The Consumer Affairs Processing Tool (CAPT) will perform the majority of the tasks associated with opening, managing, and closing complaints. The different screens and accompanying discussion represents new business processes for complaints and cases, since there is greater flexibility and functionality within the complaint database (CDB) tables in Oracle.

CAPT is conceptualized as a split screen, where the top of the screen contains summary information, and the bottom of the screen contains a set of tabs that are used to process the case. At the very bottom of the screen are a set of buttons that allow the user to do the actions: Submit/Next, Submit/Close, Cancel, etc. The current proposed tabs for the CAPT: Open, Complainant, Against, Letter, Activity Log, Document, Supplement, Complainant Code, Against Code, Output, and Close. There will be business logic that is specified for each tab, that for new cases, will require an examiner to enter a minimum set of information in both the summary screen and in select tabs (e.g., Open, Complainant, Against) before the Submit/Next or Submit/Close buttons become enabled. There also needs to incorporated the concept of a dairy to track the day-to-day progress of cases as they are worked by examiners to make sure that the cases are being processed in a timely fashion. The remainder of this document explains the different portions of the CAPT, using references to current CA documents and coding sheets. Screen mock-ups are included as figures to assist in the discussion. All screens for CAPT were constructed using Visio, and are intended to represent a first estimate of the structure, organization, and format of CAPT. During prototyping, Java equivalents to the various components of each screen will be chosen and presented to the Consumer Affairs Division for their approval if there has been significant variations and/or changes. The intent it to also quantify the new business processing logic for new complaints, and to identify the minimum set of “required” information that must be entered on the various screens.

Summary Information on Case: In Figure 1, the top portion of the CAPT, which contains summary information is shown. The top bar contains the Batch identifier that was set when the case was originally scanned, which allows an examiner to find the original “batch” of mail that contains the complaint. This may be needed if one of the electronic documents was illegible, or if there the examiner wants to verify the complaint against the original mail. The first line of the summary information contains the File No. of the complaint, the Type of Complaint (display only either L&H or P&C), and a list of all the entities (e.g., companies, agents, etc.) that the complaint has been filed Against. The second line of summary information contains the name of the Complainant (as entered during mail classification), information on On Behalf Of (OBO), the Status of the complaint (Open or Closed), and the Analyze button. The Status field has been added so that these same set of screens can be used to review both Open and Closed Complaints. The Analyze button allows the examiner to open a MS Word template that contains categories and structure through which notes on the complaint can be entered and tracked. Note that the third line contains a list of all of the various tabs that are available for use by examiners, where each tab corresponds to a separate data entry/display screen for use by examiners to “work” cases.

Figure 1 also contains a tracking of whether the complaint has been filed as an OBO, and requires the examiner to do one of the following: Either check of the “No OBO” box which indicates that there was not an OBO, or select the “Add OBO” button to allow the examiner to enter information on the OBO. Information on the OBO is also shown in Figure 1, in the screen labeled “Add Name”. For the OBO, the examiner must enter whether the OBO is a company or organization (supplying the name if the button is selected) or an individual (supplying the complete name on the OBO). Note that the OBO information (either “No OBO” or “Add OBO”) must be filled in as
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one of the required pieces of data that is needed for enabling the Submit/Next or Submit/Close buttons.

![Image](image1.png)

**Figure 1. Summary Information and OBO.**

**The Open Tab:** The Open Tab for CAPT, shown in Figure 2, is based on Items (1) and (2) of the File Opening/Closing Report document that is used by CA to process cases. This document has different content based on the type of complaint (L&H vs. P&C). For Item (1), the “Identify the Original Alleged Complaints” has been replaced by a the “Reasons” column in Figure 2, which is a drop down that lists all of the different reasons in Item (1) of the form (e.g., Twisting, Misrepresentation, Misleading ADVT, etc.). For each of these entered reasons, the examiner must enter a corresponding cite, namely, one or more of the following: Statues/PA, Regulation, bulletins, Admin Positions, which is Item (2), the Identification of Potential Violations by Cites on the File Opening/Closing Report. **Note that at a minimum, when processing a new case, the examiner must select at least one Reason with one or more of Statues/PA, Regulation, bulletins, Admin Positions to enable the Submit/Next or Submit/Close buttons.** The examiner is also able to enter an “Other reason” for the case. Note that the data entered on the Open tab for the complaint represents the initial decision by the examiner, based on the new complaint, of the likely reasons and cites that are to be considered when processing the complaint. These can be refined in greater detail using the Complainant Coding and Against Coding tabs (see discussion below). Each of the items, including one for “Other” that allows other information to be entered. Note that the Reasons drop down list that is displayed for a complaint will be based on type of complaint, since Item (1) is different for L&H and P&C.

