The Office of Grievance and Appeals Docket Tracking System is designed to create, maintain, and track history for the following docket types: Provider Disputes, Grievances, Investigations, and Appeals. Each docket is given further details according to whether it occurs at the RBHA level or with DBHS, and what program it is for: Children, GMH, SA, SMI, or Provider concerns.

This application will allow doackets to be added, edited, and conditionally deleted for Behavioral Health Services Clients and Providers. Dockets can have events added in sequences that are predetermined by the type of docket listed above. Issues and Outcomes can be defined, investigators assigned, and corrective actions documented.

Security is provided for User IDs to be assigned, and given various levels of access to the system, according to the functions they need to perform – Administrative, Data Entry or Read-only users. Different responsibilities are assigned to staff at DBHS or in the RBHAs, for table maintenance, and deletion of Dockets, Clients, History Events, and other portions of Dockets. An audit trail is kept, recording any transaction that causes database changes.

This system is for docket tracking, and the reporting requirements of AHCCCS. It does not contain all of the details about the recorded doackets. Some information, such as the names of individual clients referenced by Claims Disputes for Non-Payment of Claims, will be kept in paper folders or electronic files. Report requirements have yet to be defined.

This document explains how to use the system.
System Logon / Forgot Password or to Change Password

Figure 1

Actions:
1) Enter User ID and Tab to enter Password.
2) Press ENTER key or click on LOGIN with mouse.
3) For new users, Click on Register to go through the registration process to get access authorization.
4) To change your password, enter your User ID and Password, click on Forgot/Change Password.

Change Password

Figure 2

Action:
1) Enter NEW password and Confirmation password and press Enter or Click Save Password button.

Features
- Passwords are case insensitive, 6 – 8 characters long, with at least one of them being a number. The number cannot be the first character.
- If the change password screen is exited or closed, the application will also exit.
OGA Desktop

Click on “OGA” for the OGA Database for the Home Page.

Action Options:

- Click on **SEARCH** to search by Client Name, Provider Name or by Docket Number.
- Click on **ADMIN** for maintenance tables (only seen by Administrative level users). RBHA Administrative Users can add new Users or Investigator names here.
- Click on **REPORT** to look up ADHS Hearing Docket Numbers and the corresponding RBHA Docket Number.
- **Sign Out** – allows User to Log out and returns to the Log-In screen.
Search Lookup

Action Options:

- **Client Lookup**—start here to find a client name. Type the first few letters of the Last Name and a first name initial, or to reduce list even further, type the full last name and first few letters of the first name.

- **Provider Lookup**—start here to find a provider name. Type the first few letters of the Provider name.

- **Docket Lookup**—if a Docket number is known, this option can be used to pull up the specific docket.

Features:

- You cannot combine a search—you must do either Client Name, Provider Name, or Docket Number ONLY.

- The full name or docket number does not have to be typed all the way out.
Client Lookup Results

![Image of Client Lookup Results](image)

**Figure 4**

**Features:**
- List results are alphabetical.
- Select the Client Name from the search results to see the docket records for this client. (See Figure 10 for Main Docket Tracking Screen )
- If Client Name is **not matched**, then a message appears “No clients found for this search criteria.”
- A new client name can be added by choosing Add New Client. (see Fig.6)

**Editing a Client Name**

![Image of Editing a Client Name](image)

**Figure 5**

**Action Options:**
1. A Client’s name, birth date and CIS ID# can be corrected by clicking the Edit option.
2. Click Cancel to back out of Edit mode.
3. Click the Select option to see Main Docket Tracking screen for this Client (Fig. 10)
4. Administrative Users can see an additional option to Delete a client name.
Adding a New Client Name

![Image of client information form]

Figure 6 – CIS ID# is required to ensure accurate client identification

![Image of client search results]

Figure 6a -

![Image of client verification screen]

Figure 6b – verify the CIS number

Actions (Fig.6):

1) When adding a new Client name, fill in Last Name, First Name, Date of Birth, and the CIS ID Number are all required.
2) After selecting Save to add the name; select Clear to cancel action (Fig.6a).
3) The search results page returns. Find the client name you added, click Select. (See Figure 10 for Main Docket Tracking Screen )
4) If you get the screen shown in Fig.6b, switch to CIS database to verify the client name and CIS number.
5) Once a client name is added, you won’t need to add it again.
Provider Lookup

![Screen shot of Provider Lookup interface]

Provider Lookup Results

![Screen shot of Provider Lookup Results interface]

Adding a New Provider

![Screen shot of Adding a New Provider interface]

**Figure 7 – New Provider**

**Actions:**

6) To add a new Provider, select “Add New Provider” in the upper right of the screen, type out the full Provider name to be saved.

