



COMMISSIONER
Chris Traylor

December 7, 2011

To: Adult Foster Care Providers
 Assisted Living/Residential Care Providers
 Community Attendant Services Providers
 Community Based Alternatives Providers
 Consumer Directed Services Agencies
 Day Activity and Health Services Providers
 Emergency Response Services Providers
 Family Care Providers
 Home Delivered Meals Providers
 Medically Dependent Children Program Providers
 Primary Home Care Providers
 Transition Assistance Services Providers

Subject: Information Letter No. 11-147
 Electronic Document Submission Pilot

This information letter (IL) applies to the providers and Consumer Directed Services Agencies (CDSAs) that made arrangements with the Texas Department of Aging and Disability Services (DADS) to participate in the Electronic Document Submission (EDS) Pilot.

DADS will pilot the use of electronic transmission of documents between DADS case managers and providers/CDSAs. The pilot will begin on December 19, 2011 and continue up to a six month period. Attached is the DADS regional office e-mail contact information and pilot procedures.

DADS expects the use of EDS to:

- reduce the time needed to obtain service plan authorizations;
- reduce provider expense of mailing documents back and forth;
- reduce documents lost in the mail or by fax; and
- increase the accuracy in communications

Implementation of the EDS pilot does not change timeframe submission dates or the required forms and documents; it only changes the method used to transmit documents between DADS case managers and providers or CDSAs.

Information Letter No. 11-147
December 7, 2011
Page 2

Attached are the following:

- requirements for participation
- electronic document submission pilot procedures;
- naming convention;
- regional email addresses; and
- frequently asked questions.

Participation in the EDS pilot is voluntary. If providers decide at any time they no longer wish to participate, they may notify DADS at pdo@dads.state.tx.us.

For questions regarding the content of this letter, please contact DADS Policy Development and Oversight at PDO@dads.state.tx.us.

Sincerely,

[signature on file]

Teresa Richard
Director
Center for Policy and innovation

[signature on file]

Gary Jessee
Assistant Commissioner
Access and Intake

Attachments

Electronic Document Submission Pilot Procedures

Requirements for Participation:

- Internet service;
- Establish and maintain at least one email address to which DADS will transmit electronic forms and documents;
- Ability to submit and receive all forms and documents electronically;
- Ability to send documents electronically using encryption software;
- Ability to scan and upload forms that require signatures;
- Use of Form 2067, Case Information, when submitting forms and documents to DADS;
- Participation in an evaluation at the conclusion of the pilot;
- Participation in conference calls, which may be held during the pilot; and
- Compliance with DADS policy regarding submitting forms and documents electronically.

Documents Submitted Electronically During the Pilot:

- Initials
- Recertifications and changes initiated by the DADS case manager
- Changes initiated by the provider
- Individual transfers
- Provider transfers
- CDSA quarterly expenditure reports, back-up plans or corrective action plans.

Initials:

- DADS case manager emails the packet using Voltage to the provider at the designated provider email address.
- Provider completes the appropriate documentation/forms according to current policy.
- Provider submits completed documentation/forms to DADS case manager, which must be sent by email, using encryption software, to designated DADS office email address.
- Providers maintain proof of electronic documents/forms submission.
- Auto response will not be proof of submission.
- Providers must only include one packet (documentation/form) at a time for a single individual per email.
- Subject line of all emails must follow the established naming convention, which is described at the end of this document.
- Form 2067, Case Information must be included with all submitted packets (forms/documentation).

- Forms/documentation requiring signatures (individual and providers) must be scanned into a Microsoft Word document and sent by email, using encryption software, to the designated DADS office email address.

Recertifications and Changes Initiated by the DADS Case Manager:

- DADS case manager sends email via Voltage encryption software identifying the change(s).
- Providers complete the appropriate documentation/forms according to current policy.
- Providers submit completed documentation/forms to DADS case manager by email, using encryption software, to the designated DADS office email address.
- Providers must maintain proof of electronic documents/forms submission.
- Auto responses will not be proof of submission.
- DADS case managers must send one packet at a time via email, using Voltage encryption software, to providers.
- Subject lines of all emails must follow the naming convention, which is described at the end of this document.

Changes Initiated by the Provider:

- Provider sends documentation/forms via secure email to the DADS case manager.
- DADS case managers send the appropriate documentation/forms to providers via email, using Voltage encryption software.
- Provider completes the appropriate documentation/forms according to current policy.
- Provider submits completed documentation/forms to DADS case manager by email, using encryption software.
- Providers must maintain proof of electronic documents/forms submission.
- Providers must only include documentation (one packet) for a single individual per email.
- Auto responses will not be proof of submissions.
- Subject line must follow the naming convention, which is listed at the end of the process.
- Form 2067, Case Information must included with all packets (forms/documentation) submitted.
- Forms/documentation requiring signatures (individual and providers) must be scanned into a Microsoft Word document and sent by secure email.