In addition, at the bottom of the screen, separate from the tab area, is a “Forward To” option and a series of buttons (Submit/Next, Submit/Close, and Cancel). Forwarding allows the examiner to send the case to another individual (e.g., Director, Assistant Director, Supervisor, UR Nurse) for review. The Submit/Next, when enabled, submits the case, and brings in the next new case assigned to a particular examiner. The Submit/Close, submits and closes this processing screen, while the Cancel undoes any work and does not save any state that was changed by the examiner in processing the case. This line is on all screens, similar to the summary information.
The Complainant Tab: The Complainant Tab for CAPT, shown in Figure 3, contains the name, address (street, city, state, zip), and various phone contact numbers (home, business, cell phone, fax), along with email, for the complainant. A portion of the complainant information was filled in during Mail Classification, so the examiner must complete this step by inputting any additional information for the complainant. Over the course of processing the case, the examiner may come back to this screen as s/he is supplied with new information on the complainant (e.g., email address, business address, cell phone number, etc.). This screen is used for data entry, and also to allow the examine to view all of the information stored on a complainant. **Name is the only minimum.**
The Against Tab: The Against Tab for CAPT, shown in Figure 4, tracks all of the Companies, Organizations, and Individuals (Licensed by CT and Unlicensed) that are involved in the case/complaint. For each of these, there needs to be the name, address (street, city, state, zip), and various phone contact numbers (home, business, cell phone, fax), along with email. Note that for Companies, Organizations, or Individuals licensed by the State of CT, the examiner will not need to enter this information, but rather there is a search capability to allow the examiner to find the “correct” one and have all of this information available, which is shown in the top half of Figure 5. In fact, this search capability works for both licensed entities, and unlicensed entities that were previously entered. However, for the case that the unlicensed Company, Organization, or Individual is not in the database, there must be a way for the examiner to enter this information, which is shown in the bottom half of Figure 5. The “Add Against Button” allows the examiner to add either a licensed or unlicensed entity to this tab. The “Against Code” allows the respective code from the P&C or L&H coding sheet to be set. Thus, the information shown on the Against Tab is display only, with the “Add Against” button the vehicle for doing the actual add of the against. **Note that the examiner must enter at least one Against entity (and code) as one of the conditions to allow the Submit/Next or Submit Close buttons to be enabled for new cases.**

![Figure 4. The Against Tab.](image-url)

![Figure 5. Search Screen/Add Unlicensed Entity Screen.](image-url)
The Activity Log Tab: The Activity Log Tab for CAPT, shown in Figure 6, lists all of the different actions that have been taken by an examiner on a case/complaint, with detailed information tracked. The information on the Activity Log Tab can be presented according to different categories, such as incoming calls, outgoing calls, emails, letters sent, etc. The selection box labeled “Activity Type” allows the examiner to choose “All” activities, or activities by category, and the results are then displayed with most recent listed first. The “Date” column can also be clicked to reverse the order of the presentation (from oldest to newest and vice versa). Upon “double-click” of an activity log entry, there will be the ability to display a document associated with the entry (a note, a phone call log entry, a letter that was sent, an MS Word document, etc.).

![Activity Log Tab screenshot]

Figure 6. The Activity Log Tab.

