/> YES <input type="checkbox"/> NO		a. INSURED'S D MM		13. Date	
b. OTHER INSURED'S DATE OF BIRTH MM DD YY		b. AUTO ACCIDENT? <input type="checkbox"/> YES <input type="checkbox"/> NO		b. EMPLOYER'S PLACE (State)		16. Plan/	
c. EMPLOYER'S NAME OR SCHOOL NAME		c. OTHER ACCIDENT? <input type="checkbox"/> YES <input type="checkbox"/> NO		c. INSURANCE F		18. Relat <input type="checkbox"/> E	
d. INSURANCE PLAN NAME OR PROGRAM NAME		10d. RESERVED FOR LOCAL USE		d. IS THERE AN <input type="checkbox"/> YES		20. Name	
12. PATIENT'S OR AUTHORIZED PERSON'S SIGNATURE I authorize the release of any medical or other information necessary to process this claim. I also request payment of government benefits either to myself or to the party who accepts assignment below.		13. INSURED'S C payment of m services desc		14. DATE OF CURRENT MM DD YY		15. ILLNESS (First symptom) OR INJURY (Accident) OR PREGNANCY(LMP)	
SIGNED _____ DATE _____		15. IF PATIENT HAS HAD SAME OR SIMILAR ILLNESS. GIVE FIRST DATE MM DD YY		16. DATES PATI MM		17. NAME OF REFERRING PROVIDER OR OTHER SOURCE	
17a. _____		17b. _____		18. HOSPITALIZ MM		EDM	

ADA Dental Claim Form

HEADER INFORMATION					
1. Type of Transaction (Mark all applicable boxes) <input type="checkbox"/> Statement of Actual Services <input type="checkbox"/> Request for Predetermination/Preauthorization <input type="checkbox"/> EPSDT/Title XIX					
2. Predetermination/Preauthorization Number				POLICY	
INSURANCE COMPANY/DENTAL BENEFIT PLAN INFORMATION					
3. Company/Plan Name, Address, City, State, Zip Code					
				12. Policy	
OTHER COVERAGE					
4. Other Dental or Medical Coverage? <input type="checkbox"/> No (Skip 5-11) <input type="checkbox"/> Yes (Complete 5-11)					
5. Name of Policyholder/Subscriber in #4 (Last, First, Middle Initial, Suffix)					
6. Date of Birth (MM/DD/CCYY)		7. Gender M <input type="checkbox"/> F <input type="checkbox"/>	8. Policyholder/Subscriber ID (SSN or ID#)		
9. Plan/Group Number		10. Patient's Relationship to Person Named in #5 <input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent <input type="checkbox"/> Other			
11. Other Insurance Company/Dental Benefit Plan Name, Address, City, State, Zip Code					
				13. Date	
RECORD OF SERVICES PROVIDED					
24. Procedure Date (MM/DD/CCYY)	25. Area of Oral Cavity	26. Tooth System	27. Tooth Number(s) or Letter(s)	28. Tooth Surface	29. Procedure Code



Background: What is Being Scanned

2. **Claim adjustment forms** (6766, 6767, 6768)

3. **Proprietary forms** (9400, 9401, 9402, 9405)

- All of the above forms relate to claims that are already in the system.
- Therefore, they should come in as a 'stand-alone', i.e., not attached to a claim.
- They will have attachments themselves (all but the 6768).

Background: What is Being Scanned

4. Paper attachments sent by providers

- These are attachments sent by the provider to support claims, provider enrollments (PE), and prior authorizations (PA) that the provider uploaded via the Web Portal.
- The provider did not have these in electronic format to upload along with the claim, PE, or PA.
- The Portal gave instructions to the provider to mail these attachments in to OHP, to a specific mailbox. That is how they get to EDMS for scanning.



Background: What is Being Scanned

Possible types of Claim attachments:

1. COB (Coordination of Benefits) and/or OI (Other Insurance) forms – these forms replace Medicaid form 6780, which will *no longer be accepted as of Go Live* *

Special Note: The COB and OI forms are discussed in this training but may not be scanned as of Go Live, pending a JFS decision to limit these forms to portal upload only.

- * *COB/OI forms **should not** be mailed in **without** a claim; if they are, they will be returned to the provider.*

Background: What is Being Scanned

More Possible types of Claim attachments:

2. 6653 forms (for claims over 365 days old) *
3. HAS forms (Hysterectomy, Abortion, and Sterilization consent forms) *
4. Any other documents that may accompany a claim

* *6653 and HAS forms **should not** be mailed in **without** a claim.*

Background: What is Being Scanned

Q: What about claims with **no** attachments?

A: Possitivity will continue to scan 'clean' claims after Go-Live – claims with **no** attachments.

- Possitivity will send the images to OHP where users can view them on existing CISS image viewers.
- They will also send specific claim data via EDI to interChange for processing and viewing.
- *No information from those 'clean' claims will be stored on EDMS.*



Background: What is Being Scanned

These **must** accompany a claim, as attachments, when received:

- COB and/or OI forms
- 6653 forms (claims > 365 days old)
- HAS forms (Hysterectomy, Abortion, and Sterilization consent forms)

If received with a claim, the claim must be an **attachment** to these forms:

- Claims Adjustment forms (6766, 6767, 6768)
- Proprietary forms (9400, 9401, 9402, 9405)



**Document Preparation:
Inbound Documents and Mailboxes
Sorting and Batching**

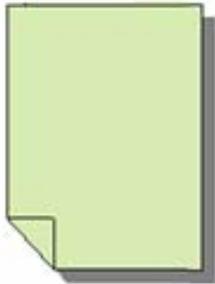
Agenda

1. Introduction
2. Background – What is Being Scanned?
3. Document Preparation
 - a) Inbound Documents and Mailboxes
 - b) Sorting and Batching Documents for Scanning
4. Scanning
5. Manual IQC

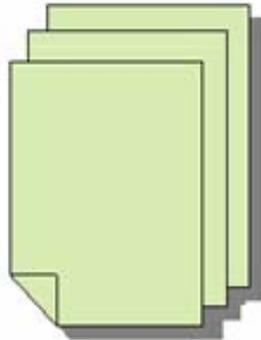


Inbound Documents and Mailboxes

Terminology: Defining a 'Document'



PAGE: a single sheet of paper.



DOCUMENT: one **or more** pages, usually consisting of a form (such as a claim or adjustment form as page 1) and possibly one or more attachments to that form (pages 2, 3, ...).

Inbound Documents and Mailboxes

- ❖ Documents mailed to OHP/EDMS for processing will have to be sorted by document type and then batched, prior to being scanned.
- ❖ Several individual PO boxes have been established for providers and others to which to mail these documents.
- ❖ Using different PO boxes gives a head start on sorting, as each PO box contains a different type of document.



Sorting and Batching Documents

Terminology: Defining a “Batch”

1. A group of ‘like’ documents – the Captiva software is configured to scan documents in batches.
2. Captiva records the following information for each batch of documents being scanned:
 - Date and time
 - Document type
 - Category
 - Region code
 - Priority
3. These designations will enable the batches to be routed *automatically or manually* to different queues for verification and processing.



Sorting and Batching Documents

What Does Sorting Accomplish?

1. Sorting's main benefit: to separate documents into the batches to be scanned.
2. Sorting allows the mailroom personnel to identify and pull out any inbound documents that lack the proper identification or formatting. These intercepted documents will undergo special error handling procedures. In many or most cases, these documents will be mailed back to the original sender – usually a Medicaid provider.
3. Sorters have to remove staples, sticky notes, paper clips, tape, etc., that often come in with the mail.



Sorting and Batching Documents

What Are The Two Main Criteria For Sorting?

1. Type of Document – such as Claims (CMS1500, UB04, etc.) or Claim Adjustment (6766, 6767, etc.)
2. Region Code – directs processing and possible special handling by the Claims application

These two factors will result in as many as 13 different sorted stacks, which translate into 13 different types of batches to be scanned.

Sorting and Batching Documents

Thirteen (13) stacks of documents need to be created when sorting, as shown here:

Each stack is a different type of batch to be scanned.

	<u>Doc Type (Batch Type)</u>	<u>6653?</u>	<u>Comments</u>	<u>RGN</u>
1.	CMS1500	N	"Special Projects"	90
2.	CMS1500	Y	6653 attached	91
3.	CMS1500	N	—	11
4.	UB04	N	"Special Projects"	90
6.	UB04	Y	6653 attached	91
6.	UB04	N	—	11
7.	ADA2006	N	"Special Projects"	90
8.	ADA2006	Y	6653 attached	91
9.	ADA2006	N	—	11
10.	Claim Adj. 6766, 6767	N/A	—	63
11.	Claim Adj. 6768	N/A	—	63
12.	Cover sheets – Prov. Enroll., Prior Auth. & Supporting Doc. For Claim	N/A	—	50
13.	Proprietary (9400, 01, 02, 05)	N/A	—	11



Sorting and Batching Documents

Looking at the CMS1500 claim, as an example:

	<u>Doc Type (Batch Type)</u>	<u>6653?</u>	<u>Comments</u>	<u>RGN</u>
1.	CMS1500	N	"Special Projects"	90
2.	CMS1500	Y	6653 attached	91
3.	CMS1500	N	—	11

These Professional claim documents must be separated into three stacks, representing three unique types of batches to be scanned:

1. Those with a 6653 form attached (Region 91)
2. Those without a 6653 but which have been designated as Region 90 (special projects)
3. All other CMS1500 claims received



Sorting and Batching Documents

1. If any claims, claim adjustments, or proprietary forms have attachments accompanying them in the mail, the sort sequence of those attachments that follow the form is not important – *with two exceptions*:
 - a. If a COB, OI, and/or 6653 comes in with a claim, their sequence must be as shown below, right after the claim form
(Claim form + COB + OI + 6653 +)
 - b. If a 6766 or 6767 claim adjustment form comes in with a check image, that image should be made the 1st attachment following the form
(6766/7 + check image +)



Sorting and Batching Documents

2. The sorter may come upon documents that are not valid for scanning and storing in EDMS, such as:
 - a. Claims with no attachments – must be routed to Possitivity for processing
 - b. Unrecognizable documents with no coversheet
 - c. Damaged documents (torn, smeared ink, etc.)
 - d. Live checks that come in with any document (entire document + check must be routed to Fiscal)
 - e. X-rays or other unscannable attachments

Standard OHP business processes should be followed for handling any unscannable documents. Often this will require mailing these documents back to the sender.



Sorting and Batching Documents

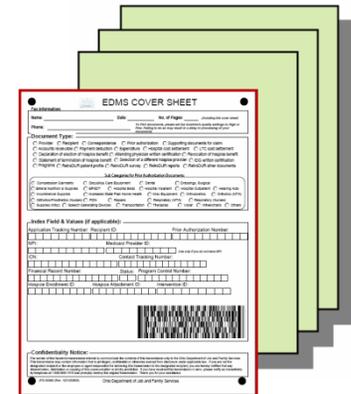
EDMS Coversheets and Document Dividers

- Certain document types require an EDMS coversheet, to identify the document to Captiva and EDMS as well as the key (index) by which the document is stored.
- The keys or indexes include the following data fields:
 - Provider ID
 - ATN
 - Prior Auth. Number
 - NPI
 - Recipient ID
 - ICN
- The coversheet is scanned and stored in EDMS along with the document.

Sorting and Batching Documents

What documents to be scanned at *Go-Live* require an EDMS coversheet?

- ✓ Supporting documents for claims
- ✓ Provider enrollment attachments
- ✓ Prior authorization attachments



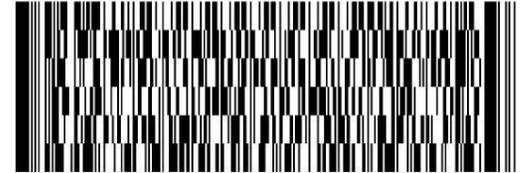
The image shows a stack of four light green documents. The top document is an 'EDMS COVER SHEET' form. The form is titled 'EDMS COVER SHEET' and contains various fields for document identification and tracking. It includes sections for 'Document Type', 'Document Status', and 'Index Field & Values (if applicable)'. A barcode is visible at the bottom of the form. The form is framed by a red border.

What documents do **not** require (and cannot have) an EDMS coversheet?

- ✗ Claims
- ✗ Claim adjustment forms (6766, 6767, 6768)
- ✗ Proprietary forms (9400, 9401, 9402, 9405)

Sorting and Batching Documents

Coversheet: Barcode



- The coversheet that accompanies the inbound documents will include a barcode.
- The barcode is what Captiva actually 'reads' to identify the document and its key/index.
- The information that is contained in the barcode is also typed (and readable) on the coversheet.

Sorting and Batching Documents

Radio buttons will indicate the type of document that is being scanned.

Only Provider, Prior Authorization, and Supporting Documents for Claim are valid at Go Live. All other doc types will be returned.

EDMS Coversheet (top half)

EDMS COVER SHEET

Fax Information:

Name: _____ Date: _____ No. of Pages: _____ (Including this cover sheet)

Phone: _____

To FAX documents, please set fax machine's quality settings to High or Fine. Failing to do so may result in a delay in processing of your documents.

Document Type:

Provider Recipient Correspondence Prior authorization Supporting documents for claim

Accounts receivable Payment deduction Expenditure Hospital cost settlement LTC cost settlement

Declaration of election of hospice benefit Attending physician written certification Revocation of hospice benefit

Statement of termination of hospice benefit Selection of a different hospice provider IDG written certification

Programs RetroDUR patient profile RetroDUR survey RetroDUR reports RetroDUR other documents

Sub Categories for Prior Authorization Documents

Compression Garments Decubitus Care Equipment Dental Dressings, Surgical

Enteral Nutrition & Supplies EPSDT Hospital Beds Hospital Inpatient Hospital Outpatient Hearing Aids

Incontinence Supplies Increased State Plan Home Health Misc Equipment Orthodontics Orthotics (MTA)

Orthotics/Prosthetics (Nurses) PDN Repairs Respiratory (MTA) Respiratory (Nurses)

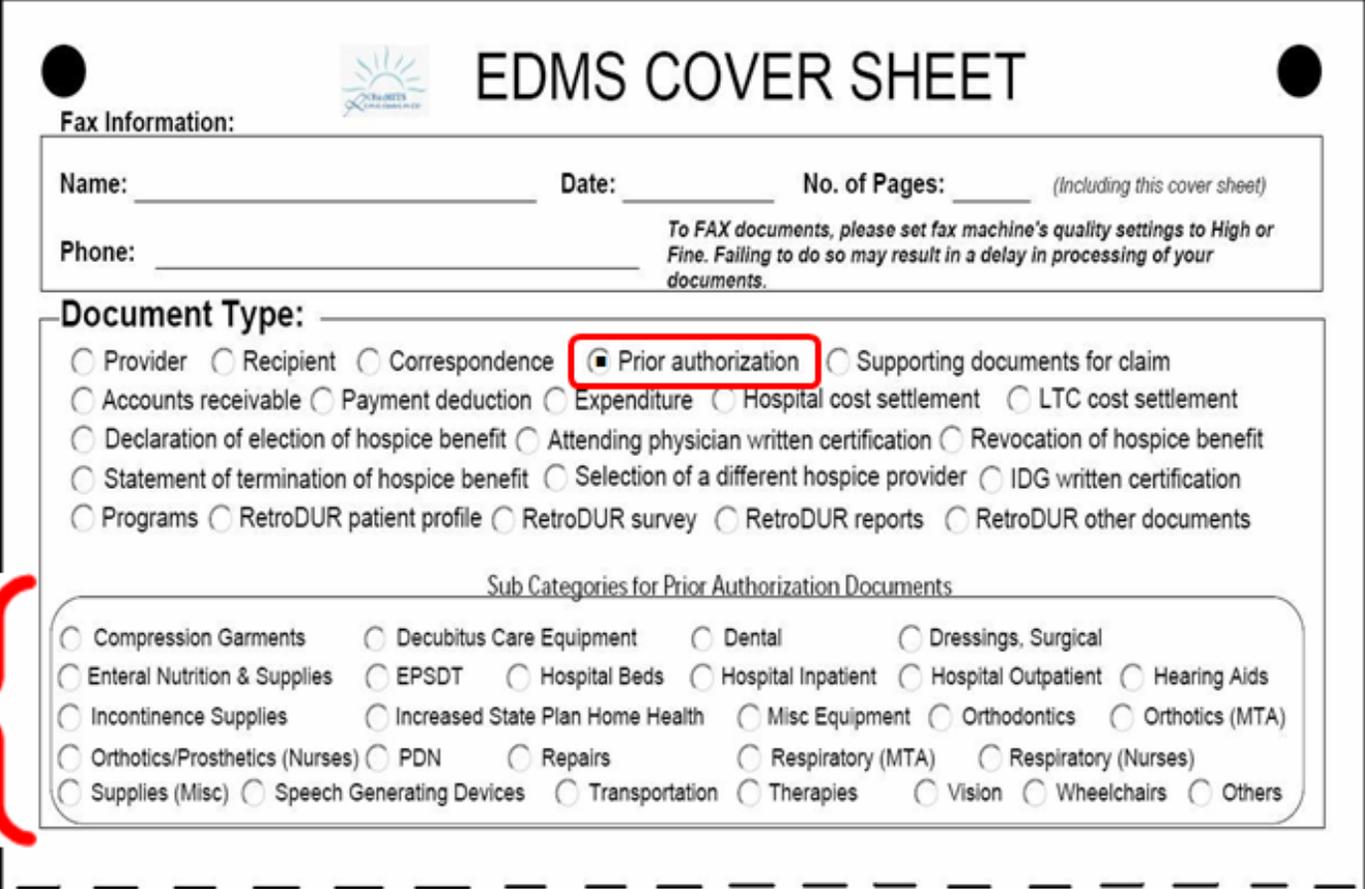
Supplies (Misc) Speech Generating Devices Transportation Therapies Vision Wheelchairs Others

Sorting and Batching Documents

EDMS Coversheet (top half)

Prior Authorization documents have sub-categories to further define the document.

They are only used when the PA radio button is selected.



The image shows the top half of an EDMS COVER SHEET form. At the top center is the Sunbelt logo and the title "EDMS COVER SHEET". Below the title is a "Fax Information:" section with fields for Name, Date, and No. of Pages. A note below these fields states: "To FAX documents, please set fax machine's quality settings to High or Fine. Failing to do so may result in a delay in processing of your documents." Below the fax information is a "Document Type:" section with a list of radio buttons. The "Prior authorization" option is selected and highlighted with a red box. Below this is a "Sub Categories for Prior Authorization Documents" section with a grid of radio buttons for various categories like Compression Garments, Decubitus Care Equipment, Dental, etc.

Fax Information:

Name: _____ Date: _____ No. of Pages: _____ (Including this cover sheet)

Phone: _____

To FAX documents, please set fax machine's quality settings to High or Fine. Failing to do so may result in a delay in processing of your documents.