7) Select Save to add the name; select Clear to cancel action.

8) The Search results screen returns. Find the provider name you added, click Select.
Docket Lookup

Figure 8

Actions:
1) If the Docket Number is already known, it can be entered and looked up.
2) Or enter a partial number, like a RBHA Letter Code followed by the filing date to pull all dockets for that day; example: V080307P for all dockets from August 3rd. (Fig.9)

Docket Lookup Results

Figure 9

Features:
- List results are in order by Date Filed, Program letter, then sequence number.
- Click on Search or “Back” to go back to the Search screen.
- Click “Select” to get to the Main Docket Tracking Screen for the selected docket.
Main Docket Tracking Screen

The screen has this appearance for RBHA Admin Users.
(Note: Most of the Dockets shown in this example are of the RBHA Appeal type)

**Action Options:**

1) A Docket must be selected (clicked) to see the Docket Tracking Details.
2) Scroll down to see Service Type/Issue and Outcome, Comments, History events. (Fig. 10)
3) Print – Print the Docket Tracking Screen for the selected Docket.
4) Add New Docket. (Fig. 10-12)
5) Edit Docket Details. (Fig. 12)
6) Add/Delete Docket Service Type/Issue and Outcome. (Fig. 13-17)
7) Add/Delete Docket History Event– record additional events on the same screen. (Fig.18-22)
8) Add/Edit Docket Corrective Actions – for Grievances or Investigations. (Fig.23-25)
9) Add/Edit Docket Investigators – for Grievances or Investigations. (Fig.26)
10) Client Lookup and Docket Lookup are available here.
11) Administrative Users can see an additional option to Delete Docket.

Adding a Docket - Screen Examples

Figure 11 – This example is for either Appeal, Grievance, or Investigation

Figure 12 - This example is for a Claim Dispute
Adding a Docket

Top half of the form

Top section of the Add Docket form: The Docket Number field cannot be populated directly. The first five fields formulate the Docket Number and the fields cannot be edited once the docket is saved.

1) Enter a Sequence Number according to the series, starting on January 1st with the number 0001. Sequence numbers can be up to four digits. Zeroes will be filled in. A sequence number must be unique—it cannot be repeated within the same year.

2) The Adverse Action date is the date of denial (Appeal or Claim Dispute) or the date of the incident being grieved (Grievance). If it is not known, leave the field blank.

3) The Date Filed field has a default with today’s date. Click on the field to select a different date. [Note: The example above (090513) will be part of the Docket Number.]

4) Select a Process Type. A one letter code following the date will be added to the Docket Number. The Process Type list applies to either Clients or Providers.

5) For RBHA Data Entry users, the RBHA will have an assigned value, which sets the first letter of the Docket Number. (DBHS Processes have the prefix ‘B’.)

6) Enter an Incident Report number, if there is a tracking number (usually for grievances or investigations).

7) The AHCCCS Appeal check box will be filled in automatically.

8) The Expedited indicator – check mark the box when an appeal will be expedited.

9) The Client Name is filled in from previous selection of the client name from the search results and cannot be changed.

Lower half of the form

Lower half of the Add Docket form: Certain fields are required. Problem Types are designated as they relate to the Process Type.

10) Docket Filer name should be entered First name, Last name, relationship (examples: parent/guardian, mother, father, brother, sister, or Case Manager/SWBHS.)

11) Enter the client’s AHCCCS ID number, Funding Source, Problem Type, and Filing Mode.

12) Hearing Docket Number field will remain blank during the RBHA level process (RBHA fills in the hearing docket number should the docket be appealed to AHCCCS hearing and DBHS fills in the hearing docket number for administrative hearing).

Revised 7/8/14
13) On Claims Disputes, there would be an additional box, below the Problem Type line, for the Claim Count (number of service units claimed in the billing statement or dispute), Amount requested, Amount paid, Date Reprocessed. (Fig. 11b)

14) On Grievances, there would be an additional box, below the Problem Type line, to allow the option of naming a Respondent – the person accused of the rights violation. Names are to be entered as: first name, last name, title/agency.