The Document Tab: The Document Tab for CAPT, shown in Figure 7, lists all of the images and other documents that are associated with a case/complaint, as identified by a particular File Number. The images correspond to what was scanned in, received electronically on the case, or attached to the case by an examiner, a supervisor, or the UR Nurse via the Supplement tab (see discussion below). The documents include the letters that have been generated on the case by the examiner, as well as any other documents generated in house. For example, the UR process may have the Nurse Coordinator send a memo to an examiner regarding a case, and this memo (MS Word or email or other) will be attached as a document for the case. Like the Activity Log tab, the information can be presented as “All” or by specific document type (MS Word, image, email, etc.), is listed from most recent to oldest (re-orderable by clicking on Date), and upon double click, will open the document with the appropriate tool (e.g., MS Word, Image Viewer, etc.).
The Supplement Tab: The Supplement Tab for CAPT, shown in Figure 8, allows the examiner (or other user such as Supervisor or UR Nurse) to enter a note or a phone call, or to attach a document (MS word, email, etc.) to a case. As currently structured, the user selects the type of supplemental material to be provided (Email, Incoming Call, Outgoing Call, Walk in, Other in Figure 8), and then enters the information into the window that is shown in the figure. Note that we are still working to identify the different types of supplemental material at this time. Note also that we have discussed having a different data entry window appear based on the type of supplement selected, to allow the information to be precisely entered. In addition, the user can attach a document using a browse capability to the file system to select the document to be attached (MS word, excel, etc.). An email could be attached by first saving it as a document and then using the ability to attach a document. For the case of a supervisor comment or a document attached by the Nurse Coordinator, there needs to be a way to notify the examiner that new information has been received on a case, which may be accomplished by the use of a diary date, by sending the examiner email automatically, or by creating a new “work queue element” that indicates that the case/complaint received “new” information to be examined/processed. In this situation, rather than a piece of mail arriving, the work queue element is based on the note being add by someone other than an examiner.
The Complainant Code Tab: The Complainant Code Tab for CAPT, given in Figure 9, allows the examiner to enter the codes for the complainant, with the values for L&H on the green complaint coding sheet, and for P&C on the white complaint coding sheet. The Coverage/Subtype are dependent on one another, with the selecting of Coverage dictating the Subtype possibilities. This is summarized on the coding sheets, and also on the first three pages of the handout distributed by J. Visco at the meeting on 03/13/02. The codes should be different based on the type of complaint. L& C has Coverage and Subtype (first-level and second-level on J. Visco’s handout), while P&C has only Coverage listed, but also has first-level and second-level descriptions on J. Visco’s handout). In addition, P&C doesn’t track the POL and AGE, which will be disabled. The relationship between the codes is as follows. For each Complainant code, there may be one or more Coverage codes, which may or may not have Subtype codes. For each Coverage code/Subtype code combinations, there is a reason code, and there may be POL /AGE codes (for medicare), and there is a check box which indicates if this was a code that was originally defined. In order to define or change a code, the examiner selects the desired entry (box), and then selects the button delete, add, or update. Based on these choices, the screen automatically changes to list the code type (POL in Figure 9) and a drop down box that is now populated with all of the various codes from the L&H coding sheet for POL, which can now be selected by the examiner. Note that the examiner must enter exactly 1 Complainant Code with >= 1 Coverage Code and >= 1 Reason Code in order for the Submit/Next or Submit/Close button to be enabled for new cases. Note that based on Coverage Code, there may be required a Subtype Code or a POL/AGE Codes, but not both.
Against Coding: The Against Coding Tab for CAPT, shown in Figure 10, tracks for each entity (Company, Organization, or Individual), the specific against codes that are being investigated and tracked from the values for L&H on the green complaint coding sheet, and for P&C on the white complaint coding sheet. The Against Coding Tab supports Items (3) and (4) of the File Opening/Closing Report document that is used by CA to process cases, which allows both the disposition and justification codes to be chosen. For Item (3), more than one disposition can be selected. For Item (4), more than one conclusion can be selected. Note that unlike the Wang, the new system will store all of the codes on an entity-by-entity basis. Each entity, has an against code, and there are multiple Reason codes, where each reason code has one Disposition code, each Disposition code has multiple Conclusion codes, and each Conclusion code has a resolution amount (may be zero). There is also the ability to attach supplemental documents in support of each conclusion. Note that data entry occurs in a similar fashion to the Complainant Coding Screen. The Against codes can be displayed for all Againsts involved in the complaint, or the examiner can select a single Against (Company, Organization, or Individual) to display. **Note that for each Against entity from the Against Tab, the examiner must enter a minimum of 1 Reason Code in order for the Submit/Next or Submit/Close button to be enabled for new cases.**