Document Type:

Provider Recipient Correspondence Prior authorization Supporting documents for claim

Accounts receivable Payment deduction Expenditure Hospital cost settlement LTC cost settlement

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Programs RetroDUR patient profile RetroDUR survey RetroDUR reports RetroDUR other documents

Sub Categories for Prior Authorization Documents

<input type="radio"/> Compression Garments	<input type="radio"/> Decubitus Care Equipment	<input type="radio"/> Dental	<input type="radio"/> Dressings, Surgical			
<input type="radio"/> Enteral Nutrition & Supplies	<input type="radio"/> EPSDT	<input type="radio"/> Hospital Beds	<input type="radio"/> Hospital Inpatient	<input type="radio"/> Hospital Outpatient	<input type="radio"/> Hearing Aids	
<input type="radio"/> Incontinence Supplies	<input type="radio"/> Increased State Plan Home Health	<input type="radio"/> Misc Equipment	<input type="radio"/> Orthodontics	<input type="radio"/> Orthotics (MTA)		
<input type="radio"/> Orthotics/Prosthetics (Nurses)	<input type="radio"/> PDN	<input type="radio"/> Repairs	<input type="radio"/> Respiratory (MTA)	<input type="radio"/> Respiratory (Nurses)		
<input type="radio"/> Supplies (Misc)	<input type="radio"/> Speech Generating Devices	<input type="radio"/> Transportation	<input type="radio"/> Therapies	<input type="radio"/> Vision	<input type="radio"/> Wheelchairs	<input type="radio"/> Others

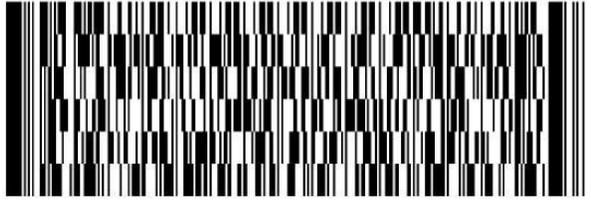
Sorting and Batching Documents

EDMS Coversheet (bottom half)

The bottom half of the coversheet is populated with one or more key/index values pertaining to the type of document being scanned.

Index Field & Values (if applicable): _____

Application Tracking Number:	Recipient ID:	Prior Authorization Number:
<input type="text"/>	<input type="text"/>	<input type="text"/>
NPI:	Medicaid Provider ID:	<i>Use only if you do not have NPI.</i>
<input type="text"/>	<input type="text"/>	<input type="text"/>
ICN:	Contact Tracking Number:	
<input type="text"/>	<input type="text"/>	
Financial Record Number:	Status:	Program Control Number:
<input type="text"/>	<input type="text"/>	<input type="text"/>
Hospice Enrollment ID:	Hospice Attachment ID:	Intervention ID:
<input type="text"/>	<input type="text"/>	<input type="text"/>



Confidentiality Notice: _____



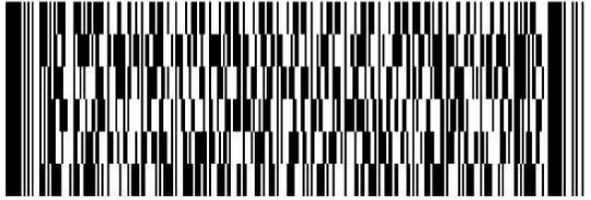
Sorting and Batching Documents

EDMS Coversheet (bottom half)

The barcode contains all the data Captiva needs to capture the document type and the key/index value(s).

Index Field & Values (if applicable): _____

Application Tracking Number:	Recipient ID:	Prior Authorization Number:
<input type="text"/>	<input type="text"/>	<input type="text"/>
NPI:	Medicaid Provider ID:	<i>Use only if you do not have NPI.</i>
<input type="text"/>	<input type="text"/>	<input type="text"/>
ICN:	Contact Tracking Number:	
<input type="text"/>	<input type="text"/>	
Financial Record Number:	Status:	Program Control Number:
<input type="text"/>	<input type="text"/>	<input type="text"/>
Hospice Enrollment ID:	Hospice Attachment ID:	Intervention ID:
<input type="text"/>	<input type="text"/>	<input type="text"/>

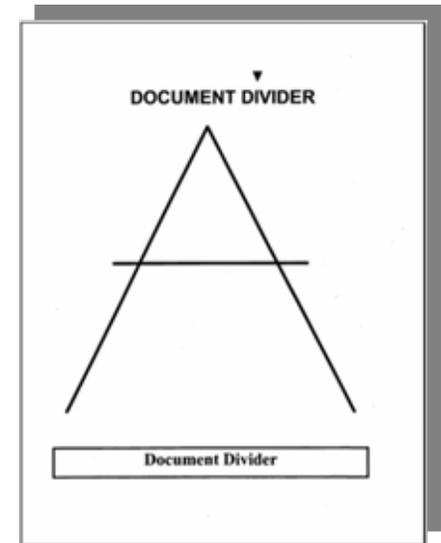


Confidentiality Notice: _____

Sorting and Batching Documents

Document Dividers

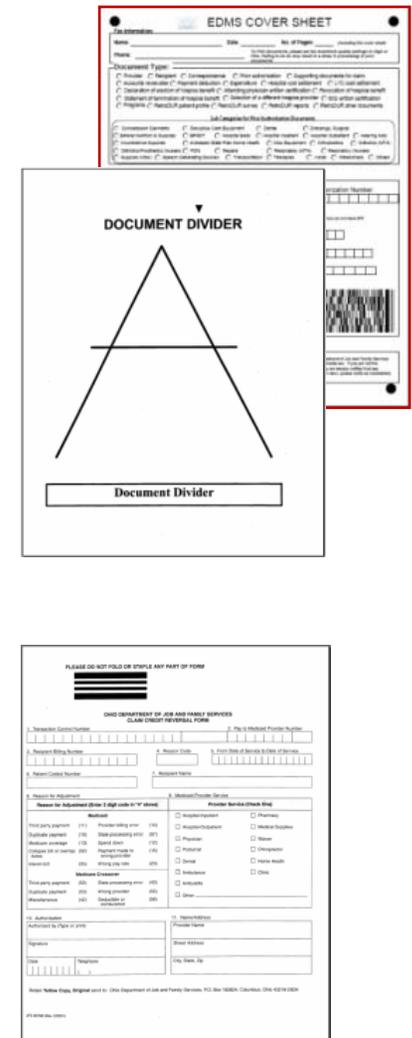
- The document divider (doc divider) is a standard page inserted between documents in *most* batches that do *not* use EDMS coversheets.
- When a batch of several documents is scanned, it tells Captiva where each document ends and the next one starts.



Sorting and Batching Documents

EDMS Coversheets and Document Dividers

- In every batch of scanned documents (*except the 6768 form*), every document needs **one or the other** preceding it: EDMS coversheet **or** Document divider
- The 6768 is a single page form with no attachments; it needs no separator page such as an EDMS coversheet or doc divider. 6768s will be in their own batch.



Sorting and Batching Documents

EDMS Coversheet is required for:

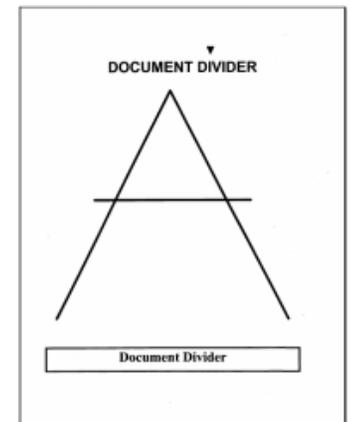
- Supporting documents for claims
- Provider enrollment attachments
- Prior authorization attachments



The image shows an 'EDMS COVER SHEET' form. It includes fields for Name, Title, and No. of Pages. Below these are sections for Document Type (with checkboxes for various document types like Invoice, Request, Comparison, etc.), All Complete for the Submission Section (with checkboxes for various submission types), and Index Field & Values (if applicable) with a table for Application Tracking Number, Request ID, and Application Number. A barcode is located at the bottom right of the form.

Document Divider is required for:

- Claims
- Claims adjustment forms (6766, 6767)
- Proprietary forms (9400, 9401, 9402, 9405)



Sorting and Batching Documents

- There can be up to 13 sorted stacks of documents from which to create batches to be scanned.
- The next step is to take each stack and create batches from them.
- Document dividers must be inserted before the documents that require them.



Key point: a batch can only be created from one sorted stack of documents!

Sorting and Batching Documents

This chart shows whether a coversheet or a document divider is needed, for each of the 13 types of batches.

Type of Document	Sep. Batch?	Cover-sheet	Doc Divider	6653	Region Code
CMS 1500	Y	N	Y	NO	90
UB04	Y	N	Y	NO	90
ADA 2006	Y	N	Y	NO	90
CMS 1500	Y	N	Y	YES	91
UB04	Y	N	Y	YES	91
ADA 2006	Y	N	Y	YES	91
CMS 1500	Y	N	Y	NO	11
UB04	Y	N	Y	NO	11
ADA 2006	Y	N	Y	NO	11
Prov. Enrollment (PE) - att. Prior Auth. (PA) - att. Supporting Claim doc. }	Y	Y	N	—	def.
Claim Adj. - 6766, 6767	Y	N	Y	—	def.
Claim Adj. - 6768	Y	N	N	—	def.
Proprietary - 9400,1,2,5	Y	N	Y	—	def.

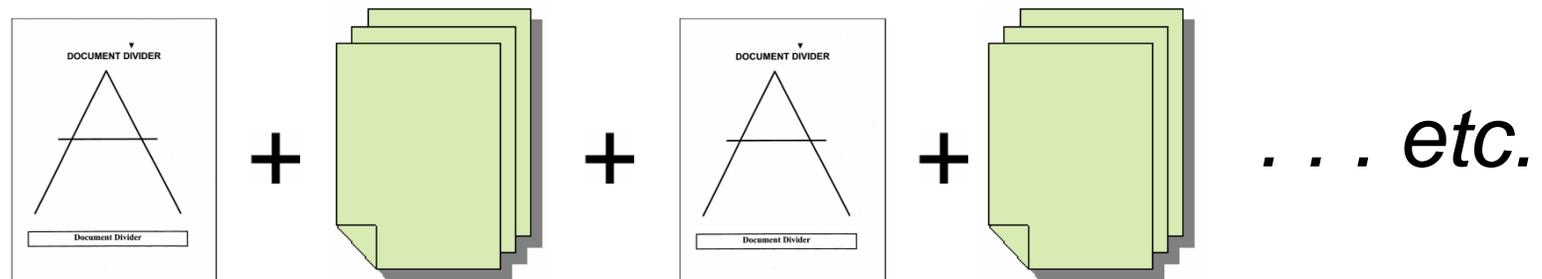


Sorting and Batching Documents

Batches with EDMS Coversheets:

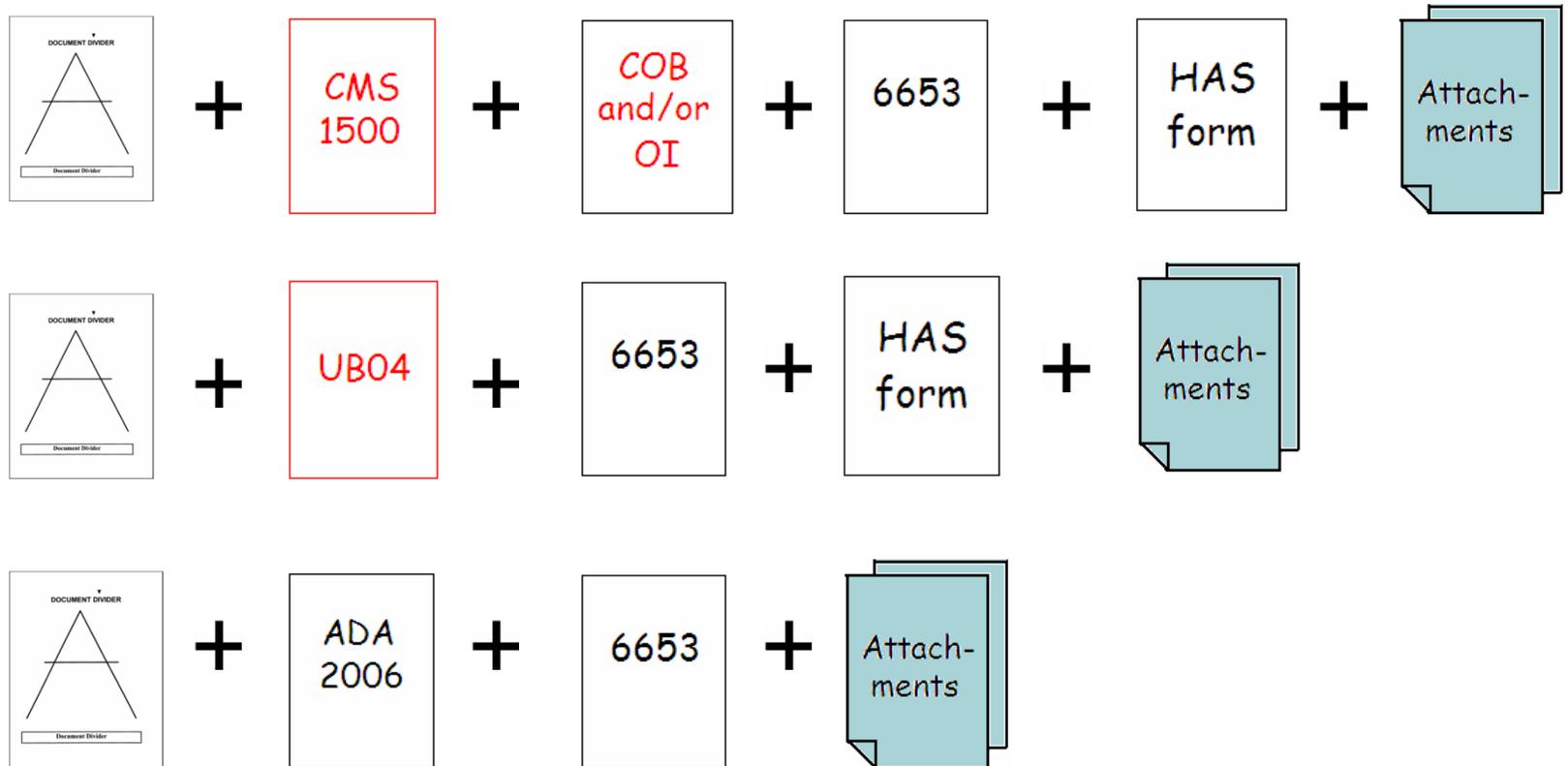


Batches with Document Dividers:



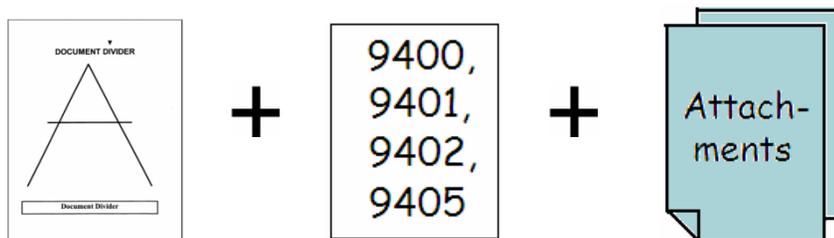
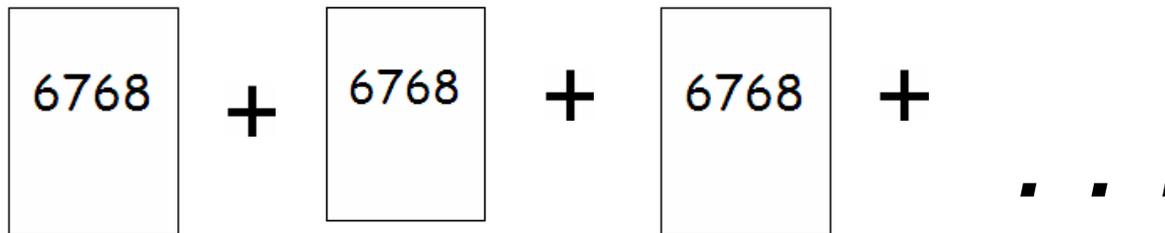
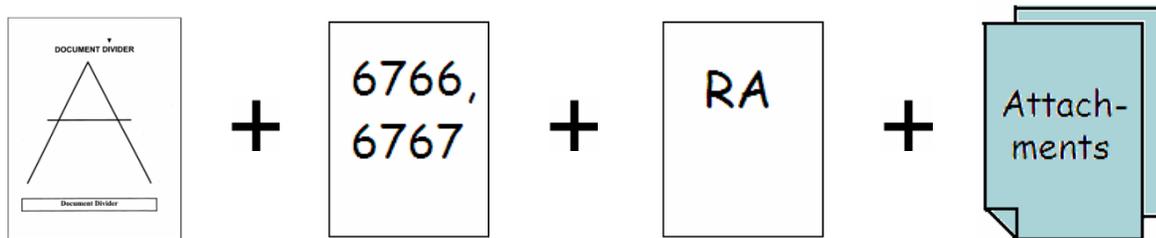
Sorting and Batching Documents

Examples of Claim Documents, in a Batch



Sorting and Batching Documents

6766, 6767, 6768, or 9400 series documents
(possibly with attachments), in a Batch

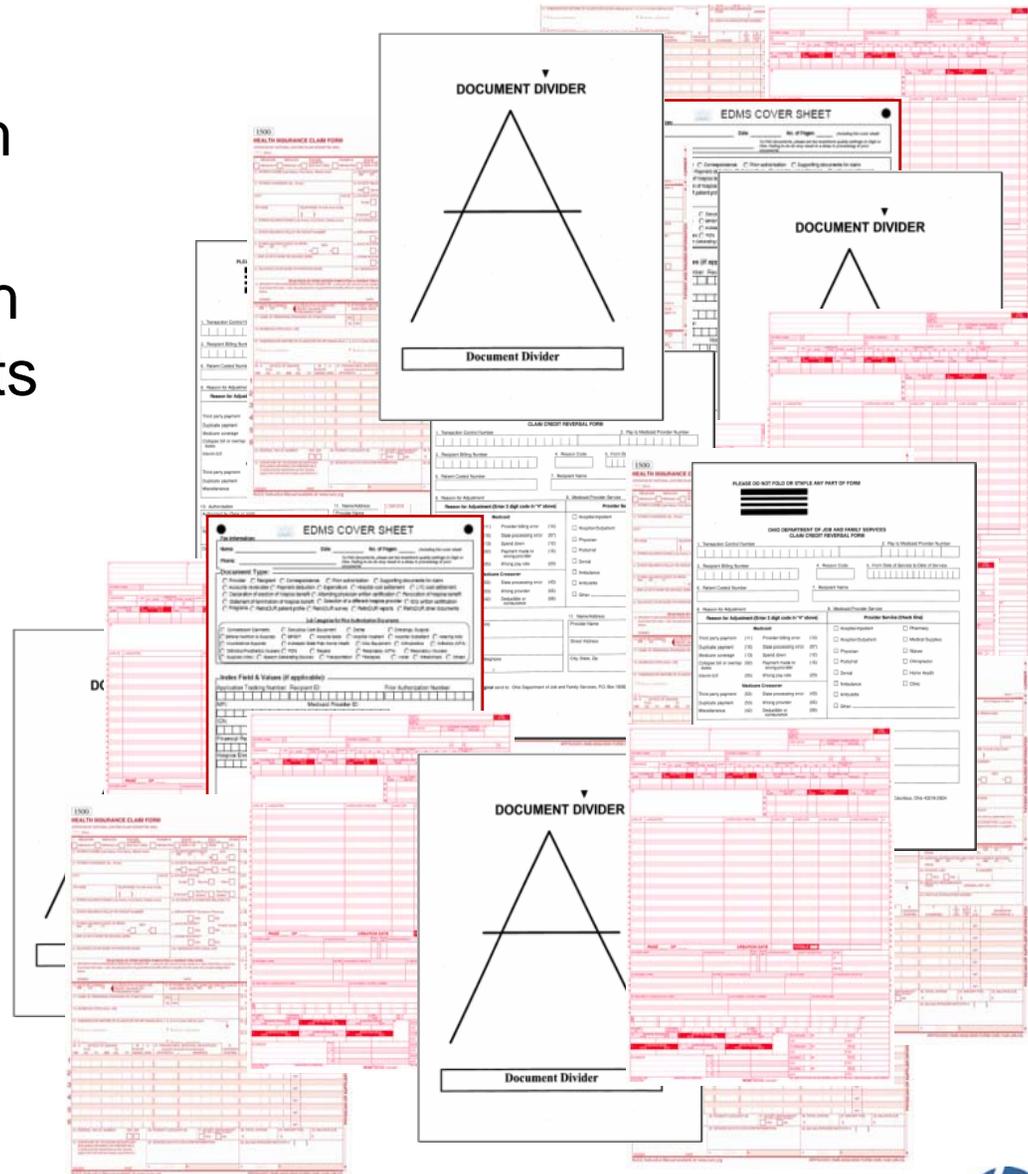


Sorting and Batching Documents

Q: How big can a batch be?

