

CalSAWS

California Statewide Automated Welfare System

Design Document

Multiple DDIDs

CA-214035 – Store Index Values

CalSAWS	DOCUMENT APPROVAL HISTORY	
	Prepared By	Imaging Team
	Reviewed By	

DATE	DOCUMENT VERSION	REVISION DESCRIPTION	AUTHOR

DRAFT

Table of Contents

1	Overview	5
1.1	Requests	5
1.2	Overview of Recommendations	9
1.3	Assumptions	10
2	Recommendations	11
2.1	Metadata.....	11
2.1.1	Indexing Fields.....	11
2.1.2	Custom Properties	11
2.1.3	Override Flags.....	Error! Bookmark not defined.
2.1.4	Notes.....	13
2.1.5	Other Metadata.....	13
2.2	Final Index Processing	Error! Bookmark not defined.
2.2.1	Obtain Person(s) Information.....	Error! Bookmark not defined.
2.2.2	Mark Document Received	Error! Bookmark not defined.
2.2.3	Task Generation.....	Error! Bookmark not defined.
2.3	Archive For Retrieval	18
2.4	System Drawers.....	18
2.4.1	Overview	18
2.4.2	County Drawers	19
2.4.3	Person Drawer.....	19
2.4.4	Adoptions (AAP) Drawers	19
2.4.5	Adult Aging Services (IHSS) Drawers	19
2.4.6	Child Welfare Services (CWS) Drawers	20
2.4.7	Quality Assurance/Quality Control (QA/QC) Drawers.....	20
2.4.8	Resource Data Bank (RDB) Drawers	20
2.4.9	Special Investigations Unite (SIU) Drawers	20
2.4.10	Hearings Drawers.....	20
2.4.11	County Document Removal Drawers.....	20
2.4.12	County Retention Policy Removal (RPR) Drawers.....	21
2.4.13	County Confidential Drawers	21
2.5	Document Retrieval	21
2.5.1	Page Specific Document Retrieval.....	21

2.5.2 Perceptive Pre-Defined Searches21
2.5.3 Perceptive Experience Advanced Searches.....24
2.5.4 Confidential Case Searches.....25
3 Supporting Documents25
4 Requirements26
4.1 Migration Requirements.....26
5 Appendix.....33

DRAFT

1 OVERVIEW

1.1 Requests

Per DDID 2504, configure the imaging solution to collect and transfer the following data to the CalSAWS Software for task generation:

- 1) Document Type
- 2) Form Name
- 3) Case Info
- 4) Person Info
- 5) Program Override Flag
- 6) No Task Override Flag
- 7) No Change SAR 7 Flag
- 8) Image ID
- 9) Scanning User/Worker/Source
- 10) Applicable Date
- 11) Received Date

Per DDID 2505, configure the core capture and indexing scan modes (Single Case, Virtual Print, and Multi-case) to store documents at a case or person level. Case level documents are only viewable by the county in which that case resides and person level documents are viewable by all counties.

The configuration of routing for person and case documents is documented in CA-214058 (Environment Workflow Configuration).

Per DDID 2506, configure the imaging solution core capture and indexing scan modes (Single Case, Virtual Print, and Multi-case) to store documents with the following indexing values:

- 1) Case Number - Only for case level
- 2) Case Name - Only for case level
- 3) Document Type
- 4) Applicable Date
- 5) Received Date
- 6) Form Name
- 7) Form Number
- 8) Person Name - Only for person level
- 9) CIN - Only for person level
- 10) Batch Number - Unique editable number associated to each group of documents scanned

The Bundle ID field will be used to store the requested Batch Number.

Per DDID 2199, configure the core capture and indexing scan modes (Single Case, Virtual Print, and Multi-case) to do the following:

- 1) Automatically categorize all system generated documents.
- 2) Automatically categorize up to 70 person level/verification documents.
- 3) Read the form number from a specified location on the document(s) to be determined during detailed design.
- 4) Capture the Form Name, Form Number, Case Name, Case Number, and Document Type as key metadata.
 - a. Documents with no case number are automatically sent to a quality assurance queue for review.
- 5) Compare the confidence score of all automatically categorized documents to a confidence threshold.
 - a. All scanned documents that do not meet the categorization confidence threshold are sent to a quality assurance queue for review. All cases associated the document that does not meet the confidence thresholds will be sent to a quality assurance queue for review.
- 6) Designated staff to be prompted to select case member, multiple persons, or no person option for all person level document types which will be determined during detailed design.

Case information will be obtained at the point of capture via selected scan mode, and is documented in CA- 214030 (Capture Single and Barcode Detection) and CA- 214172 (Multi, Virtual, Import Capture) Categorization of non-barcoded document will be handled by advanced optical character recognition and is documented in CA- 214048 (Categorize by OCR). Categorization of barcoded document is documented in CA- 214033 (Categorize Documents by System Barcode).