The Close Tab: The Close Tab for CAPT, in Figure 11, is utilized to close a case/complaint, and is modeled on Items (5) and (6) of the File Opening/Closing Report document that is used by CA to process cases, for both Questionable and Justified Conclusions. For each of the Questionable/Justified Conclusions entered via the Against Coding tab, there must be statutory cites entered that correspond to Item (5) of the File Opening/Closing Report document. Unlike the “Open Tab”, these codes are the final set of codes determined by the examiner. If there are questionable or justified conclusions, then the case/complaint must be forwarded to a supervisor for review. Finally, if the case/complaint involves utilization review (UR), then the Nurse Coordinator must become involved in finalizing and closing out the case. There are signature check boxes to allow the examiner to “sign” that s/he is complete and then select the forward and send the complaint to either the UR Nurse or Supervisor depending on the conclusion. The UR Nurse or Supervisor uses this same tool to complete the processing. In addition, there is the ability for the examiner to add a note, and a display of the total recovery amount that sums the individual recovery amounts from the Against Coding tab.
The Output Tab: The output tab is intended to allow a “package” of documents to be prepared for dissemination to the complainant, against(s), etc. A mockup is shown in Figure 12. On the left hand side of the figure, all documents associated with a complaint are given in a tree, and the ability to select documents to be packaged is provided by the arrow keys. The selected documents can be reordered with the up/down buttons, or can be deleted with the delete button (missing). Doubling clicking on a selected document brings up the image viewer, through which the user can redact portions of the document. There must be an ability to save the selected documents (save document button – missing in the figure). Once the documents have been selected, the recipient can be chosen (upper right) – either the complainant, an against, or an other address can be entered (e.g., lawyer requesting documentation on a case). The media can then be selected as the “output” mode of the selected documents for the recipient. If there is no fax or email address, then a window will display if that option is selected by the user. Note: Need to add Diary Date someone on this screen.
The Letters Tab: The Letters Tab is utilized by an examiner to identify the letters that will be sent out as needed for the case/complaint as it is being processed for the complainant, against (agent, company, etc.), and so on. In general, all of the various capabilities of the Letters Tab needs to be discussed by the group to arrive at a good organization for the content of this tab. Currently, the “letters” that CA uses are listed on the Complaint Letter Codes sheet, where each code corresponds to a template or form letter, which needs to be upgraded to an MS Word template. In addition, during the meeting, it was expressed that in some situations they would like to develop a letter by putting together select paragraphs, and the paragraphs selected would be different depending on the situation. Also, it was discussed that there needs to be the ability to develop a free form letter and attach it to the case. There has been a working group formed by CA to redesign all of the associated letters that are used by L&H and P&C, who will report on their progress over the coming weeks. Based on prior discussion, a crude mockup of the Letters tab is given in Figure 13. The tab, organized in a similar fashion to the “Documents” Tab, with the Available Letters (templates) which can be selected for the particular case. Once selected, the letter becomes part of the case, and will appear under the “Letters” category in the tree on the Documents Tab. The Up and Down, buttons work in a similar manner to the Documents Tab. Double-clicking allows a document to be viewed in MS Word. In addition, it is possible to add a paragraph of text between the last paragraph of the template and the closing. This is shown on the right hand side of Figure 13. Overall, this represents an early mockup likely to evolve with development.

The Consumer Affairs Division has done an extensive analysis and redesign for all of the letters that are used to process Complaints by each examiner in both L&H and P&C. As a result of this analysis, an entire suite of MS Word Templates have been created. These templates have been organized into different categories, and these categories will be used to organize the information on the Letters Tab.

![Figure 13. The Letters Tab.](image-url)