15) For BHS users, the Respondent name is mandatory for cases of physical or sexual abuse.

16) For Grievances or Investigations, there would be additional categories for Investigator assignment and to specify Corrective Action(s).

17) Double check info for accuracy. **Once the docket is saved, only the Docket Filer field and the fields in the Docket Attribute box can be edited.**

18) Click Save to save the docket data.

### Adding/Editing the Service Type/Issues

![Docket Tracking Details](image)

Service Type/Issues can be added or edited by clicking on “Add Service Type/Issue” on the Docket Tracking form.

Many Problem Types and Service Type/Issues are the same, in which case the system has a default in place to automatically match, enter and save the Service Type when these Problem Types are selected. For example, if you select SMI Eligibility, PASRR, or recoupment as a Problem Type, the corresponding Service Type is defaulted into the system. After the docket is saved, the user does not need to select a Service Type, and the button “Add Service Type/Issue” will not appear. The Service Type is entered automatically for those “default” categories.

For all Problem Types for which a corresponding Service Type is not automatically matched, entered and saved by the system, the user will need to identify and enter the Service Type(s). (Figure 14)
Action Options:

1) Scroll down the Service Type lists to identify the specific service type that relates to the Problem Type. For example, if you select “Denial of Service,” “Reduction, Suspension, Termination of a Service,” or “Access to Service” as a problem type, the specific service type that was denied or terminated will need to be identified in the Service Type/Issue screen. The service type boxes appear, i.e. those labeled as "treatment services," “rehabilitation,” ”medication services," etc. and the user can select one or more of those as they relate to the problem type.

2) Select the Service Type in dispute and click on [Save] to add the service type. (Fig. 14)

![Service Type/Issues](image)

Figure 14

Service Type/Issues can be added by clicking Add Service Type button on Service Type/Outcome section.

Actions:

1) Click the scroll bar to see the list of Issue Descriptions. Issues related to the Process Type of the current docket will be shown. (Fig. 14; see also Page 14-Acute Care indicator)

2) The Issue Comments box is for clarification of the issues and notes. If no comment is entered, a default ‘No Comment’ entry is added.

3) Entry of multiple issues is allowed.

Features:

- When the Issue is selected, additional buttons in the upper right corner allow you to [clear] the selection, to [save] the selection, or to go [back] to the Docket Details screen.
- If [Back] is clicked, the Issue selected will not be saved. No warning is given.
• To Edit info in the Comments box, on the Docket Details screen, type directly in the comment box to add/edit the notes. (Fig. 15)
• As Issues are selected, related Outcomes are shown in the lower half of the screen. (Fig.15)
• Administrative Users have an extra button, on the Issue and Outcome lines, to Delete.

![Figure 15](image)

**Modification to the T19/21 Appeal-SMI process – Acute Care services**

Beginning April 2014, Maricopa County RBHA will be able to docket appeals of a “Denial of Service,” “Reduction, Suspension, Termination of a Service,” or “Access to Service” regarding **Acute Care**. After creating a T19/21 Appeal-SMI docket, click on **Service Type/Issue**, and you will have the option to select either the BHS (behavioral health service) or Acute Care category. Click on **Acute Care** to see the list of issue descriptions and to identify the appeal issue.

![Figure 15](image)

**Actions:**

1) Click on the **Acute Care** indicator to see the list of service types for that category. Issues related to the Process Type of the current docket will be shown. (Fig. 14)
2) The Issue Comments box is for clarification of the issues and notes. If no comment is entered, a default ‘No Comment’ entry is added.
3) Entry of multiple issues is allowed for the one category selected.
4) Do not combine both a BHS and Acute category under one docket – create separate dockets for each category.
Adding an Outcome

Outcomes can be added by clicking “Add Outcome” on the Service Type/Outcome section of the Docket Details screen. (Figure 10 and Figure 13)

Actions:
1) Click the scroll bar to see the list. Outcomes related to the Process Type of the current docket will be shown. (Figure 16)
2) There must be an Outcome for each Issue before closing out a docket.

Features:
- When the Outcome is selected, buttons on the lower left allow you to [Save] the selection or to go [Back] to the Docket Details screen without saving an Outcome.