A: The maximum batch size is **50** documents per batch.

The 50 document limit allows batches to cycle through the scanning and verification process quickly and efficiently.





Scanning

Agenda

1. Introduction
2. Background – What is Being Scanned?
3. Document Preparation
4. Scanning
 - a. Using Captiva
 - b. CMS 1500 Claim
 - c. UB04 Claim
 - d. ADA 2006 Claim
 - e. Coversheet Documents
 - f. 6700 Series Documents
 - g. 9400 Series Documents
5. Manual IQC



Scanning: Using Captiva

- A commercial, off-the-shelf software package that manages the scanner, from interpreting the scanned documents through storing the resulting images.
- The three main components of Captiva are:
 - *InputAccel* – the main processing software of Captiva. All the panels the scanning team will use are InputAccel panels.
 - *FormWare* – recognizes the claim, adjustment, and proprietary forms through its *FormID* process.
 - *Claimpack* – extracts data from the red Federal claim forms: CMS 1500 and UB04.



Scanning: Using Captiva

We will now walk through the process of scanning a batch.

To begin, you will need:

1. To identify the scanner you will use and the PC that is attached to it.
2. Your login credentials as an EDMS scanning resource.
3. One or more batches of documents ready to be scanned.



Scanning: Using Captiva

Overview of the Steps to Scan a Batch:

1. Log in to Captiva using the InputAccel login screen.
2. The InputAccel Scan panel (also called the Captiva Batch Creation panel) appears. The next steps will be:
 - a. Select 'New Batch' to start a new batch.
 - b. Identify the type of batch.
 - c. Set the Region Code, Priority, and other identifying fields.
 - d. Do the scan.
 - e. Confirm the quality of the images.
 - f. Close the batch.



Scanning: Using Captiva

What Kind of Batches Are Scanned?

- ① CMS 1500 – Red Claim
- ② UB04 – Red Claim
- ③ ADA 2006 – Black Claim
- ④ Coversheet document (PA and PE attachments)
- ⑤ Claim adjustment and proprietary forms



Scanning: Using Captiva

Choices in Captiva for the kind of batches to scan:

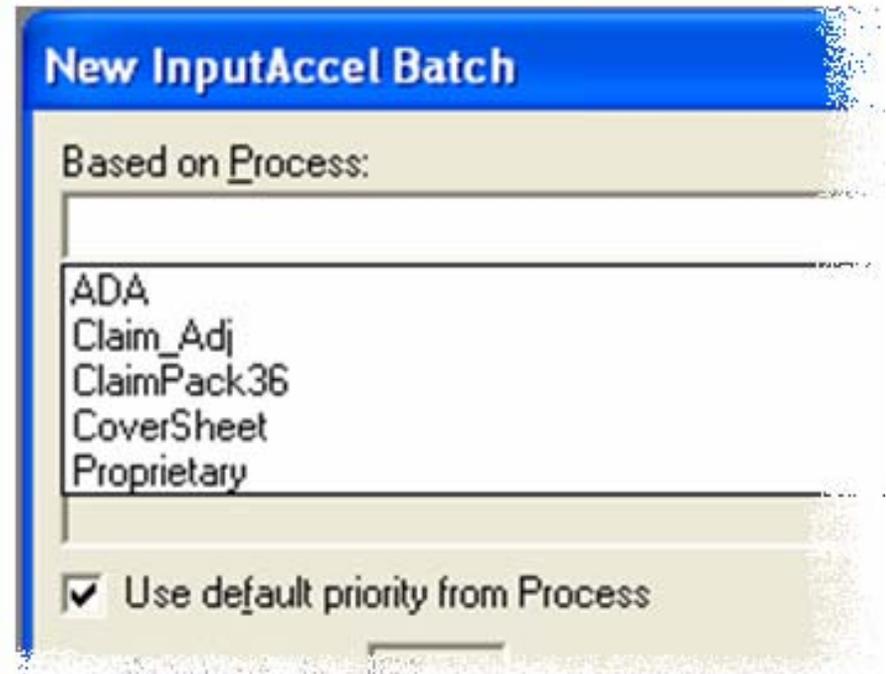
ADA: ADA2006 claim form

Claim_Adj: 6766, 6767, 6768 forms

ClaimPack36: CMS1500 or UB04 (the **red** claim forms)

Coversheet: attachments for PA or PE, and supporting docs for claims

Proprietary: 9400, 9401, 9402, or 9405 forms



Scanning: Using Captiva

Notice that with any **red form** the scanner's 'red drop' feature drops the form's **red ink**, leaving just the black text in the scanned image.

1500
HEALTH INSURANCE CLAIM FORM
APPROVED BY NATIONAL UNIFORM CLAIM COMMITTEE 08/05

1. MEDICARE MEDICAID TRICARE CHAMPVA GROUP HEALTH PLAN FECA OTHER
(Medicare #) (Medicaid #) (Sponsor's SSN) (Member ID#) (SSN or ID) (SSN) (ID)

2. PATIENT'S NAME (Last Name, First Name, Middle Initial)
Ima Sick

3. PATIENT'S BIRTH DATE SEX
11 24 47 F M

4. INSURED'S NAME (Last Name, First Name, Middle Initial)
123456789

5. PATIENT'S RELATIONSHIP TO INSURED
Self Spouse Child Other

6. PATIENT STATUS
Single Married Other

7. INSURED'S ADDRESS (No. Street)
123 Happy Lane

8. CITY STATE ZIP CODE TELEPHONE (Include Area Code)
Happy Town ID 83000

9. OTHER INSURED'S NAME (Last Name, First Name, Middle Initial)
Ima Sick 11 24 47 x

10. IS PATIENT'S CONDITION RELATED TO:
123456789

11. INSURED'S POLICY GROUP OR FECA NUMBER
123456789

12. PATIENT'S OR AUTHORIZED PERSON'S SIGNATURE (I authorize to process this claim. I also request payment of government benefits below.)
Signature on file

13. DATE OF CURRENT ILLNESS (First symptoms) OR INJURY (Accident OR PREGNANCY/LLMP)
04 01 10 04 03 10 3 12345 aa 12 123400

14. NAME OF REFERRING PROVIDER OR OTHER SOURCE
987654321

15. RESERVED FOR LOCAL USE

16. DIAGNOSIS OR NATURE OF ILLNESS OR INJURY (Please list)
04 01 10 04 03 10 3

17. DATE(S) OF SERVICE From To PLACE OF SERVICE EMG
04 01 10 04 03 10 3

18. SIGNATURE OF PHYSICIAN OR SUPPLIER INCLUDING DEGREE(S) OR CREDENTIALS (I certify that the statements on the reverse apply to this bill and are made a part thereof.)
Signature on file

19. SERVICE FACILITY LOCATION INFORMATION

20. BILLING PROVIDER INFO & PH #

21. FEDERAL TAX I.D. NUMBER SSN EIN
987654321

22. PATIENT'S ACCOUNT NO.

23. ACCEPT ASSIGNMENT? YES NO

24. TOTAL CHARGE

25. AMOUNT PAID

26. BALANCE DUE
1234.00

ISSUED DATE

NUCC Instruction Manual available at: www.nucc.org APPROVED OMB-0938-0999 FORM CMS-1500 (08-05)

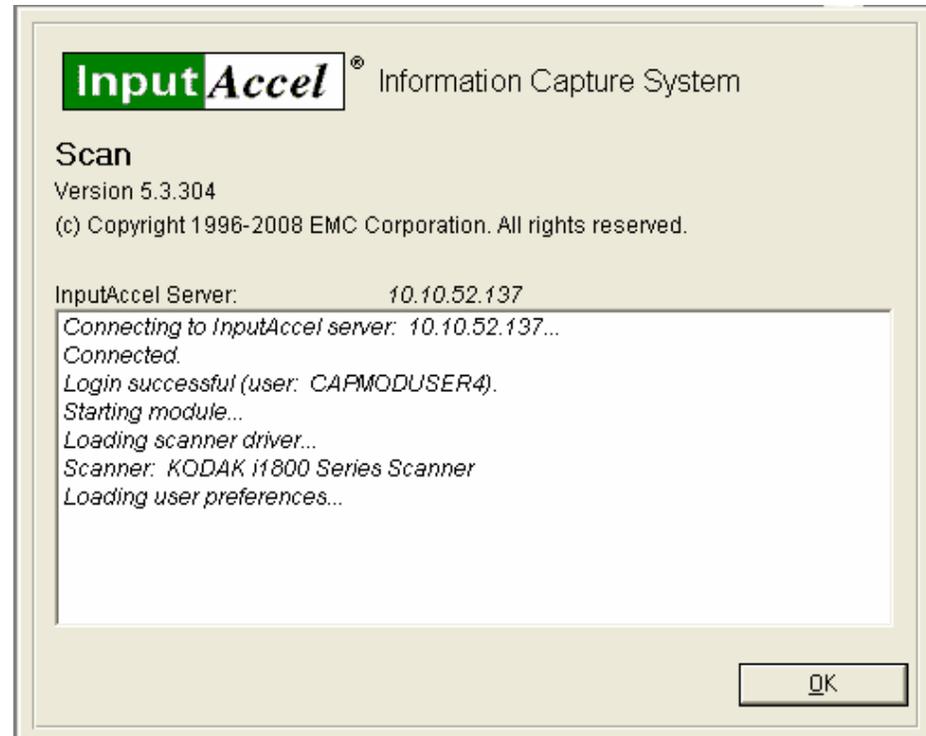


Scanning: CMS 1500 Claim

1 CMS 1500 – Red Claim

If you are not logged in:

1. On the PC attached to the scanner, log in to InputAccel.

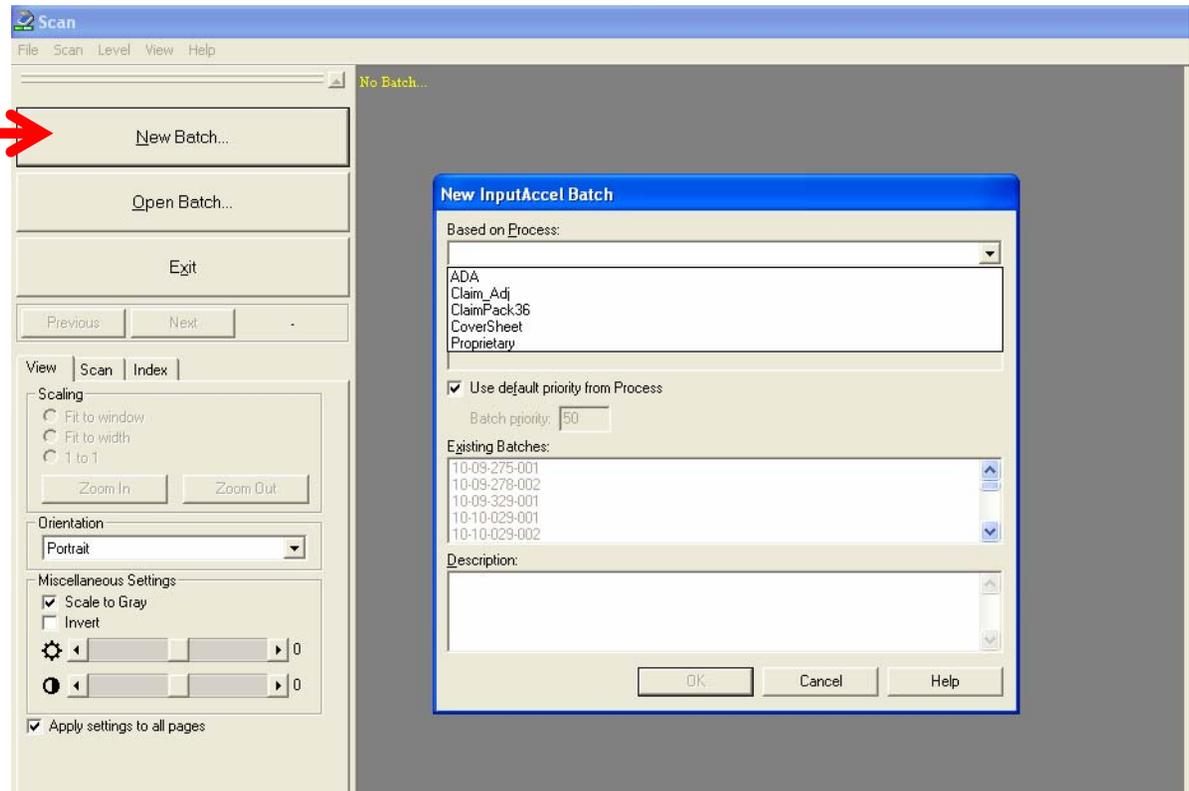


Scanning: CMS 1500 Claim

The *InputAccel Scan* screen appears.

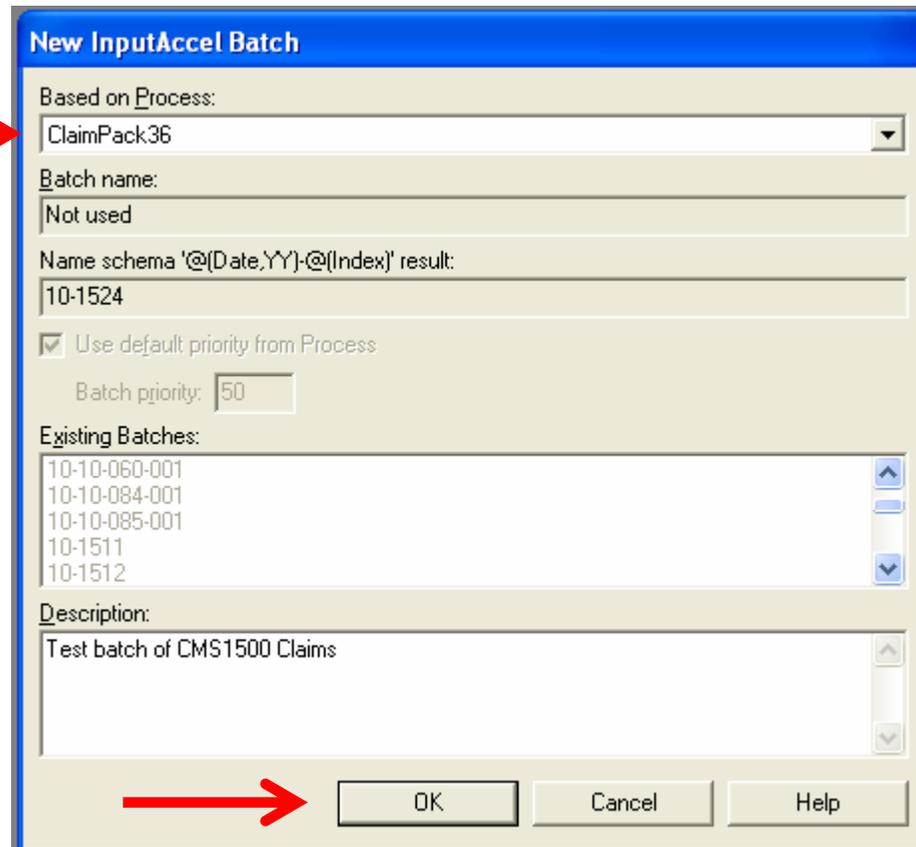
2. Select New Batch.

The *New InputAccel Batch* window opens.



Scanning: CMS 1500 Claim

3. Select **ClaimPack36** for CMS 1500 (one of the two red claim forms):



New InputAccel Batch

Based on Process:
ClaimPack36

Batch name:
Not used

Name schema '@(Date,YY)-@(Index)' result:
10-1524

Use default priority from Process

Batch priority: 50

Existing Batches:

- 10-10-060-001
- 10-10-084-001
- 10-10-085-001
- 10-1511
- 10-1512

Description:
Test batch of CMS1500 Claims

OK Cancel Help

... then click
OK

Scanning: CMS 1500 Claim

The Input Batch Information panel opens.

You will enter critical information regarding the new batch on this panel.

Input Batch Information

Create Batch Name

Batch Date: 4 / 1 / 2010 Julian Day: 091

Region Code: 10 - Paper Claim without Attachments

Miscellaneous: 90 - Urgent Batches

Batch Group: Professional Claims - CMS1500

Priority: 50

Create Batch

Cancel

Scanning: CMS 1500 Claim

4. Select *11 - Paper Claim With Attachments*

Input Batch Information

Create Batch Name

Batch Date: 4 / 1 / 2010 Julian Day: 091

Region Code: 10 - Paper Claim without Attachments

Miscellaneous: 10 - Paper Claim without Attachments
11 - Paper Claim with Attachments
90 - Urgent Batches
91 - Batches Requiring Manual Review

Batch Group: Professional Claims - CMS1500

Priority: 50

Remember, Possitivity is taking care of 'clean' claims (those with no attachments) so you should **not** use Region Code 10 as of *Go Live*.

