

**DEPARTMENT OF HEALTH AND FAMILY SERVICES  
DIVISION OF HEALTH CARE FINANCING  
ADMINISTRATOR'S MEMO SERIES**

**NOTICE: 07-02**

**DATE: January 23, 2006  
DISPOSAL DATE: Ongoing**

**RE: Electronic Case File**

**To:** County Departments of Human Services Directors  
County Departments of Social Services Directors  
Tribal Chairpersons/Human Services Facilitators  
Tribal Economic Support Directors

**From:** Cheryl McIlquham, Interim Administrator  
Division of Health Care Financing

**PURPOSE**

This memo provides information and guidance to all agencies regarding the Electronic Case File (ECF) project and its strategic importance to State and local Income Maintenance agency payment accuracy, quality assurance efforts, ease of case processing and customer service. This document provides background on the implementation and roll-out of the ECF project and clearly defines the specific dates for getting open, active, case file information into the ECF folders in the central repository located in Madison, Wisconsin.

**INTRODUCTION AND PILOT STATUS**

The ECF project was piloted in Dane, Price and LaCrosse Counties beginning in October 2004. After 12 months, all three pilot locations had scanned pertinent documents from active cases comparable to the total number of active cases open at any one time (e.g. Dane County has about 20,000 cases open at any one time and they had about 20,000 case files scanned into the ECF after 12 months). We refer to this as the "back-file conversion" process although it does not mean that all active, current and open case files were scanned after 12 months. This back-file conversion effort encompassed a large workload and, depending on the overall state of the filing system at each location, it involved a comprehensive file clean-up effort. The implementation of the ECF has a significant impact on local office processing.

At the same time, the pilot agencies and other agencies with scanners have been scanning new documents, referred to as "ongoing" or "day to day" scanning. The effort includes the scanning of documents turned in at review, intake, or those dropped off or mailed in to the agency. The pilot locations have scanned over 400,000 documents to date representing over 43,000 cases.

Non-Pilot agencies began receiving scanners and user demonstrations in January 2006. We will have installed all scanners and provided user demonstrations for all IM agencies by December 31, 2006.

## **IMPLEMENTATION STATUS AND STATISTICS**

Through October 2006:

- Over 100 scanners are in place in over 50 county/agency (including W-2) locations.
- Just over 2 million documents have been scanned and stored.
- An average of 5,500 documents were stored per day in May and June, 2006 (since August that number has almost doubled to 11,000 documents stored per day and compares to about 2,500/day in February/March).
- The largest number of scanned documents for a single week is over 65,000.
- Images are being stored as early as 6 a.m. and as late as 7 p.m.. Some images were scanned and stored on Sundays as well.
- The average IM agency has about 10 documents per case, while W-2 agencies average more than 20 documents per case.

For additional information on the ECF project, please consult the following web sites.

For use, installation and instructions: <http://www.emhandbooks.wi.gov/ecf/>

For statistics and roll-out/implementation map: <http://dhfs.wisconsin.gov/em/ecf/ecf-data.htm>

## **THE FUTURE OF ECF**

All agency locations will have scanners and the ability to scan both back-file and ongoing case file information in their location by December of 2006. We will have well over 2 million documents scanned representing almost 300,000 cases by that time. It should be noted that at any point in time, about 400,000 cases are open statewide, so we will have a number equivalent to three quarters of the open cases scanned in by December 2006.

The ECF project will soon support Income Maintenance casework, MA and FS Quality Assurance (QA) efforts, second party reviews and all case related activities. In the next year or two, the state will further integrate the ECF into daily operations and day-to-day case processing:

- making it accessible from within the CWW with links to key documents from specific pages in the CWW;
- adding electronic copies of all notices of decision into the ECF for retrieval by both workers and clients using ACCESS for client self-service (targeting early 2008);
- expanding the use of ACCESS for clients to report changes which is expected to reduce the amount and types of verification documentation voluntarily sent in by clients as they will have the ability self-scan some items;
- creating ongoing program simplification, reduced change reporting requirements and expanded data exchange capabilities which will result in fewer verification documents being required from clients;
- integrating DDB documents into the ECF (target dates TBD); and
- creating the ability to "scan first, process later" which will allow agencies to scan documents into the ECF and have the system notify the appropriate worker that documents are available to be worked, by case. This will eliminate duplicate handling of case file documents within each agency (targeting late 2007).

## **ECF Implementation and IM Agencies**

Because of the need to make case file information available to workers, clients and QA staff coupled with increased postage and shipping costs, we are requiring that agencies with scanners meet the following guidelines:

1) With on-site or telephone support from state staff, all agencies have had their ECF software upgraded to Kofax ACIS version 7.0. This will result in all agencies using the same version and will allow the state to provide additional functionality statewide. This functionality includes: more batch classes that will allow users to more easily scan documents associated with multiple cases at one time; faster scanning and indexing, better image modification using Virtual ReScan and better support given that all locations will be using the same version of the software. State staff will assist all agencies in this upgrade and the state is funding the cost of the software for the upgrade.

2) Beginning January 1, 2007, all cases requested by the State for QA purposes or for any other reason (i.e. second party review by PAC, client complaint, cases in the FS and Medicaid negative QC samples, PARIS, etc.) must be scanned into the ECF, in its entirety, as outlined in the ECF handbook within ten (10) business days of the request. This action is in lieu of pulling, copying and shipping the case file to the requesting state agency. Missing case files can lead to liquidated damages as outlined in the IM contract and in [Administrators Memo 06-01](#) regarding local agency compliance with DHFS requests for records and case-specific corrective action.

3) It is expected that each IM agency will have scanned all case files and appropriate documentation, as outlined in the ECF Handbook, for active and open cases into the ECF repository by June 30, 2008.

4) All IM agencies will scan application, review and change documentation as well as any case transfers (to minimize impact on the clients) into ECF beginning January 1, 2007.

5) All ongoing or day-to-day scanning will be maintained and kept current so all electronic case files are current to within 30 calendar days of the reported/required case action having been performed in CARES. However, the 30 calendar days refer to day-to-day operations. If, as outlined in number 2. above, a request for a file from the department (or its designee), must still be completed and scanned within ten (10) business days of the request.

**REGIONAL OFFICE CONTACT: DHFS Area Coordinators**

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