Editing an Outcome

Features:
- Only the date can be changed/edited, not the Outcome itself.
- Administrative Users have an extra button, on the Issues and Outcomes section, to Delete Outcomes.
History Event Maintenance-Adding a History Event

Add events to the History sequence by selecting from the Potential Events:

Actions:
1) When a Potential event is selected, a box for the date of this event will show on the right, and the Add Event (Save) button will be at the bottom on the left. (Figure 18)
2) Each time an event is added, it will be added to History Events box, and the next series of Potential Events will appear at the bottom.
3) When the whole sequence of events has been entered, for the RBHA level, the Docket Closed event will show as one of the last Possible Events.
4) Once the Docket Closed event is entered, a window will appear for the Final Outcome of this case. (Figure 19)
5) The Final Outcome window has a drop down arrow for selection of the description. The window cannot be closed, until the Description is selected (required).
6) Click [Add] to save the Final Outcome.
7) Even after the Docket has been closed, there may still be further possible actions, including appeals, review requests, etc.

Features:
- The sequence of Possible Events is specific to the Process Type and Program.
- An Extension request can be made, at almost any point in the process.
- For each History Event and date, an option to Delete that event will be on the right hand side. **Important:** if an event is deleted, ALL subsequent events, if any, will also be deleted in the History sequence. (Figure 20)
- The RBHA users can see additional events that are added if a Docket is forwarded to DBHS. After DBHS has started adding events to the Docket, the RBHA can no longer make changes or edits to the docket data. (Figure 21)
- If an Event is selected, but the Add Event button is not clicked, the event will not be saved.
Figure 19 – Add Final Outcome screen

Figure 20 – Removing history events

Figure 21
T19/21 Appeals – docket data updates

Re-opening a closed docket:

Upon receipt of Appellant’s Request for AHCCCS Hearing, re-open the appeal docket by deleting the “Docket Closed-RBHA” entry from History Events section. This will remove the block or open the docket to allow additional data entry.

Potential Events will display these options:

1. Click on “RBHA Receives Request for AHCCCS Hearing” and enter the date it was received.

2. Click on “RBHA Forwards Appeal to AHCCCS” and enter the date it was forwarded to AHCCCS/OALS.
Upon receipt of AHCCCS’ Notice of Hearing

Go into **Edit Docket Details** to add the AHCCCS Hearing Docket number.

When an AHCCCS Director’s Decision has been received, enter the outcome by clicking on **Add Outcome** in the **Service Type and Outcome** section. Under Outcome Description, make sure there is both a RBHA-level outcome followed by the AHCCCS-level outcome.

Then move to the **History** section and enter the “AHCCCS Decision” date and “Docket Closed-AHCCCS” date to close out the docket. To re-open the docket, delete the “Docket Closed” entry.

In the example above, after the 11/8/12 AHCCCS Decision, Appellant filed a Motion for Rehearing or Review with AHCCCS. On 1/23/13, another AHCCCS Decision was issued affirming the earlier Director’s decision and denying the Motion for Rehearing/Review.

Click on “Docket Closed-AHCCCS” and select a Final Outcome for the docket closure.
Corrective Action Maintenance

Only Grievances and Investigations have Corrective Actions and Investigator options. To add Corrective Actions to a Docket, select a Docket, then click the Corrective Action button, on the tool bar at the top of the form, as shown above. Click on Add Corrective Action to add.

Add Corrective Action

Actions:
1. To add a Corrective Action, as in Figure 23:
   2) Click the drop down box and use the scroll bar to select an action.
   3) Comments can be added in the space below, such as additional details about the Action.
   4) Click on [Save] button to save the information entered.
   5) Entry of multiple Corrective Actions is allowed, as in Figure 24.
   5) If [Back] button is clicked, the entry will not be saved. No warning is given.

Features:
- Only Administrative Users can see the button to Delete Corrective Action entries.
- Editing Corrective Actions: Only the comments can be changed. Click on Save to save changes.
Docket Investigator Maintenance

Only **Grievances and Investigations** have Corrective Actions and Investigator options. To add or change Investigators for a Docket, select a Docket, then click the Investigator button, in the tool bar at the top of the form, as shown in Figure 22. A message appears if there are no Investigators entered. Click on Add Investigators to add info.