Scanning: CMS 1500 Claim

- *Batch Date* defaults to the current date
- *Priority* defaults to 50 (it can be modified – a lower # means a higher priority)

Input Batch Information

Create Batch Name

Batch Date: 4 / 1 / 2010 Julian Day: 091

Region Code: 10 - Paper Claim without Attachments

Miscellaneous: 90 - Urgent Batches

Batch Group: Professional Claims - CMS1500

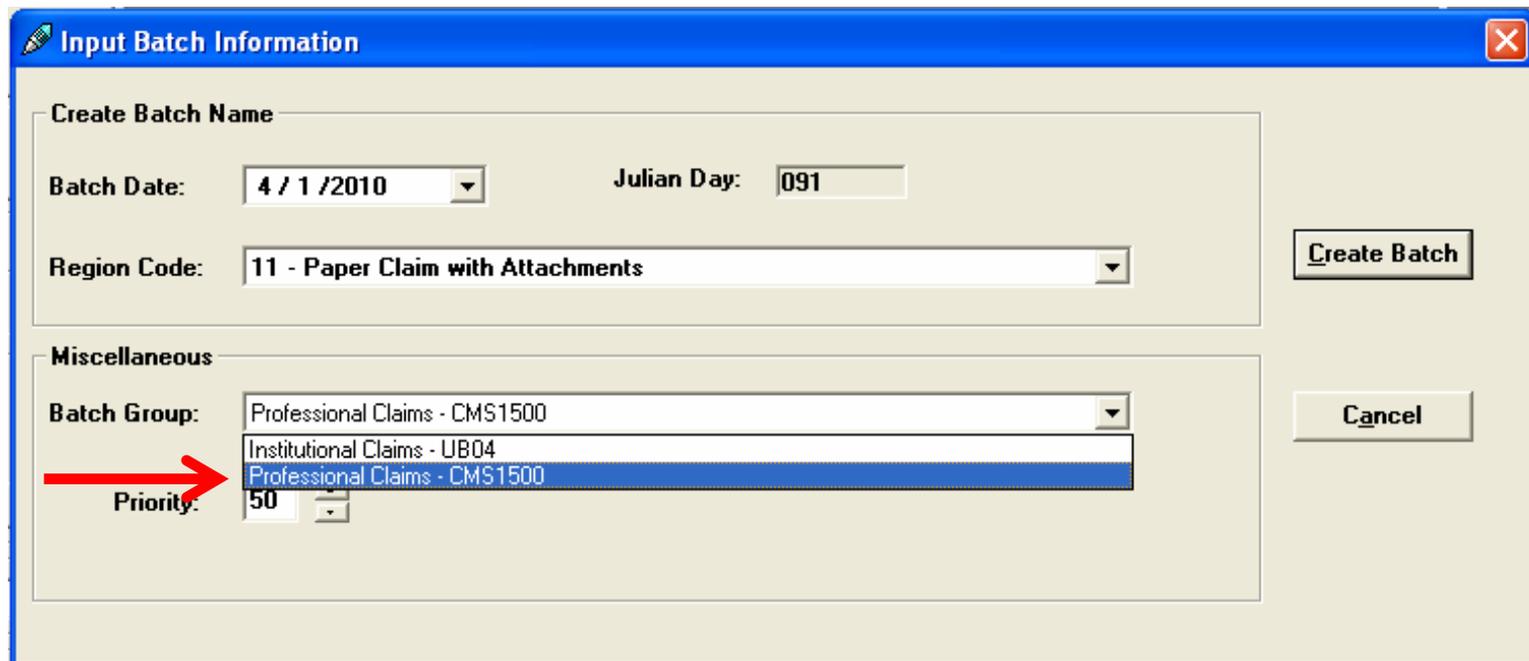
Priority: 50

Create Batch

Cancel

Scanning: CMS 1500 Claim

5. Select *Professional Claims - CMS1500*



Input Batch Information

Create Batch Name

Batch Date: 4 / 1 / 2010 Julian Day: 091

Region Code: 11 - Paper Claim with Attachments

Miscellaneous

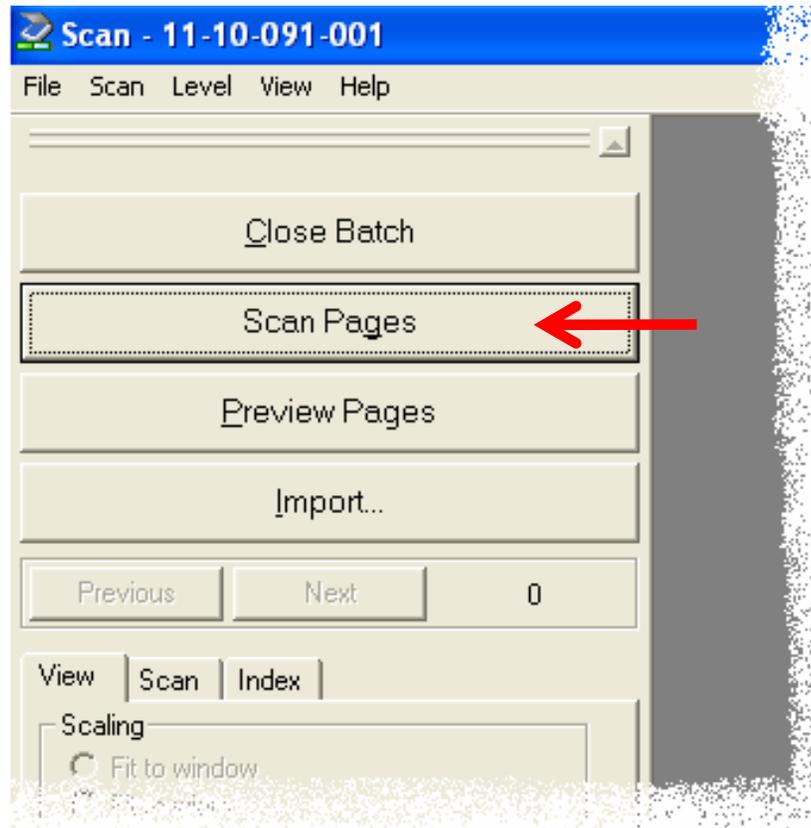
Batch Group: Professional Claims - CMS1500
Institutional Claims - UB04
Professional Claims - CMS1500

Priority: 50

Create Batch

Cancel

Scanning: CMS 1500 Claim



After the Input Batch Information panel closes, make sure the batch is in place in the scanner feeder.

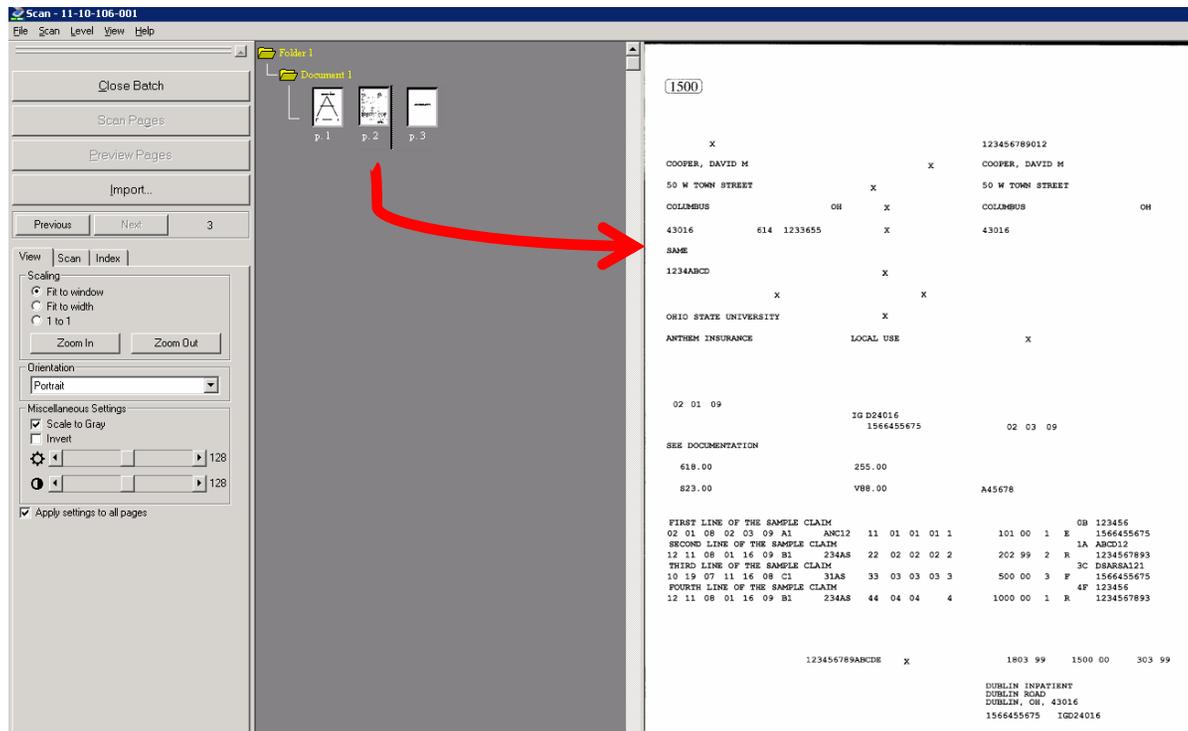
6. Click the *Scan Pages* button.

The scanner begins to scan the batch.

Scanning: CMS 1500 Claim

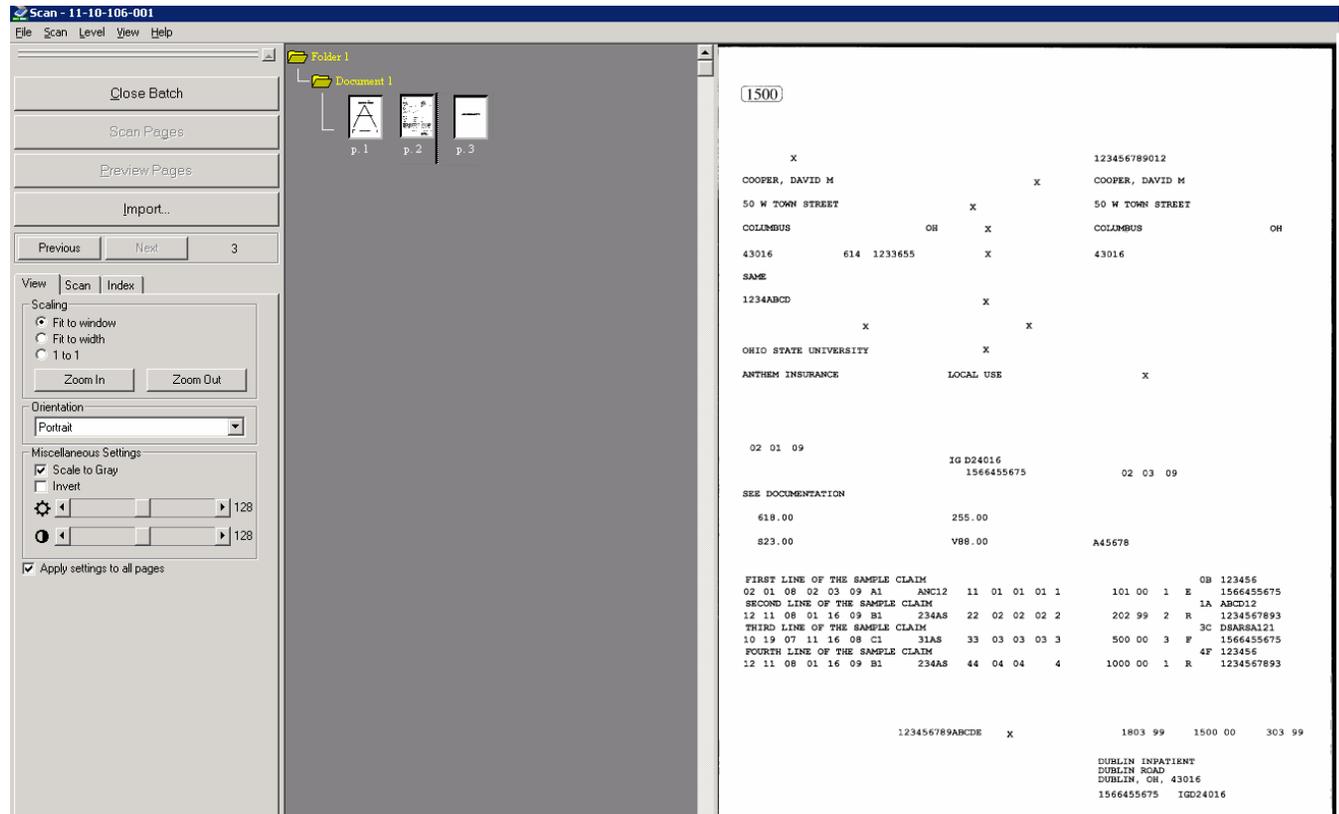
When the scan is done, the screen brings up thumbnail images of each page.

7. Click on a thumbnail to view the full scanned image.



Scanning: CMS 1500 Claim

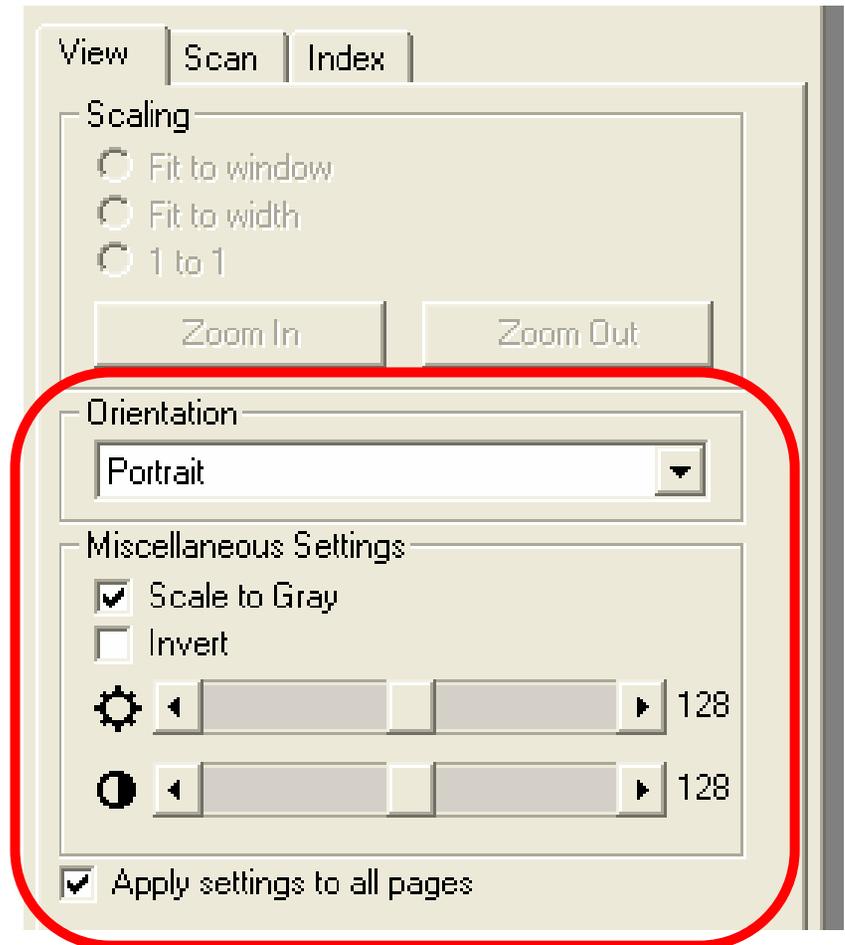
This is an opportunity for the scan operator to do a cursory check to look for upside down images or issues with brightness or contrast.



Scanning: CMS 1500 Claim

The left side of the InputAccel panel has some controls to allow you to modify the **view** of the image (or, the view of all images in the batch at once).

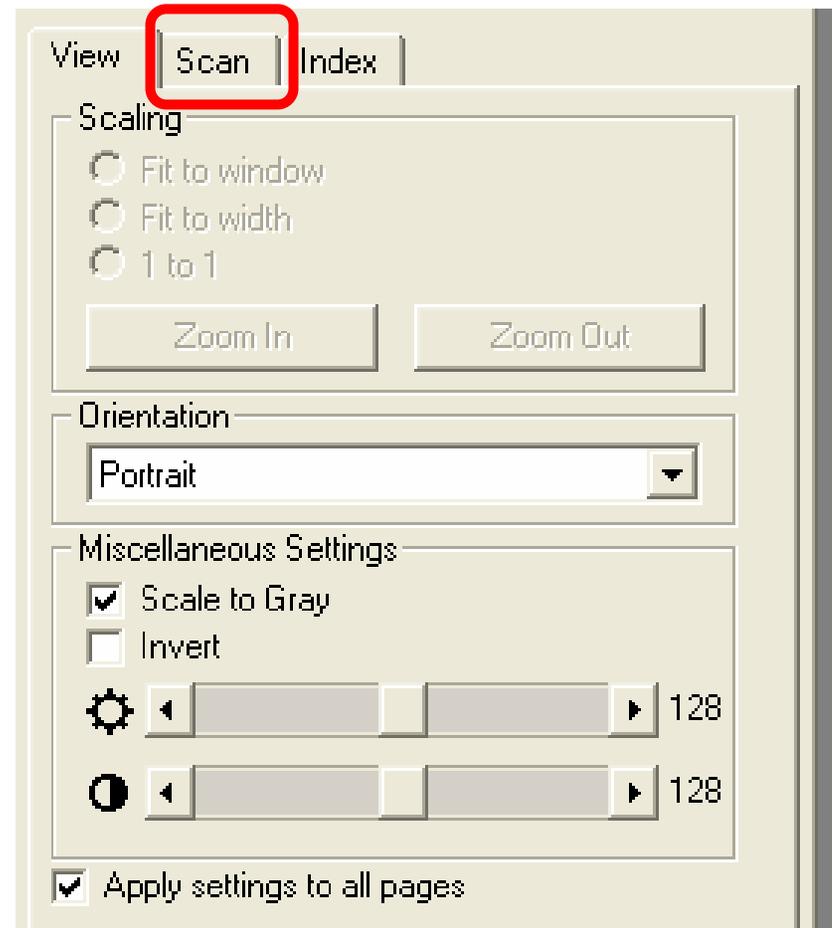
It does **not** allow you to save the modification of the image.



Scanning: CMS 1500 Claim

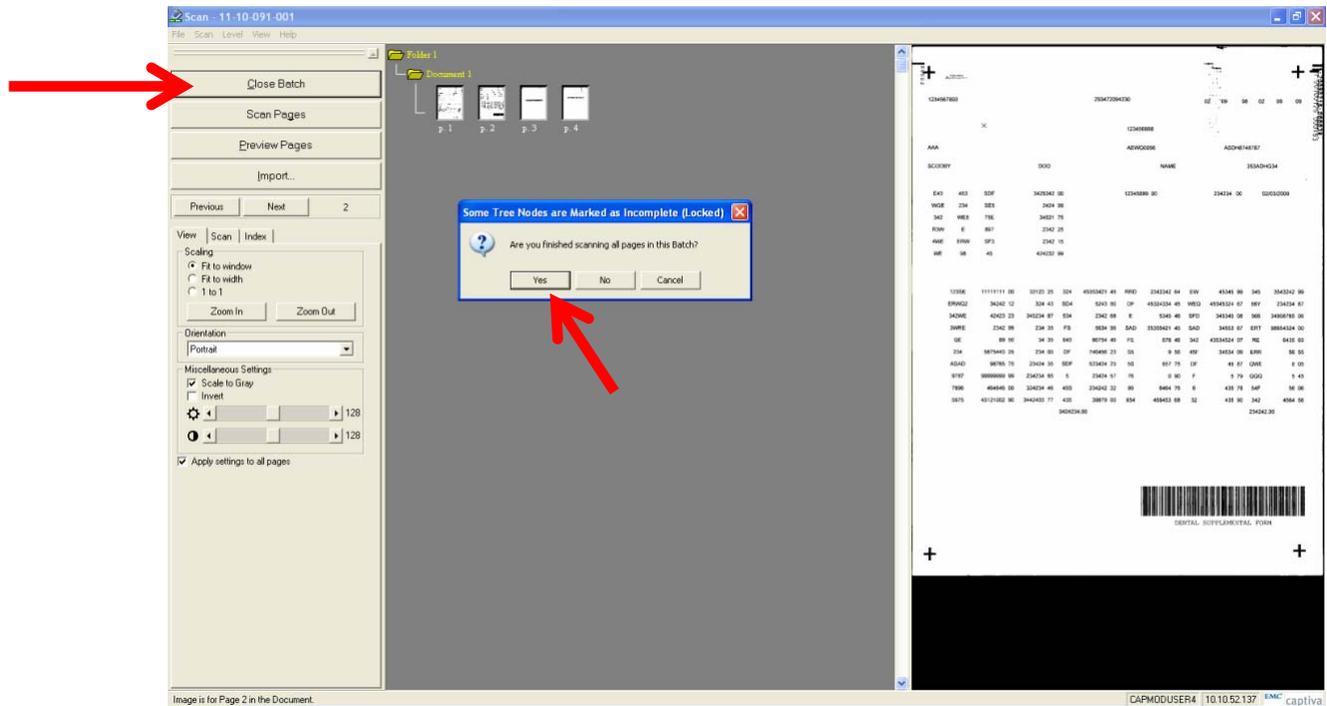
The Scan tab on the left side of the InputAccel panel enables the option to switch between single side scanning and duplex (two-sided) scanning.