Per DDID 2513, configure the imaging solution to update the document metadata on documents associated to an e-application. The e-application number received from the self-service portal and mobile app will be stored as an additional metadata field. Self-service portal, and mobile app functionality will be implemented and described in a subsequent SCR.

Per DDID 2500, configure the imaging solution to have the following security driven options at the point of scanning:

1. Task Override: Will ignore task configuration, no task will be created
2. Program Selection: Will define which worker is tasked (the list is pre-defined based on the case information and is available in single case mode or when a coversheet is used in batch mode)
3. No Change SAR7/QR7: Will prompt the CalSAWS Software to do the following:
 - a. Mark the document as received
 - b. Mark Eligibility as complete
 - c. Ignore task configuration, no task will be created
4. Person Override: Will default person level documents as case level documents.

5. Confidential: Will allow designated staff to scan to confidential cases

Presentation of these options at point of scan is documented in CA- 214030 (Capture Single and Barcode Detection) and CA- 214172 (Multi, Virtual, Import Capture). The required security permissions for point of scan options are documented in CA- 214027 (Security and Auditing).

Per DDID 2198, configure the core capture and indexing scan modes (Single Case, Virtual Print, and Multi-case) to perform the following functions when a system generated barcode is recognized by the imaging solution:

- 1) Perform a CalSAWS Software lookup of Form Name, Form Number, Case Name, Case Number, and Document Type
- 2) Check the barcode against the case information entered during the scan mode
 - 2a) Not applicable to multi-case scan mode
- 3) If the document is time sensitive (tracked), mark the document as received in the CalSAWS Software
 - 3a) If the barcode is not recognized, time sensitive (tracked) documents are reviewed by designated staff to confirm the barcode

Routing rules are documented in CA- 214058 (Environment Workflow Configuration).

Per DDID 2516, create a security driven scan mode for Special Investigation Unit (SIU) with the following metadata:

- 1) Case Number
- 2) Case Name
- 3) Applicable Date
- 4) Received Date
- 5) Form Name
- 6) Form Number
- 7) Document Type - All images/documents will have the value: 'SIU Documents'

The CONTRACTOR shall enable the following scan modes for SIU:

- 1) Single Case - Used for capturing one or more documents for a single case
- 2) Virtual Print - Used to print documents directly from any desktop application that allows printing into the imaging solution to a single case

Security is documented in CA- 214027 (Security and Auditing). SIU scan mode is documented in CA- 214030 (Capture Single and Barcode Detection).

Per DDID 2517, create a security driven scan mode for Hearings with the following metadata:

- 1) Case Number
- 2) Case Name
- 3) Applicable Date

- 4) Received Date
- 5) Form Name
- 6) Form Number
- 7) Document Type - All images/documents will have the value: 'Court/Hearings Documents'
- 8) State Hearings Number - Optional, editable field

The CONTRACTOR shall enable the following scan modes for Hearings:

- 1) Single Case - Used for capturing one or more documents for a single case
- 2) Virtual Print - Used to print documents directly from any desktop application that allows printing into the imaging solution to a single case

Security is documented in CA- 214027 (Security and Auditing). Hearings scan mode is documented in CA- 214030 (Capture Single and Barcode Detection).

Per DDID 2518, configure the imaging solution to allow designated staff to manually index the following values for images/documents scanned into a ""Other County Department"" drawer:

- 1) Department (Drawer) - field will be pre-populated with chosen scan mode
- 2) Case Number - freeform text field
- 3) Document Type - pre-defined based on department
- 4) Applicable Date - pre-populated with system date, editable by the worker
- 5) Received Date - pre-populated with system date, editable by the worker

The above fields are mandatory to ensure that images/documents are searchable in the document management solution drawer.

The CONTRACTOR shall provide the following ""Other County Department Documents"" search criteria:

- 1) Department (Drawer)
- 2) Case Number
- 3) Document Type
- 4) Applicable Date
- 5) Received Date
- 6) Date Scanned
- 7) Created by

Security is documented in CA- 214027 (Security and Auditing). Other County Department scan modes are documented in CA-214172(Multi, Import, Virtual Capture).

Per DDID 2521, create a security driven scan mode for Resource Data Bank (RDB) with the following metadata:

- 1) Resource ID
- 2) Resource Name

- 3) Document Type
- 4) Applicable Date
- 5) Received Date

The CONTRACTOR shall enable the following scan modes for RDB:

- 1) Single Case - Used for capturing one or more documents for a single case
- 2) Virtual Print - Used to print documents directly from any desktop application that allows printing into the imaging solution to a single case

Security is documented in CA- 214027 (Security and Auditing). RDB scan mode is documented in CA- 214030 (Capture Single and Barcode Detection).