**Add Investigator to Docket**

Actions:
1) Click the drop down for a list of Investigators that are valid for this RBHA.
2) Enter the Assignment Begin date and return to this screen to enter the Completed End date.
3) Click on Save. If you click on Close instead, the entry will not be saved.

Features:
- When changing an existing Investigator, click on the Investigator to make the Edit button show. Only the Assignment Dates can be changed.
- More than one Investigator can be assigned. If the case is re-assigned to another Investigator, enter an End Date for the first Investigator and repeat steps to Add Investigator for the re-assignment.
- Investigator names cannot be deleted.
Claim Disputes

Claim Dispute Dockets are intended to document the Provider’s Issues from the perspective that the Provider is the central party to this administrative process. Therefore, the client’s name is not required to be tracked.

All of the examples, up to this point, have described Dockets for Clients. The following example walks through a Claim Dispute.

The process up to this point has included:
1) Select the Provider option on the Search screen (Fig. 3)
2) Type the first few letters of the provider name and click on Search,
3) Select one of the Providers in the resulting list; if not found, Add the provider name.
4) Click on Add New Docket to add a new docket, fill in the Docket Details, Docket Filer, Docket Attributes: enter the **Provider’s AHCCCS ID** number in the AHCCCS ID field, select the Process Type of RBHA Claim Dispute, and select the Problem Type from the options listed (Fig. 12 and Fig. 27).
5) Fill in all information, including the Claim Count and the Amount Requested.

![Figure 27](image)

The Claim Count is the number of service units claimed in the provider’s billing statement or dispute. The Amount Requested should be the amount that the provider is “claiming” in their claims dispute (even if this is not the contracted rate). The Amount Paid should be the actual amount that the decision is “authorizing” for payment. Reprocess Date should indicate the date for which payment is actually made. RBHAs/DBHS should maintain documentation in the case file to verify that this payment in fact has been made, as AHCCCS will be auditing for this evidence.

Numbers and decimal can be entered. Dollar signs and commas will fill in automatically after you Save.
Add Service Type/Issue

Service Type/Issues can be added or edited by clicking on “Add Service Type/Issue” on the Docket Tracking form.

Actions:
1) Click on Add Service Type/Issue.
2) Select the Issue and add the Client name, client’s AHCCCS ID#, and Dates of Service in dispute in the Comments portion of the form (Fig. 29). If the Problem Type is either Sanction or Recoupment, the system has a default in place to automatically match, enter and save the Service Type. If the Problem Type is Non-Payment of Claim, the Service Type is not automatically matched and saved by the system; the user will need to identify and enter the issue(s). See Figure 29.
3) Additional claims cannot be added to that Docket at a later time.
4) For multiple client names and dates of service (DOS), you may or may not want to create a separate docket number for each client name, depending on the circumstances.
Non-payment of Claim

Figure 29

Should the RBHA desire to track more specific claim info, DBHS recommends using the Comments box to log additional claim information. See example above.

Figure 30

When a RBHA decision has been issued, click on “Add Outcome” to enter the outcome.

See Page 15 for more information on Adding an Outcome. See Page 16, History Event Maintenance for more information regarding entering the RBHA Decision and Docket Closed date, and adding a Final Outcome.
Outcome phrases

For RBHA Claim Dispute, DBHS Claim Dispute, RBHA TXIX/XXI SMI Appeals, RBHA TXIX/XXI Child Appeals, and RBHA TXIX/XXI GMH Appeals, outcome options that replace Overturned and Compromise are:

- Overturned due to additional information – RBHA
- Overturned due to incorrect decision – RBHA
- Partially Overturned due to additional information – RBHA
- Partially Overturned due to incorrect decision – RBHA

The outcomes available on the Service Type and Outcome section are there to be able to distinguish that the case is overturned in whole or part due to new information or due to an error in the original decision. The reason these codes were added is to be able to report out this detail to AHCCCS as part of our monthly deliverable. The Final Outcome may be “overturned” for those cases that are overturned in whole, or “compromise” for those cases that are overturned in part.

Summary

This document has given an overview of how to use the Docket Tracking system. There are many more details that people will come across as they become familiar with the screens and what each button does. Advanced techniques include using the Print button to document system problems.

Administrative Users have certain further responsibilities, such as the ability to delete records, and to define new Investigators. Read-Only Users cannot see any of the buttons to add or change information. RBHA and DBHS Users can see the audit trail of data base transactions.

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