Defaults for each type of batch have been pre-set in the scanner.



Scanning: CMS 1500 Claim

8. If the images look good and everything has been scanned for this batch, click *Close Batch* to end the scan of this batch. If you have finished scanning the batch, click *Yes* at the prompt.



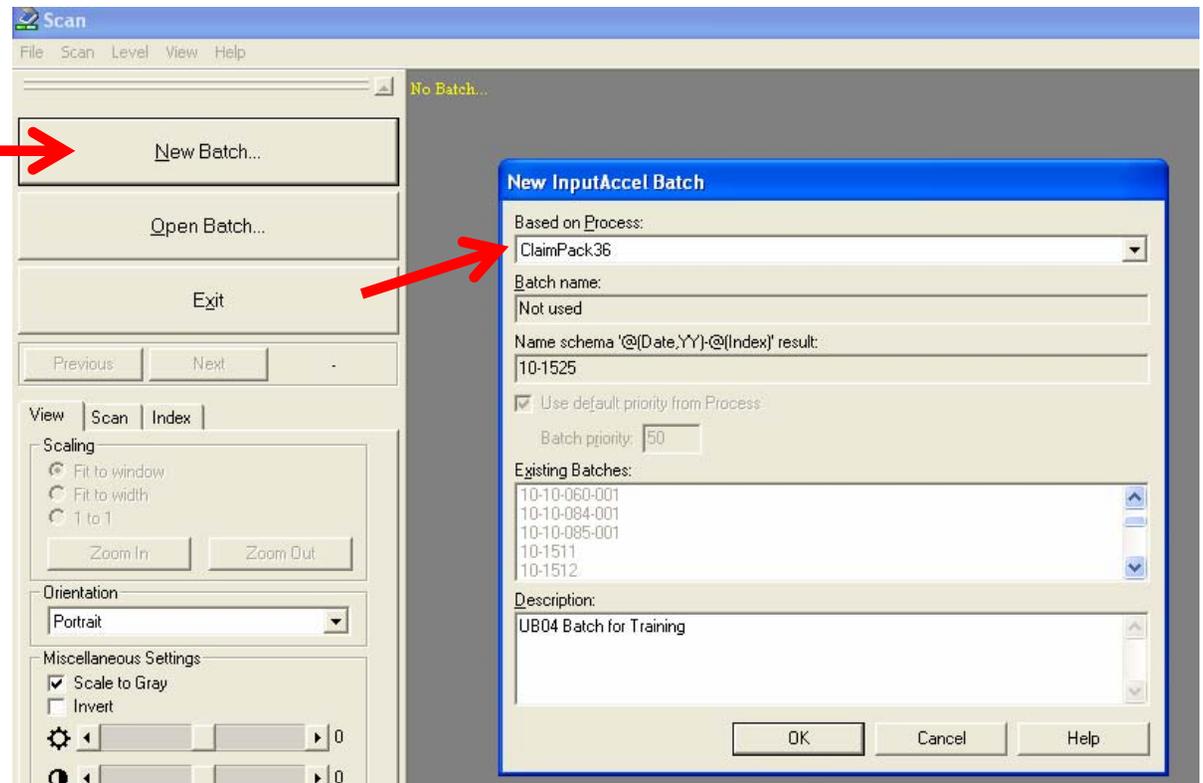
Scanning: UB04 Claim

② UB04 – Red Claim

To scan a UB04 claim:

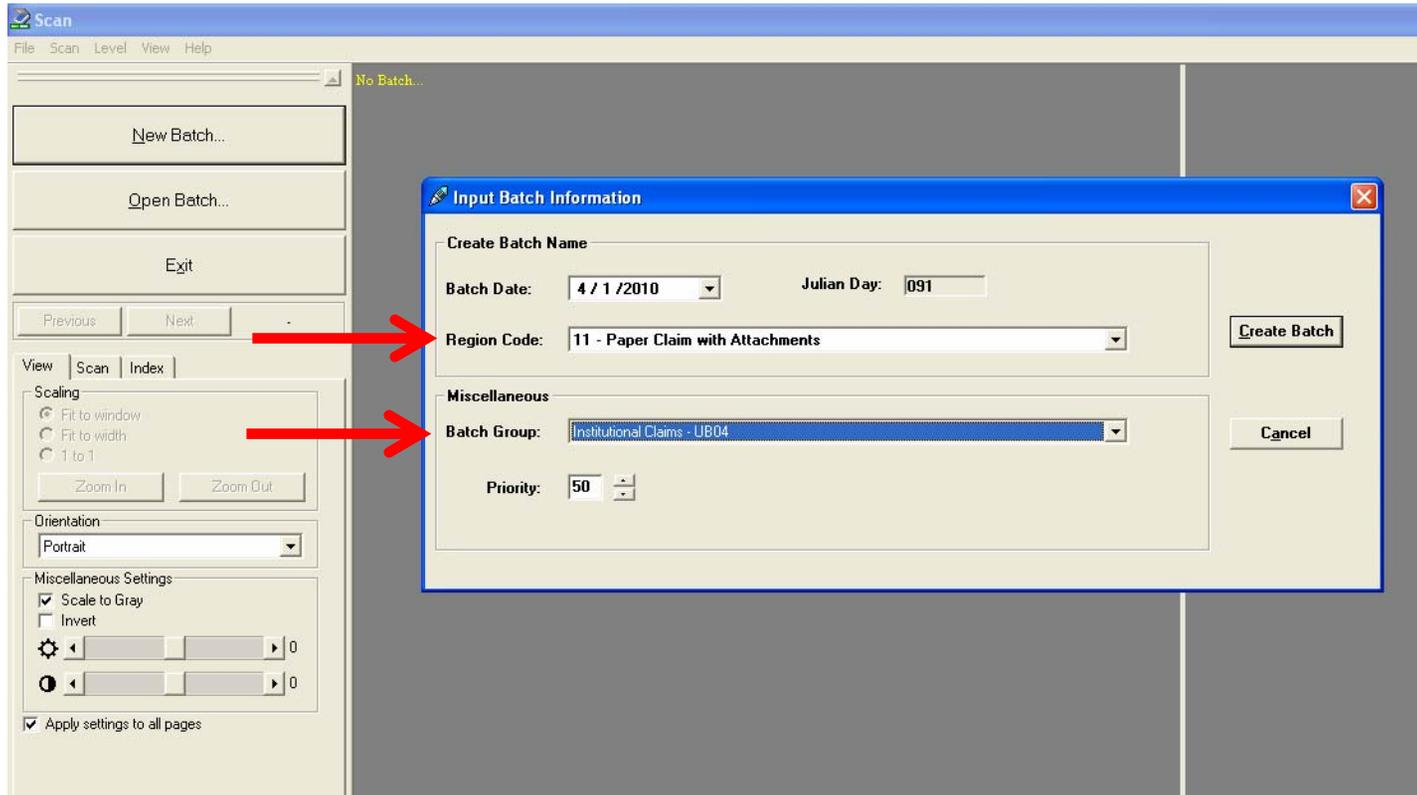
1. Click *New Batch*.

2. Select *Claimpack36* (used for both red forms).



Scanning: UB04 Claim

3. Select **11** for the Region Code.
4. Select **Institutional Claims – UB04** for the Batch Group.



Scanning: UB04 Claim

When done scanning the UB04 batch, you again see the images in the window to the right.

The screenshot displays a scanning application window titled "Scan - 11-10-091-002". The interface is divided into three main sections:

- Left Panel (Controls):** Contains buttons for "Close Batch", "Scan Pages", "Preview Pages", and "Import...". Below these are "Previous" and "Next" buttons with a page indicator "2". A "View" section includes "Scan" and "Index" tabs, and "Scaling" options: "Fit to window" (selected), "Fit to width", and "1 to 1", with "Zoom In" and "Zoom Out" buttons. "Orientation" is set to "Portrait". "Miscellaneous Settings" include "Scale to Gray" (checked), "Invert" (unchecked), and two sliders set to "128". A checkbox "Apply settings to all pages" is checked.
- Middle Panel (Document Preview):** Shows a folder structure with "Folder 1" containing "Document 1". Below this, 13 thumbnail images of document pages are displayed, labeled "p. 1" through "p. 13".
- Right Panel (Scanned Document):** Displays a scanned UB04 claim form. The header includes "EAGLE RIVER MEDICAL CENTER" and "5115049 VACU38 0131". The patient information section lists "WELLS, RANDOLPH" and "EAGLE RIVER, AK 99577". The procedure list includes:
 - 0259 DRUGS/OTHER J2180 061305 7 40700 000
 - 0259 DRUGS/OTHER J2250 061305 1 3750 000
 - 0271 NON-STER SUPPLY 061305 2 4000 000
 - 0272 STERILE SUPPLY 061305 5 58900 000
 - 0278 SUPPLY/IMPLANTS 061305 1 11600 000
 - 0300 LAB 87077 061305 2 7400 000
 - 0300 LAB 87086 061305 2 7600 000
 - 0300 LAB 87186 061305 2 9800 000
 - 0300 LAB 87205 061305 2 4400 000
 - 0360 CR SERVICES 8039859 061305 2 290100 000
 - 0361 CR/MEMOR 50394 061305 2 84000 000
 - 0719 OTHER RECOV RM 061305 2 12800 000

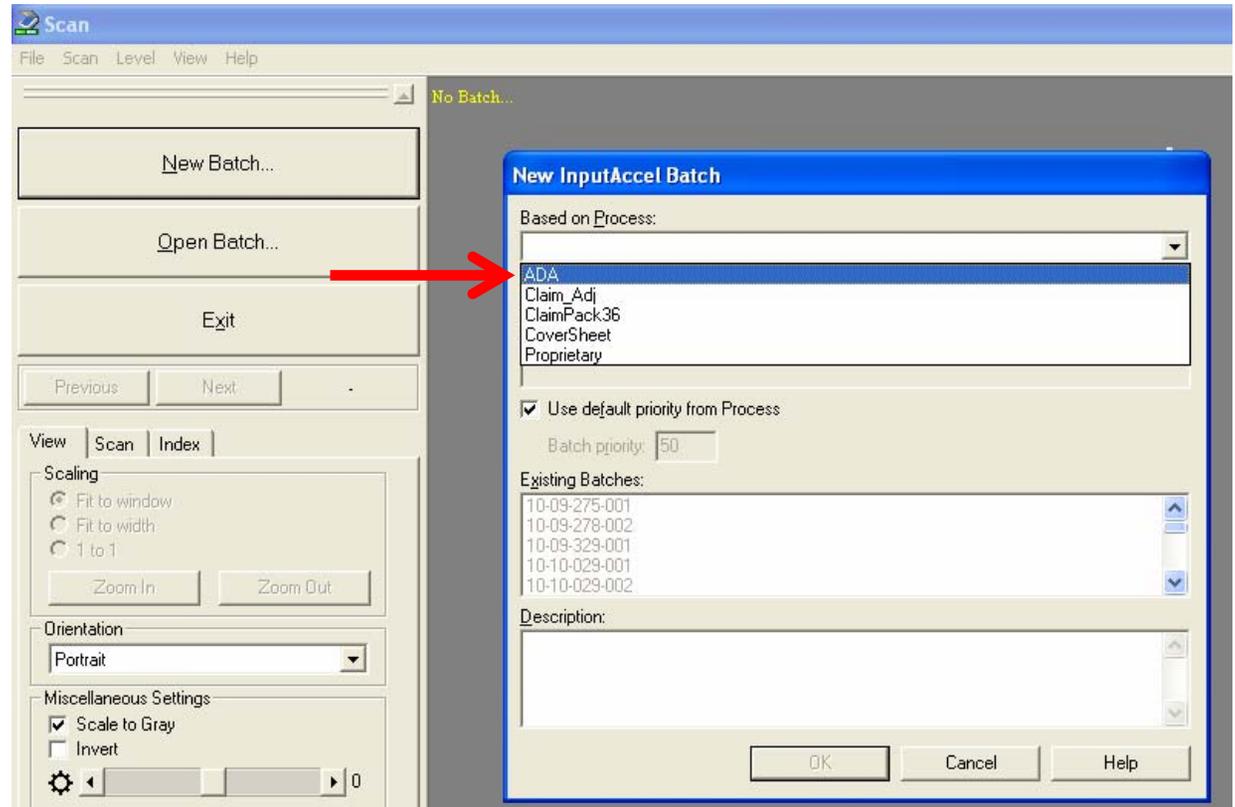


Scanning: ADA 2006 Claim

③ ADA 2006 – Black Claim

Unlike the CMS 1500 and UB04 claim forms, the **ADA 2006** is a **black** form.

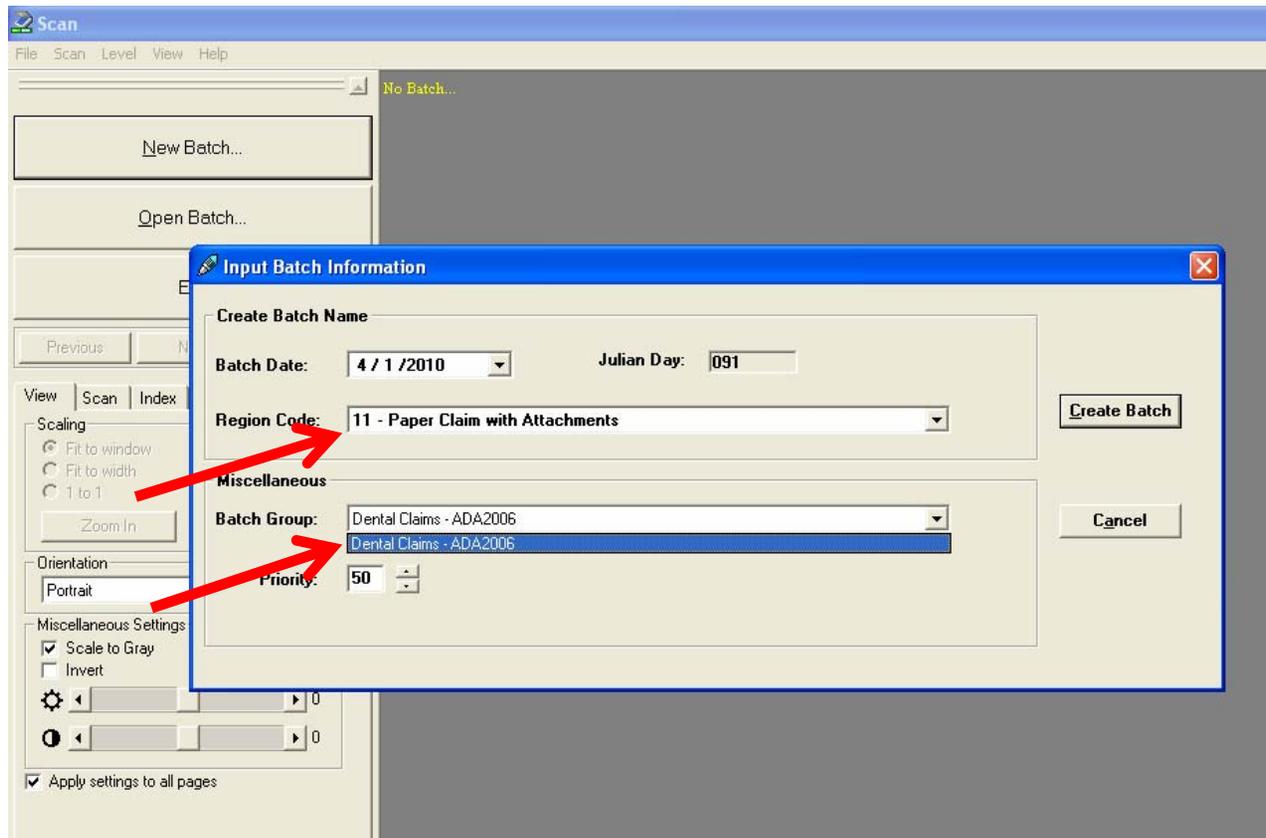
Select ADA as the process.