Individual Transfers:

- With the exception of transmitting a document/form by secure email, individual transfers will be processed according to current policy

- Providers and DADS case managers processing individual transfers in and out of the pilot area will follow current policy

Provider Transfers:

- With the exception of transmitting a document/form by secure email, provider transfers will be processed according to current policy
- Providers and DADS case managers processing provider transfers in and out of the pilot area will follow current policy

EDS Procedures: CDSAs:

- The DADS case manager emails the initial referral and service plan to the CDSA using the designated provider email address.
- CDSA completes the appropriate documentation/forms according to current policy.
- CDSA submits completed documentation/forms (signed service plan or 2067 indicating the CDS Orientation is complete) to DADS case manager, which must be sent by email, using encryption software, to designated DADS office email address.
- CDSAs must maintain proof of electronic documents/forms submission. Auto response will not be proof of submission

Naming Convention:

DADS case managers and providers/CDSAs must use a specific naming convention in the subject line of each email used to transmit documents/forms. Strict adherence to the naming convention will ensure ease of locating desired documents.

The specific naming convention is:

- The program acronym in all caps (acronyms not appearing on this list are not included in the pilot):
 - AFC – Adult Foster Care
 - AL/RC – Assisted Living/Residential Care
 - CAS – Community Attendant Services
 - CBA - Community Based Alternatives
 - DAHS – Day Activity and Health Services
 - ERS – Emergency Response Services
 - FC – Family Care
 - HDM – Home Delivered Meals
 - MDCP – Medically Dependent Children Program
 - PHC – Primary Home Care
 - TAS – Transition Assistance Services
- Underscore
- The first four letters of the last name of the individual in all caps (use the entire last name if it has less than four letters)

- Underscore
- The last four digits of the consumer's identification (id) number (use the first four digits of the social security number if an applicant does not have an individual id number)
- Underscore
- The action-type indicator
 - I – initials
 - R – recertification's
 - C – changes
 - T – transfers
 - O – other
- Underscore
- The initial of the first name of the DADS case manager (if known)
- Underscore
- The last name of the DADS case manager (if known)

For example, a recertification for Mary Jones' CBA case, individual id number 529125283, case manager Ann Smith: CBA_JONE_5283_R_A_Smith
 There are no spaces within the naming convention.

For example, a CDS quarterly expenditure report for Mary Jones' CBA case, individual id number 529125283, case manager Ann Smith: CBA-JONE_5283_R_A_Smith
 There are no spaces within the naming convention.

FAQs

Question:

Providers must maintain proof of electronic documents/forms submission. If we print the screen that shows the date and time the mail was sent is that acceptable documentation?

Answer:

If the screen print shows which individual the information was sent on then it would be acceptable documentation.

Question:

Can the word SECURE be added in the address line?

Answer:

Yes, the word SECURE can be added at the end of the naming convention. Remember, putting the word SECURE in the subject line, does not mean the document is being sent secure and encrypted.

Question:

Will DADS provide common software to pilot participants?

Answer:

No, participating providers/CDSAs must use their own secure, encrypted email.

Question:

Should emails being sent only include documents for one individual?

Answer:

Yes, the email should only include documents for one individual. The email could however include multiple documents, for that one individual. For instance a reassessment packet would include Form 3671 page 2, 3671C, 3671D, 3671F, and 3671G, etc. Additionally, a Form 2067 regarding a suspension can be sent on the same email for the same individual.

Question:

Why is DADS requesting all participating providers/CDSAs to send the name of the encryption software used to submit forms/documents securely?

Answer:

DADS is requesting the name in order to ensure that the encryption software meets DADS encryption standards.

Email Addresses for DADS Regional Offices Participating in EDS Pilot

Display Name: DADS EDS Waco

Alias Name: edswaco

Email Address: Waco-EDS@dads.state.tx.us

Display Name: DADS EDS Midland

Alias Name: edsmidland

Email Address: Midland-EDS@dads.state.tx.us

Display Name: DADS EDS Odessa

Alias Name: edsodessa

Email Address: Odessa-EDS@dads.state.tx.us

Display Name: DADS EDS Pecos

Alias Name: edspecos

Email Address: Pecos-EDS@dads.state.tx.us

Display Name: DADS EDS Houston

Alias Name: edshouston

Email Address: Houston-EDS@dads.state.tx.us