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| 6000 | Application Review and Approval | This phase addresses the business rules and verifications required to approve an application. There may have been initial verifications at the time of the submittal but additional verifications may be needed. The timing and sequence of these verifications may be based on availability of the data, cost of undertaking the verification, authorizations or other factors. Each verification function should be implemented as its own isolated service. The organization can then elect to have some verifications done at the time of submittal and others later in the process. Therefore, some examples of verifications show in the 3000 Submittal process could arguably be categorized as 6000 functoins. |
| 6100 | Evaluate Application for Orientation, overview, context | Evaluate Application placeholder: use Hiren Vashi’s user stories to derive areas of functionality |
| Xref to 5500 maintain status | Maintain Application Status | Based on exceptions, supplemental information needs etc the clock for service level agreement may be suspended pending response from applicant |
| 6200 | Verify Applicant Eligibility | This is a major category and is specific to the business domain’s statutes, administrative law, regulations, and more.  Eligibility should be maintained through Decision Modeling whether implemented through custom coding, a COTS, or a business rules engine.  The Eligibility at the time of application submittal may not be as detailed as required once the application goes into internal review processes.  There may be a need for a third party verification that can only be done in a batch mode or with a longer service level agreement than can be performed as part of an online submittal. These additional checks may identify issues that require clarification or supplemental information from the applicant. |
| 6300 | Verify Eligibility for selected program option | As with Applicant Eligiibility, there may be detailed options for the applicant to provide after submittal. Also, based on the added applicant eligibility, there may be more or fewer or more refined program options that require the applicant to respond. |
| 6230 | Request Clarification or Supplemental Information | Xref 5230  This function addresses how the applicant will be requested to provide information.  This may include maintaining the content of messages/emails/letters sent to the applicant.  The content of communications with the applicant is controlled at the level of the phase/stage.  The overall automation capability to maintain the content template-based content will be in a shared function (see: |
| 6400 | Maintain Application Status | Based on exceptions, supplemental information needs etc the clock for service level agreement may be suspended pending response from applicant |
|  | Applicant External system cross reference | The applicant’s eligibility may be impacted by flags on the company or the individual. Examples of external systems to check include Consumer Affairs for business or professional licensing, Department of Business Oversight, amounts owed for past due income taxes, disputes on unemployment insurance, other professional or business licences involving Department of Business Oversight or other agencies. Amounts due for Child Support in Arrears, citizenship, valid residency, and other criteria may apply. |
| 6500 | Order special evaluation | Authorized reviewer proposes and gets approval to have a specialist conduct a unique evaluation when standard criteria do not address all situations. |
| 6600 | Conduct in-field inspection | Verify the application through an on-site inspection. This includes provisioning, conducting, recording findings. |
| 6670 | Perform Supplemental Attestations |  |
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|  | Perform Calculations |  |
| 6700 | Approve Application |  |
| 6710 | Determine Delegation Level for Approval | Based on dollar amount, type of app, type of applicant the group or person with authority to approve may differ. |
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| CANDIDATE for a separate major category after consolidating 1000 and 2000: Offer, acceptance, appeal and renewal. But does renewal belong here or as a type of registration. | | |
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| 6720 | Prepare Offer | The applicant may be offered alternative proposals. A benefit program may offer different amounts based on the duration; a loan may have different terms based on payback length; an insurance plan different premiums based on which provisions are selected or co-pays. |
| 6730 | Submit offer to Applicant | Obviously there is a close link between the offer and submitting the offer to the Applicant. |
| 6740 | Applicant selects a Proposal Alternative | The Applicant may need to do a detailed analysis of options. Although the simulation capability may have been offered during the application process, there may be greater detail at the time of the formal proposal so that running analysis with actuals is now needed. |
| 6750 | Applicant authorizes selected alternative | Authorizations are increasingly done through electronic signature. The account used to submit may have sufficient authentication of identity to make return of the selected option sufficient but typically some type of signature is needed. |
| 6760 | Verify final alternative selected | Dates of eligibility, remaining dollars, other factors could impact the final disposition. There may be a second round of eligibility verificaitons required based on the passage of time. |
| 6770 | Maintain account balance | An award amount may go to a separate or internal accounting system to create an account receivable, reduce an encumbrance. |
| 6780 | Update Amount and conditions | If expedited approval and award made on interim information, then updates to data may be collected and lead to a modification to the final approval. CalPERS retirement benefits at one time were done this way. |
| 6790 | Perform Cross-checks | There may be a final verification of income, other resources, dependents, residence, licensures and other cross-checks required at the time the final agreement is reached. |
| 6800 | Approve Application |  |
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| 6810 | Request Wet Signature | The Applicant can print the approved application that will include a bar code. |
| 6830 | Submit Wet Signature | The newly approved candidate may be required to provide an original signature and mail the original or electronically submit a facsimile. |
| 6840 | Process and Match hardcopy with electronic file | The returned, signed application with the bar code will be scanned to automate matching the imaged document with the electronic application. Imaging done where a hardcopy is submitted. Facsimile signatures submitted via email or fax or uploaded using the Candidate’s Account Management are scanned to match with the electronic application. (Even though a softcopy is submitted via the Portal using the Candidate’s Account ID, the form is still scanned to verify the match to the application that was approved. |
| 6890 | Issue certification | The newly completed application with signature prompts a response to the newly certified person via a combination of email, regular mail, or the account. The response includes the formal certification document. If sent electgronically the person may print it as well as save it for future needs. Hospitals, medical groups and employers may require the certification. |
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| 6800 | Process Appeal | The applicant may not accept the limited choices or the outright rejection. This can begin an appeal process. An appeal is a special type of case in itself. All of the case management activities are duplicated for an appeal. Additional features may include scheduling in-person meeting, scheduling the specialist who attends an appeal, scheduling appeals panels. |
| 6900 | Renewal notification | Note: activites 6930 onward are duplicative with 4000 series activities for an original application. |
| 6910 | Select items (people) for renewal | Licensees, grantees, others are typically notified they need to renew. The renewal notice is send at a time set through an administrator-defined renewal lead time in advance of the renewal date. |
| 6912 | Maintain renewal notification narrative | The system will maintain a wide range of letters, emails, and other communication content that is standardized for a specific purpose. Each notification type has one or more notification type content which may be a sentence, paragraph or multiple pages of content. |
| 6920 | Amount to pay | Calculate amount to pay with the renewal notification |
| 6930  Xref payment in 4xxx | Applicant pays renewal | The solution should encourage customers to pay online using a credit card or electronic funds transfer. There is a compelling argument for a higher surcharge for submitting via mail or in-person. Kiosks can support in-person submitters. |
| 6940 | Submit renewal application | The renewal may require documentation and editing of information which is a specialized version of the same functionality that goes into an initial application. |
| 6950 | Submit renewal documentation | The renewal may require documentation and editing of information which is a specialized version of the same functionality that goes into an initial application. |
|  | Special fee calculation for renewal in arrears, penalties, interest | Where an initial application may or may not have a late pay feature, a renewal definitely does. When the renewal is submitted the system must calculate the amount owed by this specific applicant. Business rules will address whether the payment is late, has a penalty and/or interest, number of years late. |
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