Scanning: ADA 2006 Claim

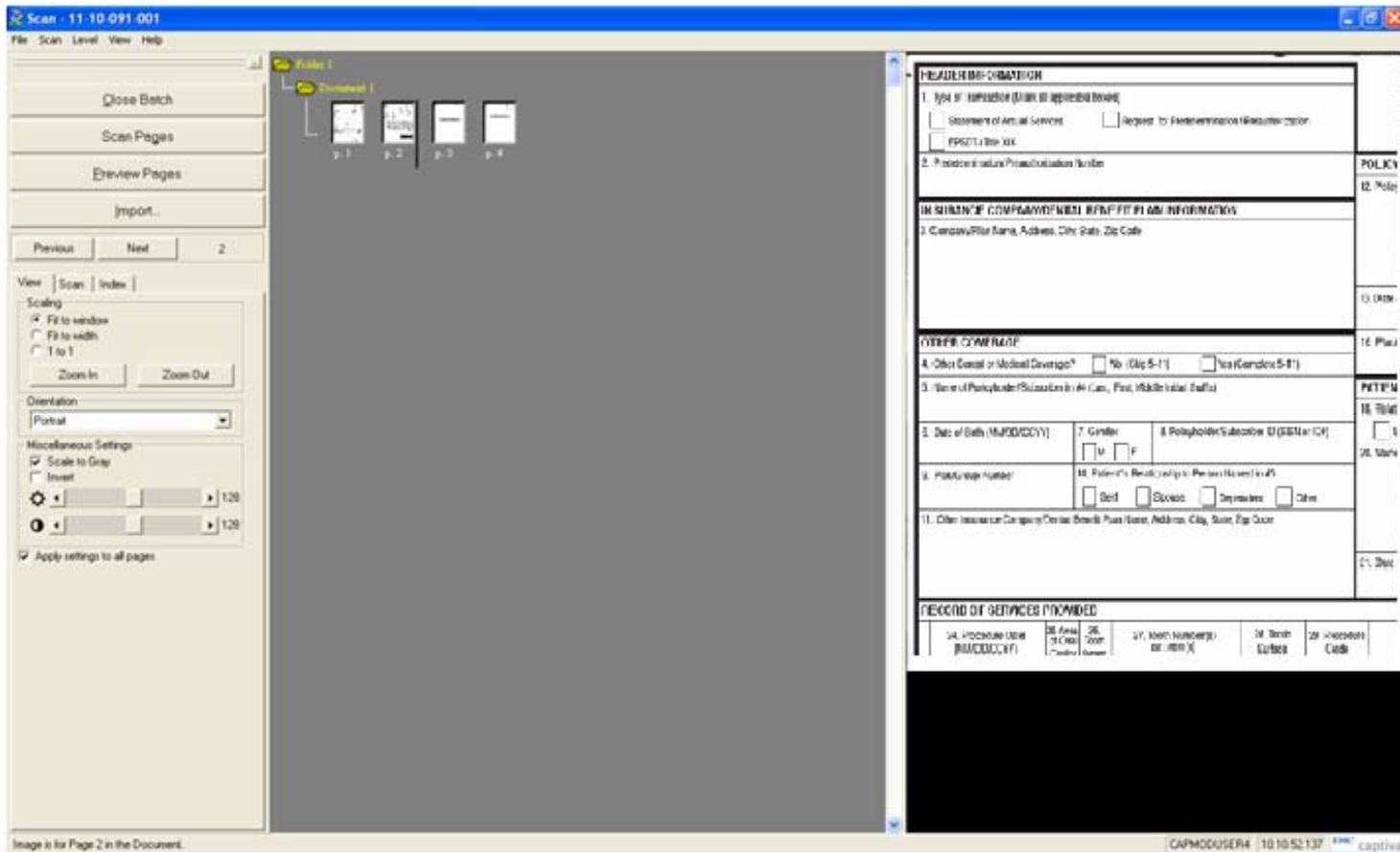
Region Code: 11

Batch Group: Dental Claims – ADA2006



Scanning: ADA 2006 Claim

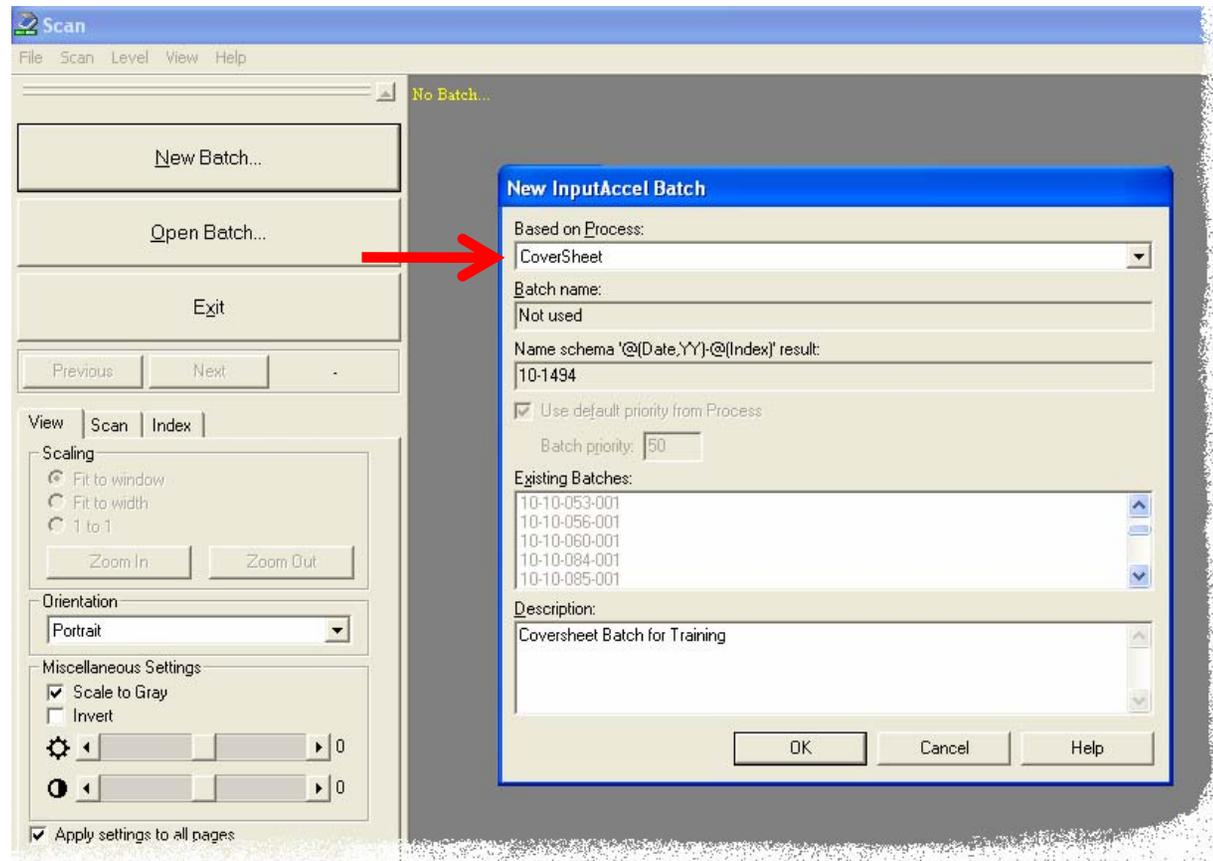
When the scan is completed, you can view the scanned images, on the right of the screen.



Scanning: Coversheet Documents

④ Coversheet Documents *(always black)*

The next type of document to scan are attachments, preceded by an EDMS Coversheet.



Scanning: Coversheet Documents

For all coversheet batches:

- Region Code defaults to 50
- Priority defaults to 50

Input Batch Information

Create Batch Name

Batch Date: 4 / 1 / 2010 Julian Day: 091

Region Code: 50 - Provider Documents

Miscellaneous

Batch Group: Coversheet

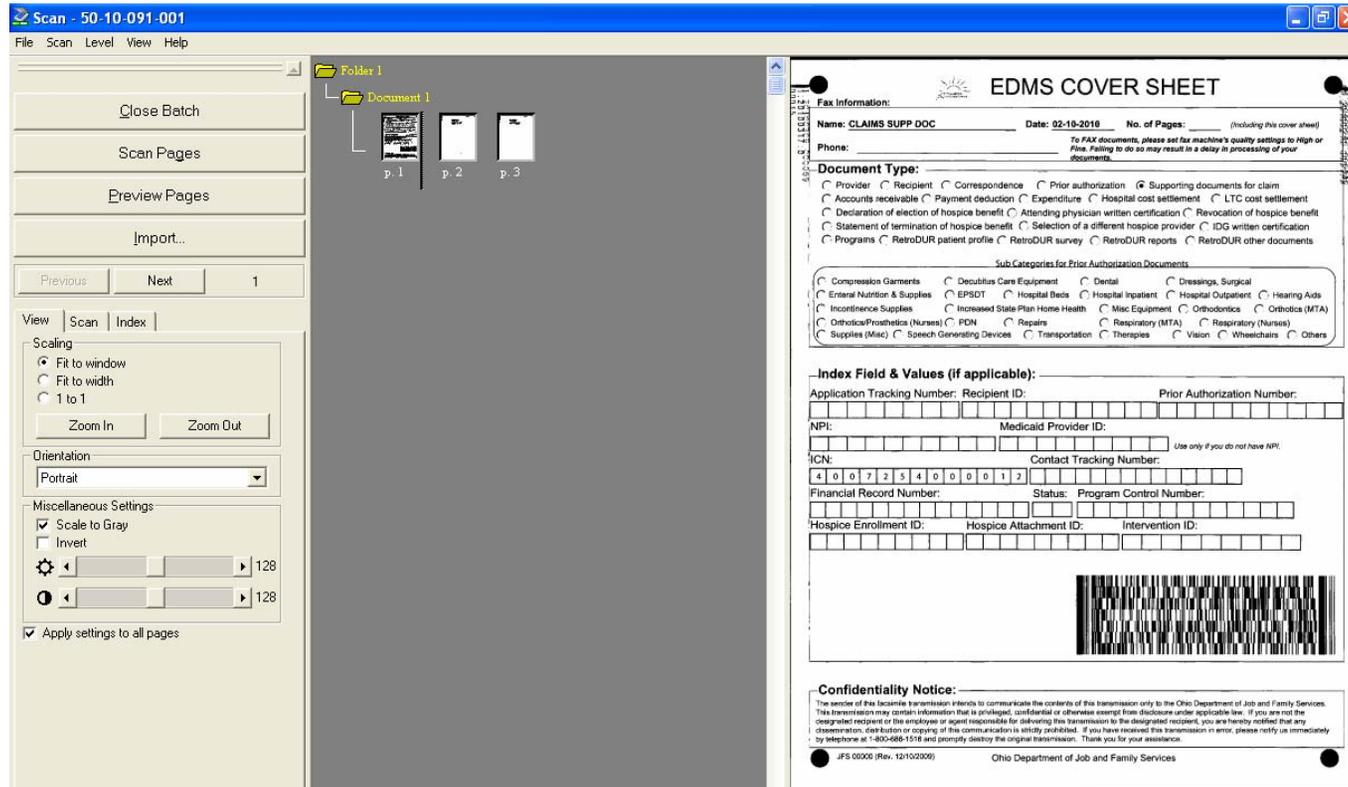
Priority: 50

Create Batch

Cancel

Scanning: Coversheet Documents

The coversheet batch is completed (a single document batch in this example). Notice that the coversheet itself is the first page of the document.

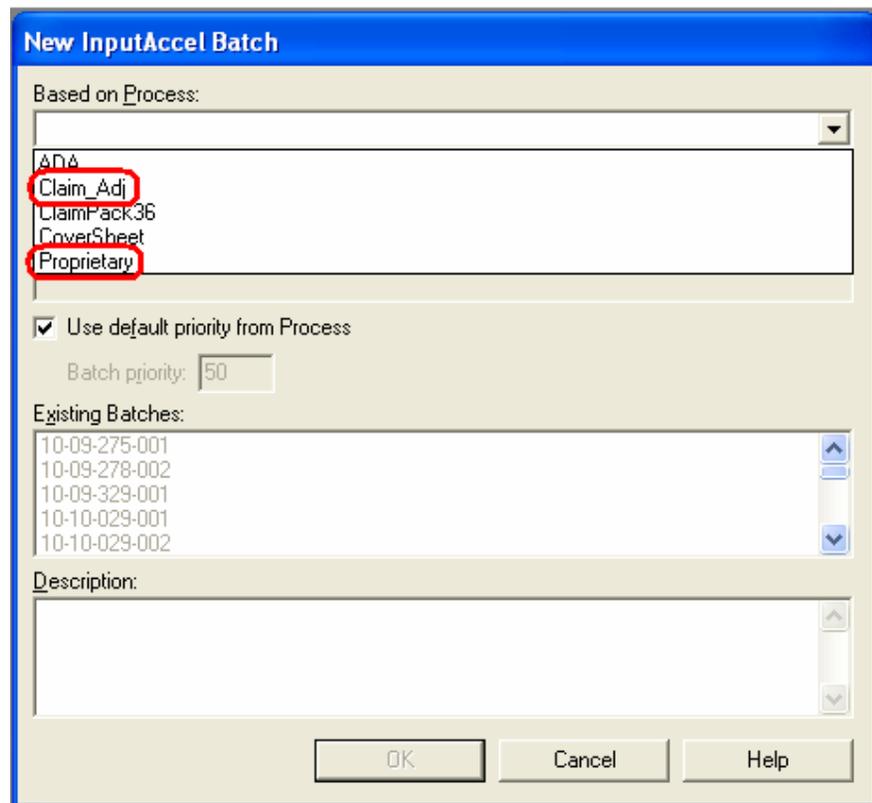


Scanning: 6700 & 9400 Series Documents

- 5 Claim Adjustment forms – 6766, 6767, and 6768
Proprietary forms – 9400, 9401, 9402, and 9405

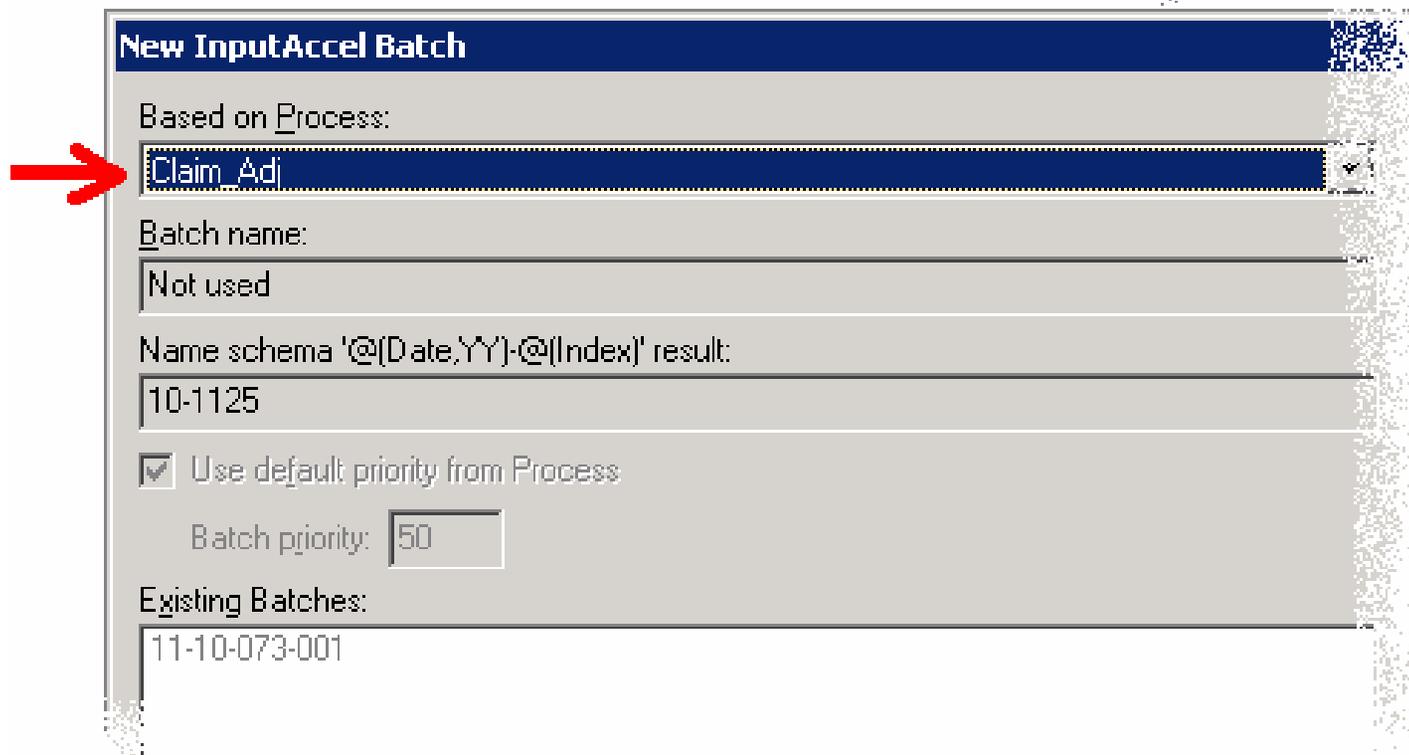
The same steps are used as for the claim forms and coversheet documents.

Each of these sets of forms has its own process: Claim Adj or Proprietary.



Scanning: 6700 Series Documents

Claim Adjustments: select the **Claim_Adj** process



New InputAccel Batch

Based on Process:
Claim_Adj

Batch name:
Not used

Name schema '@(Date,YY)-@(Index)' result:
10-1125

Use default priority from Process

Batch priority: 50

Existing Batches:
11-10-073-001

Scanning: 6700 Series Documents

On the next panel, make the following selections:

Region Code: **63 - Claims Adjustment Documents**

Batch Group: **Claim Adjustment (6766, 6767, 6768)**

Input Batch Information

Create Batch Name

Batch Date: 5 / 3 /2010 Julian Day: 123

Region Code: 63 - Claims Adjustment Documents

Miscellaneous

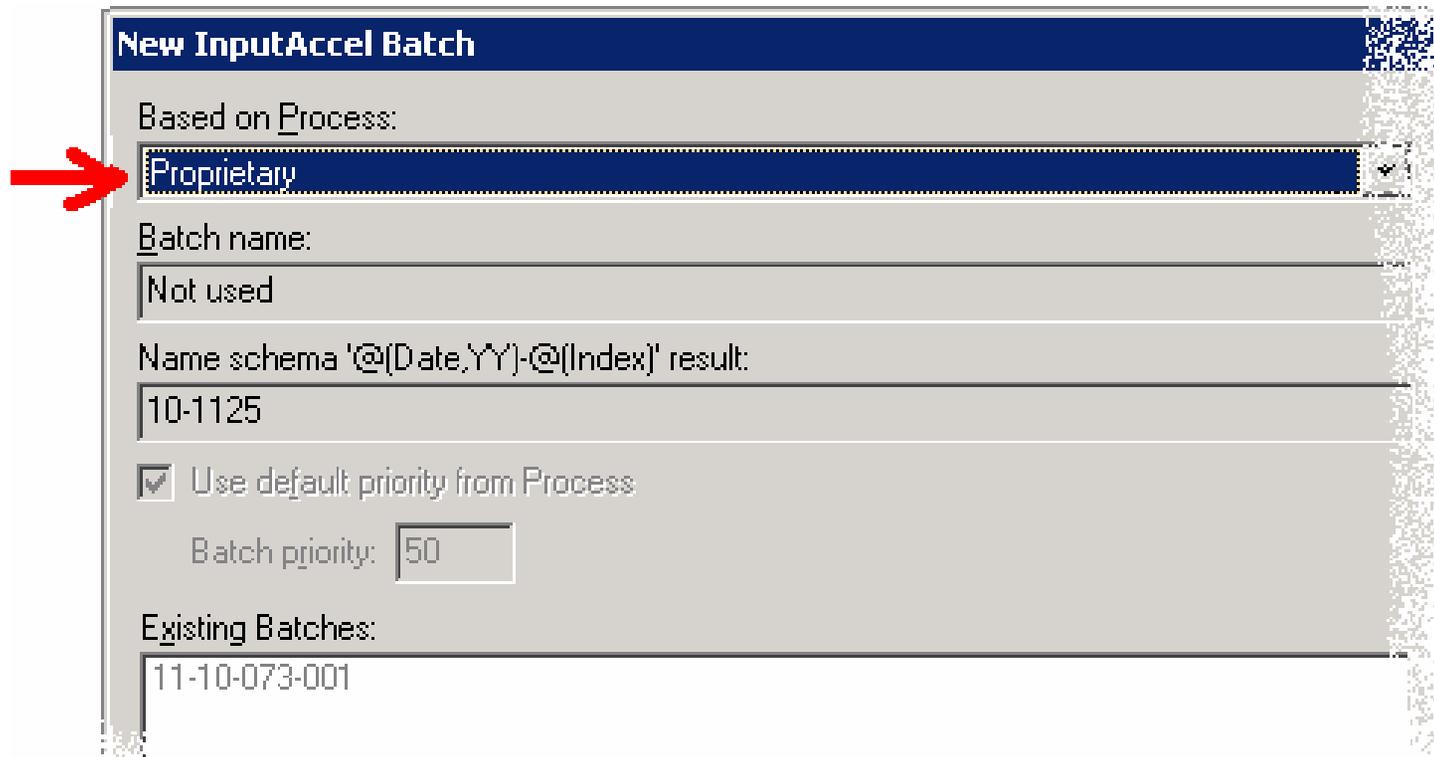
Batch Group: Claim Adjustment (6766, 6767, 6768)

Priority: 50

Create Batch Cancel

Scanning: 9400 Series Documents

Proprietary forms: select the **Proprietary** process



New InputAccel Batch

Based on Process:
Proprietary

Batch name:
Not used

Name schema '@(Date,YY)-@[Index]' result:
10-1125

Use default priority from Process
Batch priority: 50

Existing Batches:
11-10-073-001

Scanning: 9400 Series Documents

On the next panel, make the following selections:

Region Code: 11 - Paper Claim with Attachments

Batch Group: Proprietary (9400, 9401, 9402, 9405)

Input Batch Information

Create Batch Name

Batch Date: 5 / 3 / 2010 Julian Day: 123

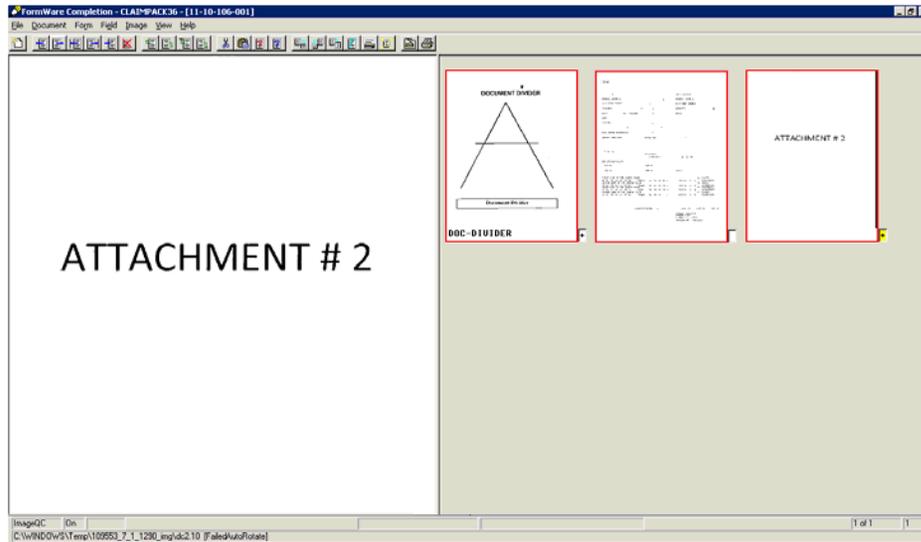
Region Code: 11 - Paper Claim with Attachments
10 - Paper Claim without Attachments
11 - Paper Claim with Attachments

Miscellaneous

Batch Group: Proprietary (9400, 9401, 9402, 9405)

Priority: 50

Create Batch Cancel



Manual IQC

Agenda

1. Introduction
2. Background – What is Being Scanned?
3. Document Preparation
4. Scanning
5. Manual IQC
 - a. Overview
 - b. Functionality Buttons
 - c. Sequence and Coversheets
 - d. Rejection



Manual IQC

High Level Overview

Manual Image Quality Check is a built-in Captiva function. For EDMS it cause human intervention to address a document that Captiva's *Form ID* component has flagged during the scan. Batches that Captiva found no issue with *will not stop* at the Manual IQC step.

The most common reasons for flagged documents:

- A form is not recognized by Captiva
- A document such as an EDMS coversheet or document divider is out of sequence

Manual IQC

How Does It Work?

When Captiva recognizes a problem requiring Manual IQC attention:

1. It immediately puts the entire batch on hold.
2. The Manual IQC worker opens the faulty document to analyze and try to fix the problem.
3. Once the faulty document is fixed (or flagged by the Manual IQC worker for possible rejection from the batch), the batch can be released from hold and proceed to the *Completion: New* step.



Manual IQC

How Problems Are Fixed

The Manual IQC worker's goal is to immediately remedy the problem and release the batch from hold. Among the more frequent fixes that are made :

1. The worker can change the sequence of the pages, if they were scanned out of order
2. The worker can rotate a page if it was scanned upside down
3. The worker can *tentatively* reject the document with a reject code. The *Completion: Verify* operator makes the final decision to reject.



Manual IQC

Logging In

The Manual IQC worker must first be logged in to the Manual IQC application:

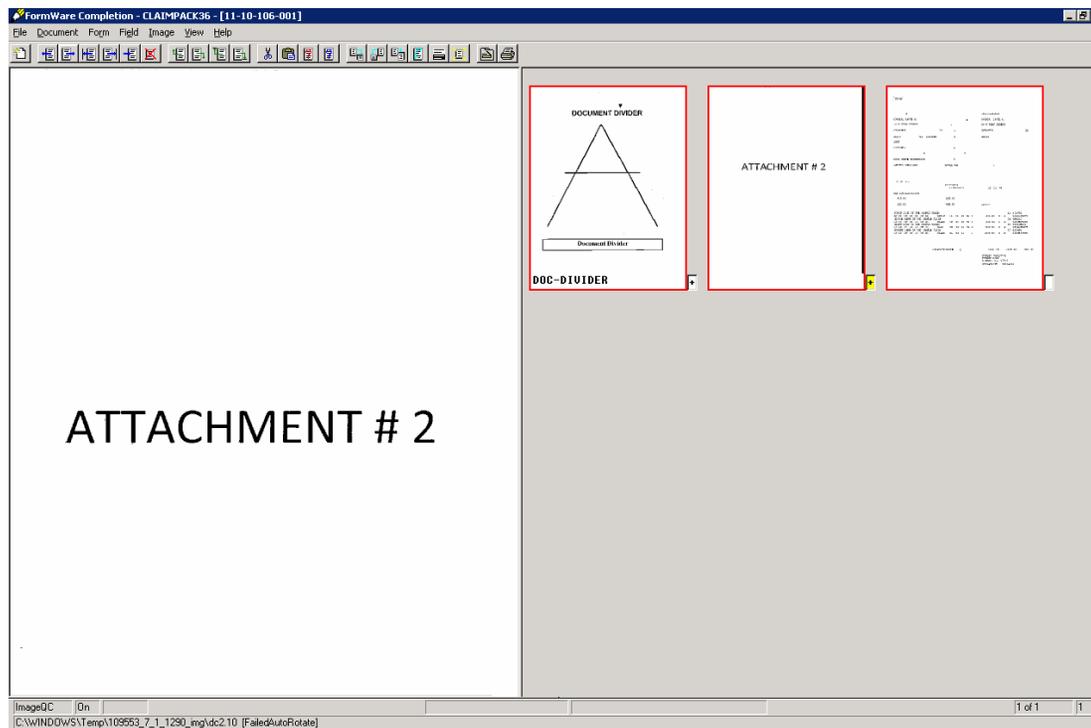
1. The worker clicks on the Manual IQC icon.
2. Then, the worker logs on via Single Signon with their ID and password.



While the Manual IQC worker is logged in, Captiva will automatically open faulty documents on the worker's PC screen, *as they are encountered*.

Manual IQC

The Manual IQC screen is displayed. On the left, below the row of buttons, a scanned image is shown. On the right is a thumbnail of each image within the document with which Captiva has a problem.

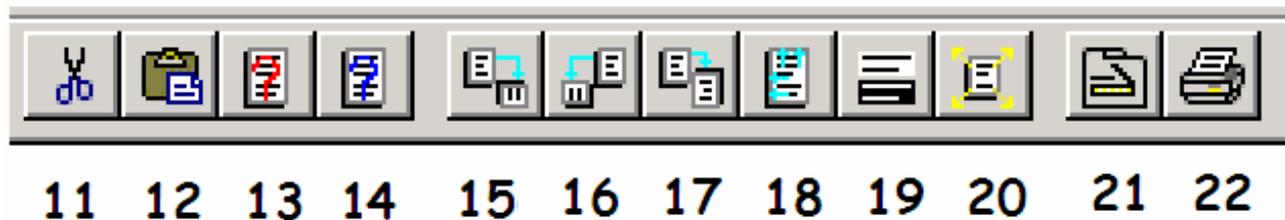
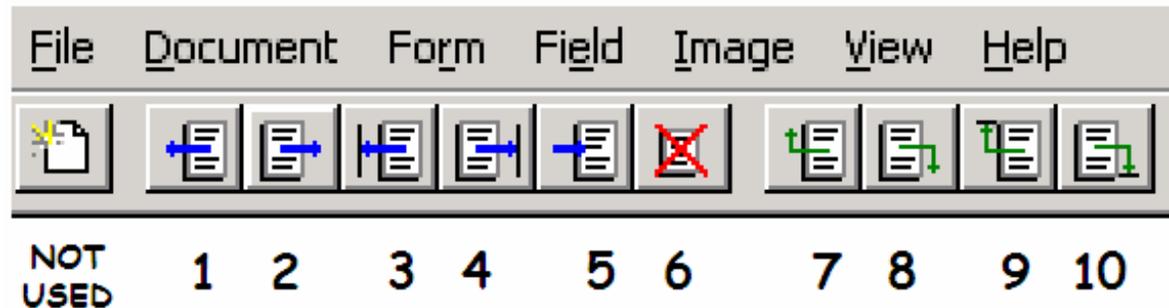


Manual IQC

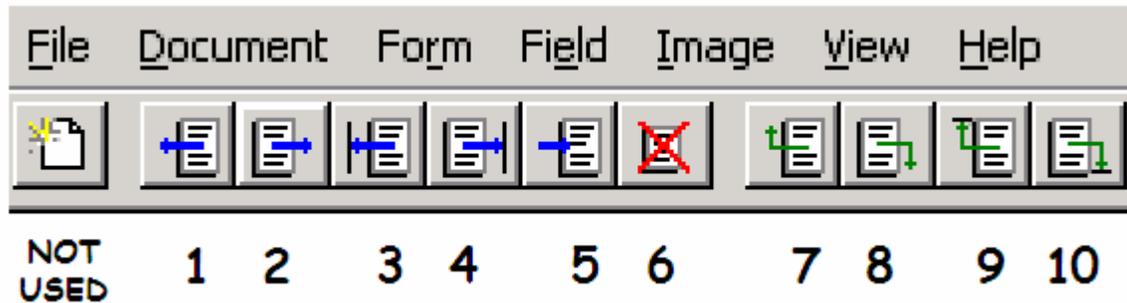


The buttons on top of the Manual IQC panel enable the worker to do multiple things to fix a problem.

***Shown
in a
split
view,
to see
icons
better***



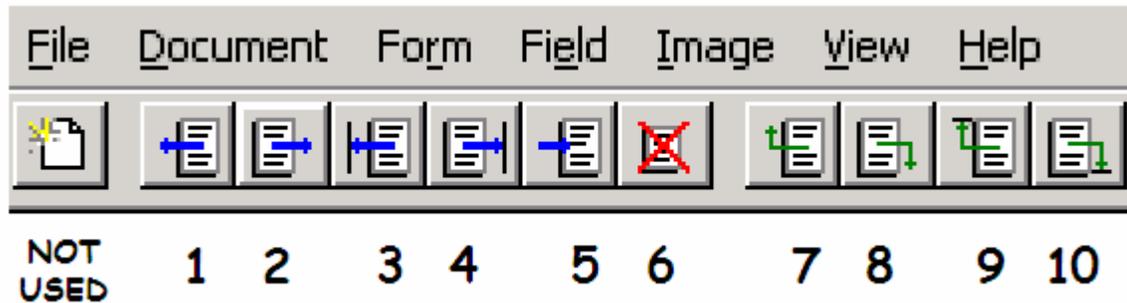
Manual IQC



Explanation of some of the buttons:

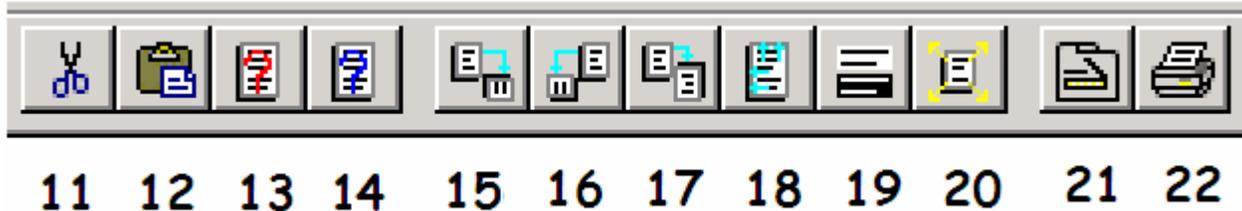
1. Previous form – navigates backwards to the previous document or form.
2. Next Form – navigates forward to the previous document or form.
3. First Form – navigates forward in the batch to the first document or form.
4. Last Form – navigates backwards to the last document or form.
5. Current form – returns to the current document or form.
6. Reject Form – displays the Select Reject dialog to reject an image.

Manual IQC



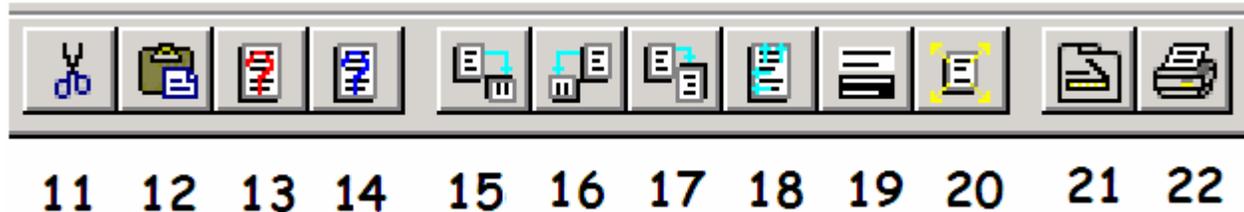
7. Previous Field – moves the cursor to the previous *image* in the current BDF (batch definition file – or, the batch document being viewed).
8. Next Field – moves the cursor to the next *image* (not field) in the current BDF. You can also press <Enter> to move to the next field in the current BDF.
9. First Field – moves the cursor to the first *image* (not field) in the current BDF.
10. Last Field – moves the cursor to the last *image* (not field) in the current BDF.

Manual IQC



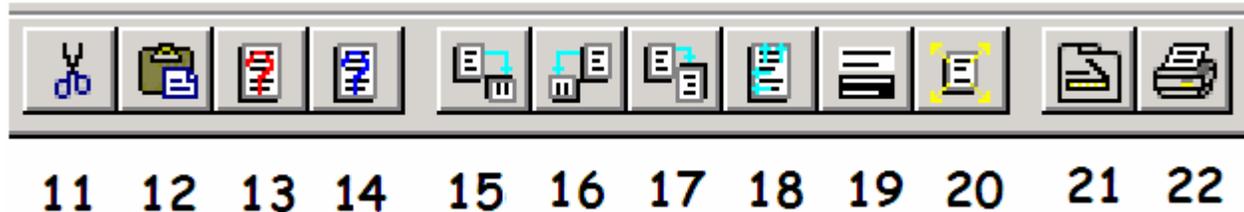
11. Cut – cuts the current image from the BDF and stores it into the clipboard memory. This option is used with the Paste function to reorder the images in the current BDF.
12. Paste – pastes the image from the clipboard after the currently selected image.
13. Assign Form – displays the Assign Form dialog, used to associate a data form with the current image. Type a number for the Form Number or select a Form Name and then select OK.
14. Assign Variant – not used.

Manual IQC



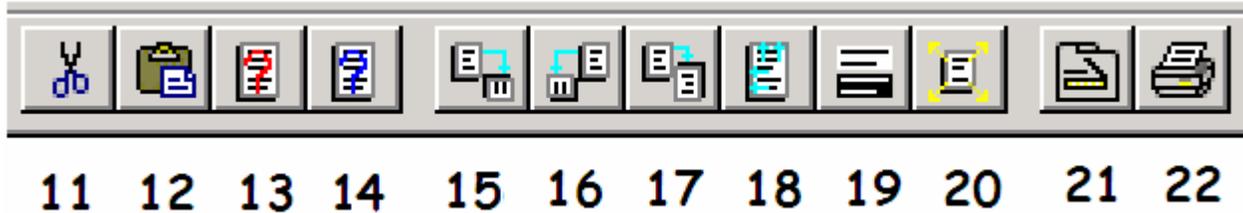
15. Rotate Image Right – rotates an image 90° clockwise. Select this option more than once to continue to rotate the image. This function only applies to the image when it is displayed in the Full Screen Viewport.
16. Rotate Image Left – rotates an image 90° counterclockwise. Select this option more than once to continue to rotate the image. This function only applies to the image when it is displayed in the Full Screen Viewport.
17. Rotate Image Over – rotates an image 180° so that it displays upside-down from the original viewpoint. This function only applies to the image when it is displayed in the Full Screen Viewport.

Manual IQC



- 18. Register Image – **not used**.
- 19. Invert Image – displays the image in negative, so the black portions of the image display as white, and the white portions of the image display as black. This function only applies to the image when it is displayed in Full Screen Viewport.
- 20. Full Screen Viewport – displays the thumbnail image in the Manual IQC window, allowing modifications to be made to the image that can be saved (**not recommended**). Select this option again to return the Manual IQC window to its original display.

Manual IQC



- 21. Image Rescan – **not used**. This option is only available when the worker's workstation is attached to a scanner.
- 22. Image Print – Sends the current image to the printer.

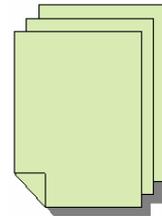
Manual IQC

Reminder: the pages in any scanned document must *always* be in one of these sequences:

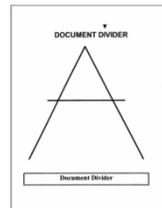
1 *Coversheet followed by attachments:*

A form titled "EDMS COVER SHEET" with various fields for document identification and tracking.

+



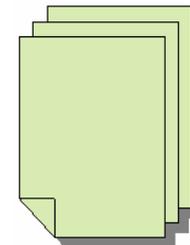
2 *Doc Divider followed by form, then attachments:*



+

A form titled "ACA Dental Claim Form" with multiple sections for claim information.

+



3 *6768 Claim Adjustments, standalone:*

A form titled "6768 Claim Adjustments" with a table for listing adjustments.

+

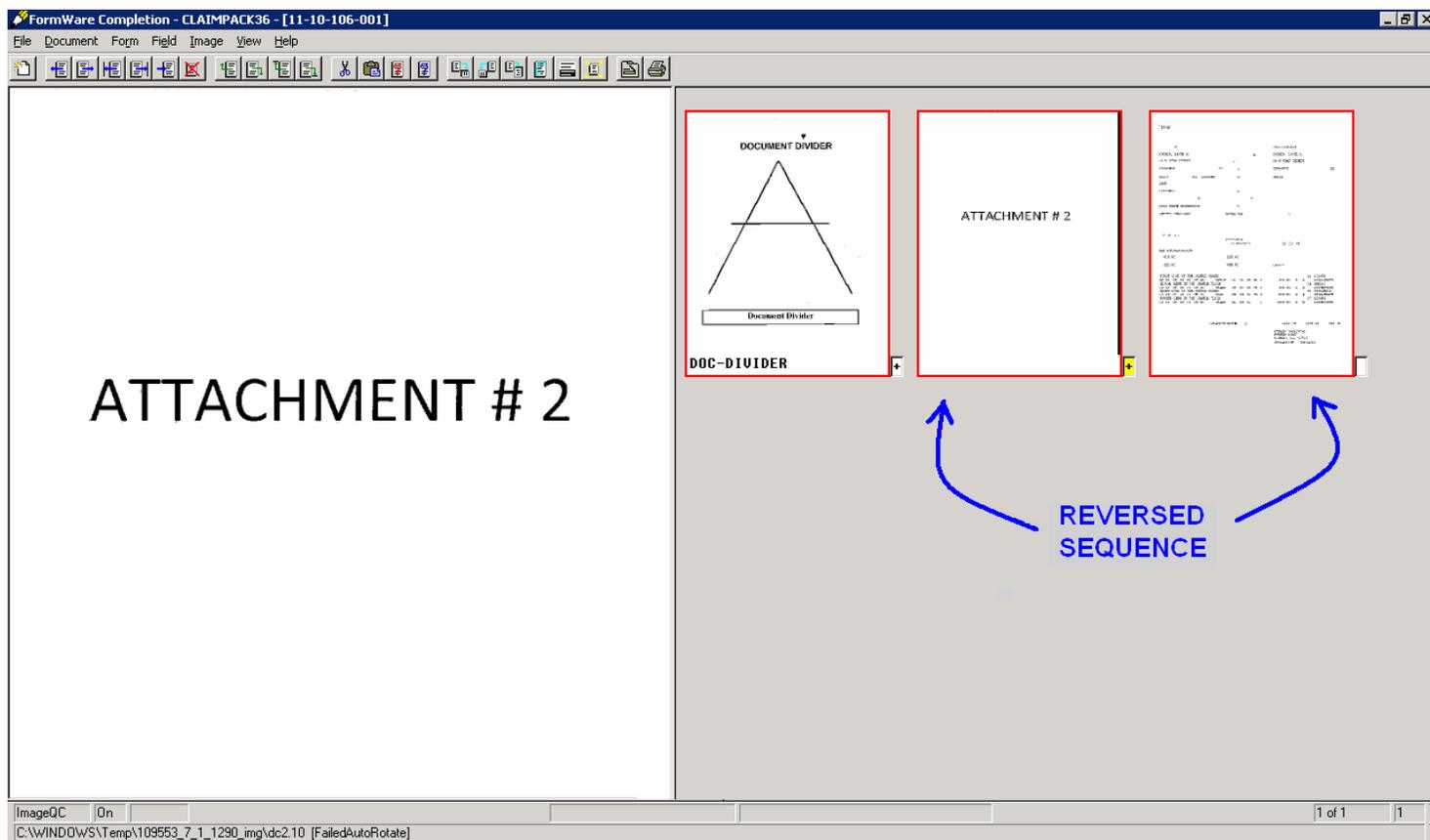
A second form titled "6768 Claim Adjustments" with a table for listing adjustments.

+

A third form titled "6768 Claim Adjustments" with a table for listing adjustments.

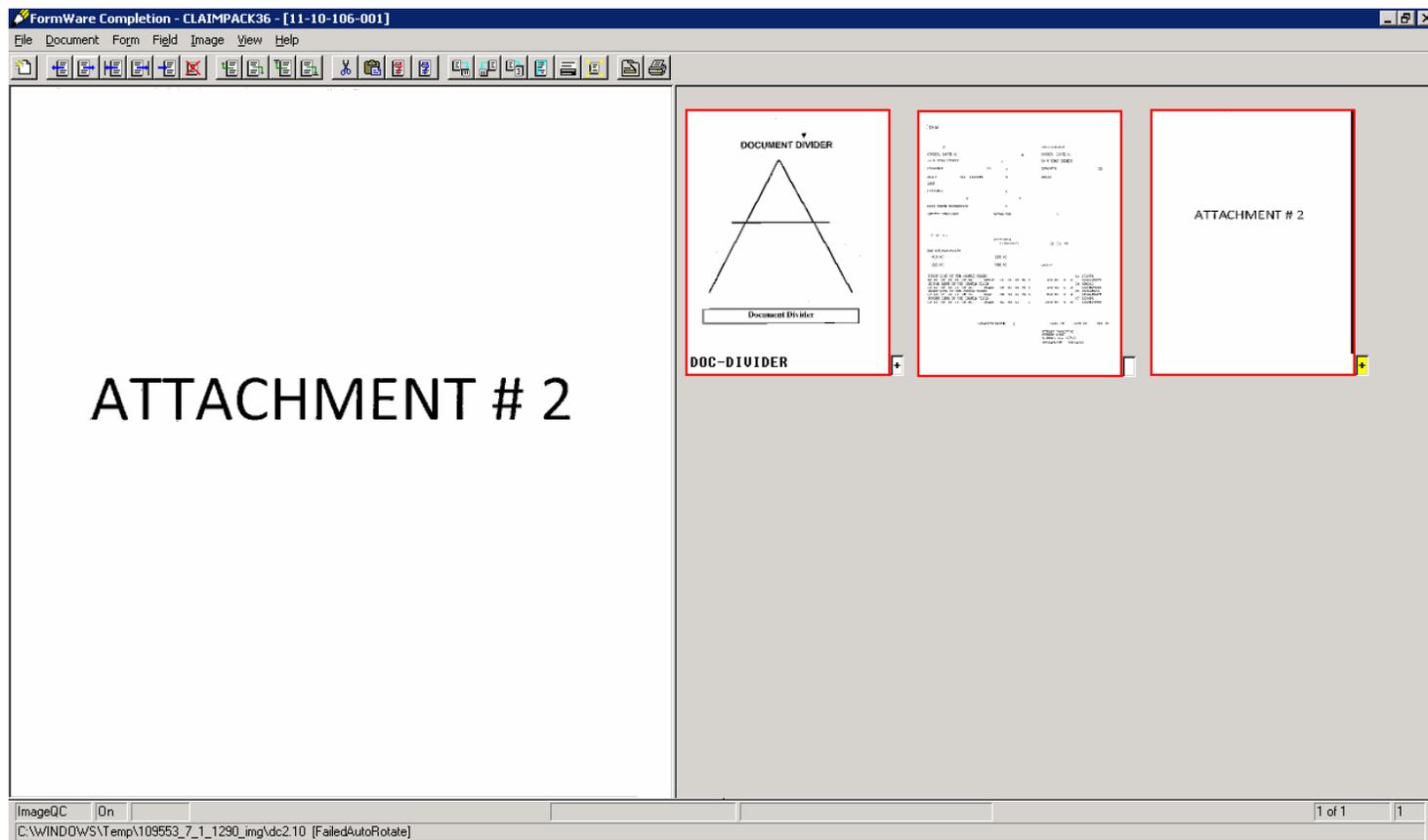
Manual IQC

In this first example, an attachment came before the claim form that it should have followed.



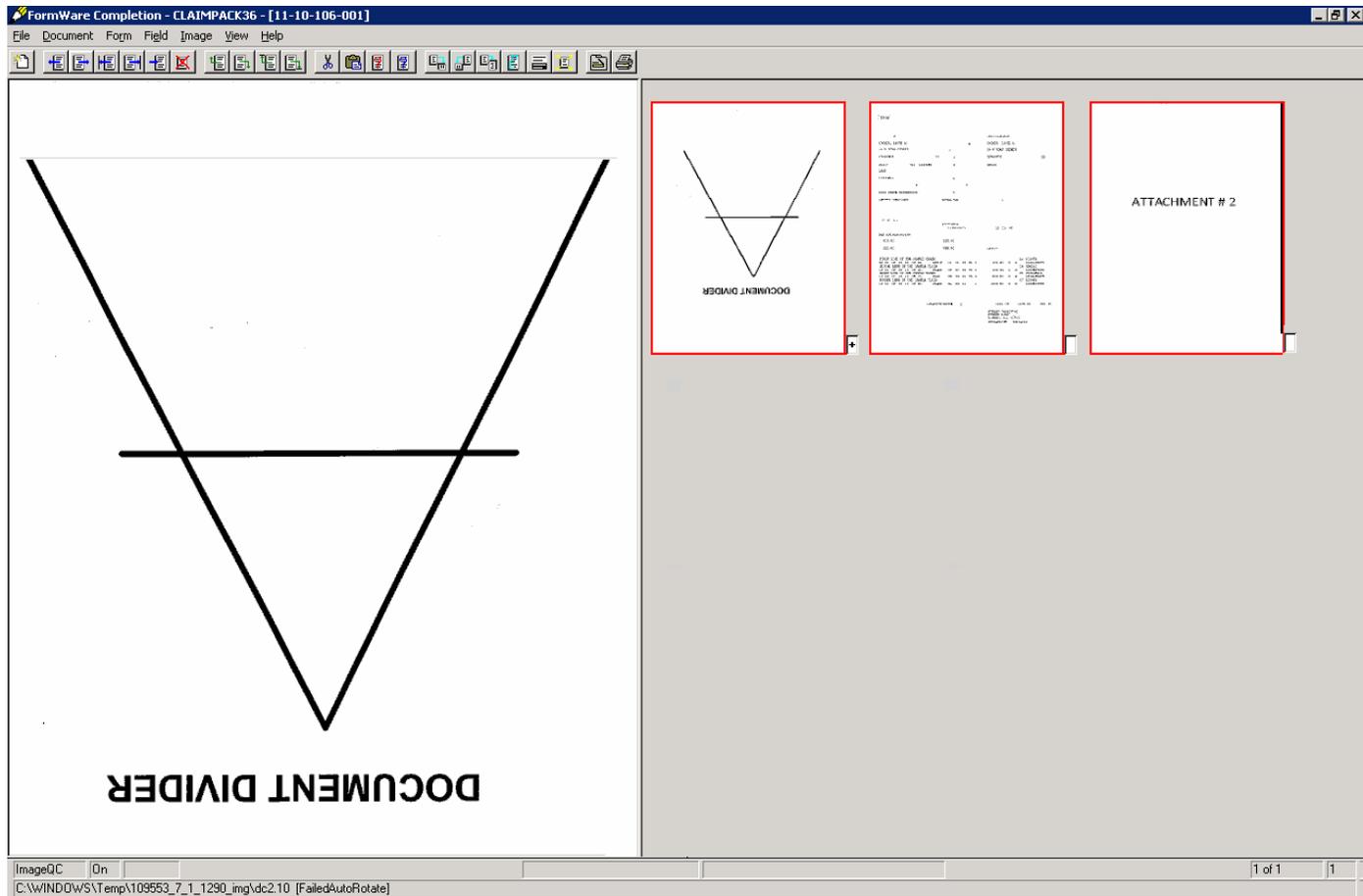
Manual IQC

The Manual IQC worker can 'drag & drop' the pages to re-sequence them, putting the claim form ahead of the attachment.



Manual IQC

An inverted Doc Divider, Coversheet, or form can be rotated to make Captiva accept the document.



Manual IQC

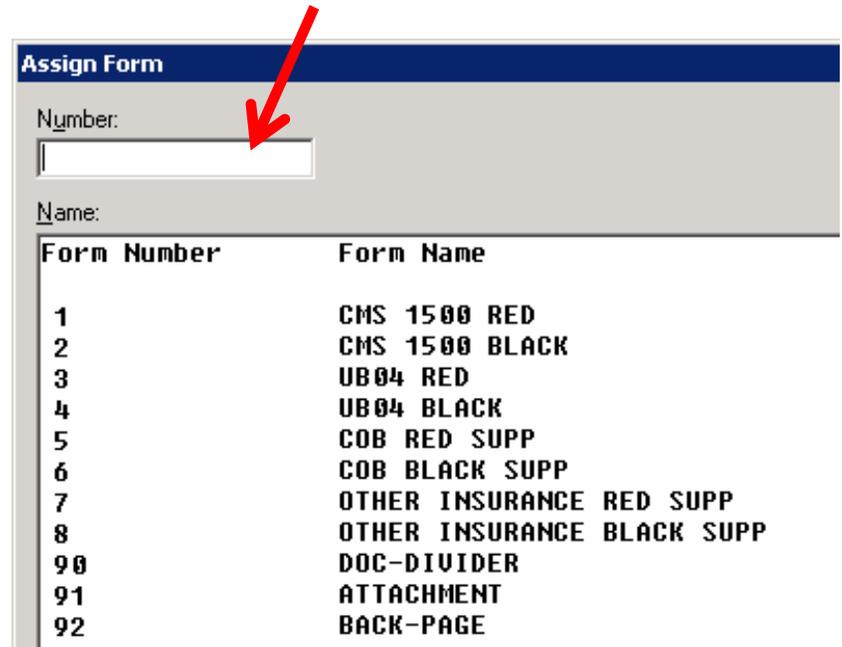
If Captiva does not recognize the first page of a new document as:

- a form
 - a coversheet
 - a Doc Divider
- (1) The worker presses the *Assign Form*

button:



- (2) Then, the worker enters a form number from a predefined list.

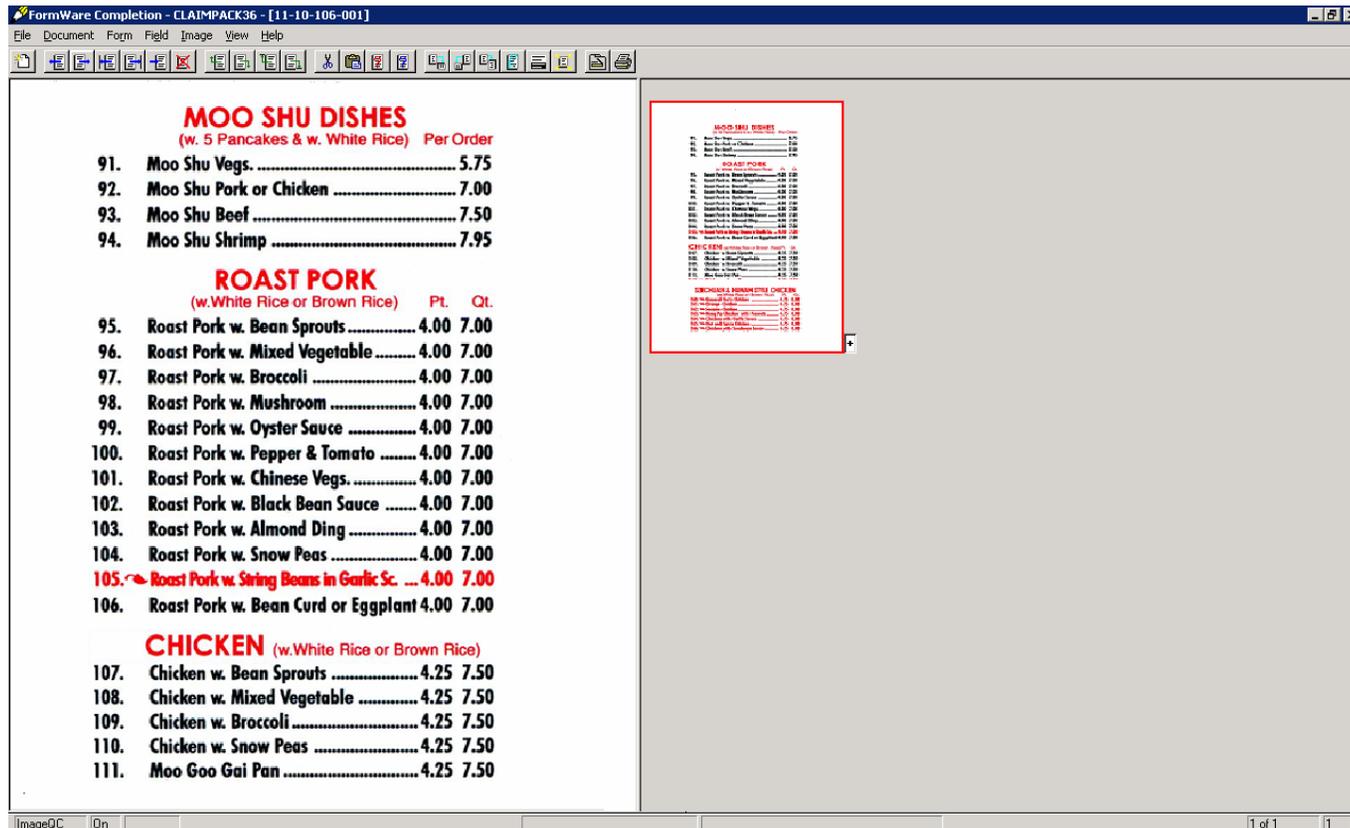
A screenshot of a software dialog box titled "Assign Form". It has a dark blue header bar. Below the header, there are two input fields: "Number:" and "Name:". A red arrow points to the "Number:" input field. Below these fields is a table with two columns: "Form Number" and "Form Name".

Form Number	Form Name
1	CMS 1500 RED
2	CMS 1500 BLACK
3	UB04 RED
4	UB04 BLACK
5	COB RED SUPP
6	COB BLACK SUPP
7	OTHER INSURANCE RED SUPP
8	OTHER INSURANCE BLACK SUPP
90	DOC-DIVIDER
91	ATTACHMENT
92	BACK-PAGE

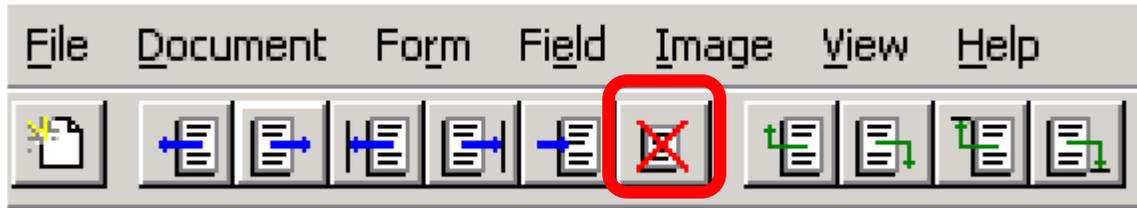
NOTE: The options shown on this list correspond to the type of batch being reviewed.

Manual IQC

Finally, if the document is invalid, the worker can mark the document for possible rejection. The decision is made by the *Completion: Verify* worker



Manual IQC



The Reject Form button marks the document for possible rejection. The Manual IQC worker selects a reason code, when prompted:

A - Image not readable
B - Wrong image
C - Wrong orientation
D - Wrong side of form
E - Wrong form selected
F - Recognition failed

G - Other
H - Other-Document Pulled
I - Other-Document Not Pulled

What Happens Next in EDMS Scanning?

Once a batch is successfully through the scanning process, the batch then:

1. Goes to the *Completion: New* step, where any fields that Captiva flagged as invalid are keyed.
2. Continues to the *Completion: Verify* step, where **all** key/index data is keyed by the operator, as a final step to ensure quality.
3. When the Completion Verify operator is done keying in the information, the document is accepted for storage into EDMS.



Questions



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