Per DDID 2204, enable other county departments to have a "drawer" in the imaging solution where they can upload, store, and search for documents.

The CONTRACTOR shall create security driven scan modes of Other County Documents with the following four (4) options:

- 1) Adoptions (AAP)
- 2) Adult Aging Services (IHSS)
- 3) Child Welfare Services
- 4) Quality Assurance/Quality Control (QA/QC)

The scan mode will correspond to a "drawer" that segments the scanned images/documents from the rest of the CalSAWS Software and is controlled via security in the CalSAWS Software.

Security is documented in CA- 214027 (Security and Auditing). Other County Department scan modes are documented in CA-214172(Multi, Import, Virtual Capture).

1.2 Overview of Recommendations

- Configure the Imaging solution to store metadata comprised of indexing fields, custom properties, notes, and document data
- Configure the Imaging Solution to perform a webservice call to generate a Task within the CalSAWS application based on document metadata
- Identify a subset of form names and numbers for the imaging solution to store as person level documents
- Configure the imaging solution to store a person level document as case level if flagged with person override
- Configure the Imaging Solution to notify the CalSAWS application of sensitive (tracked) document(s) via a webservice call, allowing those document(s) to be marked received
- Configure the No Change SAR7/QR7 flag to submit a unique request to CalSAWS during the call to mark documents received, triggering CalSAWS to additionally make eligibility complete
- Configure the Imaging solution to not submit a task request for documents flagged with a task override

- Configure documents with the No Change SAR7/QR7 flag to not submit a task request to CalSAWS
- Configure the Imaging Solution to archive person level documents to a Person drawer, viewable by all counties
- Configure the Imaging Solution to archive document scanned via the Adoptions (AAP) scan mode to be archived to a county specific drawer
- Configure the Imaging Solution to archive document scanned via the Adult Aging Services (IHSS) to be archived to a county specific drawer
- Configure the Imaging Solution to archive document scanned via the Child Welfare Services (CWS) to be archived to a county specific drawer
- Configure the Imaging Solution to archive document scanned via the Quality Assurance/Quality Control (QA/QC) to be archived to a county specific drawer
- Configure the Imaging Solution to archive document scanned via the Resource Data Bank (RDB) to be archived to a county specific drawer
- Configure the Imaging Solution to archive document scanned via the SIU to be archived to a county specific drawer
- Configure the Imaging Solution to archive document scanned via the Hearings to be archived to a county specific drawer
- Configure a County Document Removal drawer
- Configure a County Retention Policy Removal drawer
- Configure the Imaging Solution to archive document scanned to a confidential case to be archived to a county specific drawer
- Configure Pre-defined searches for document retrieval within the Imaging Solution
- Configure Advanced searches for document retrieval within the Imaging Solution
- Configure confidential case searches for document retrieval within the Imaging Solution

1.3 Assumptions

- Security will be implemented in CA- 214027 (Security and Auditing).
- Workflow routing rules and queue descriptions are document in CA- 214058 (Environment Workflow Configuration).
- The Implementation of Multi-Case, and Virtual Printer, and Other County Departments scan modes is documented in CA-214172 (Multi, Virtual, Import Capture)
- Single-Case scan modes are documented in CA- 214030 (Capture Single and Barcode Detection)
- Barcode Scanning is document in CA- 214033 (Categorize Documents by System Barcode)

- Documents scanned into the four "Other County Department" drawers are only retrievable via search within the imaging solution.

2 RECOMMENDATIONS

2.1 Metadata

2.1.1 Indexing Fields

Indexing fields are used to identify the uniqueness of a document. Documents or pages with matching indexing fields append together. The following metadata fields are used for indexing:

- Case/Person UID – A unique system case/person identifier
- Case Number/Client Index Number (CIN)/Resource ID - Depending on if a document is indexed at a case, person level, or stored in the RDB Drawer
- Case/Person Name/Resource Name – Depending on if a document is indexed at a case, person level, or stored in the RDB Drawer
- Applicable Date
- Received Date
- Form Name

All indexing fields are stored as VARCHAR(40) in the imaging database. This allows up to 40 alpha-numeric characters to be stored in any of the indexing fields. Additional details surrounding indexing fields and the append process can be found in CA- 214047 (Append).

2.1.2 Custom Properties

Custom Properties are additional metadata fields that are not leveraged for determining uniqueness of a document. Unlike indexing fields, custom properties can be configured to store data in more specific formats (data can be limited to numeric only, or pre-defined lists can be configured to guide data inputs). The following custom properties will be configured in the Imaging Solution:

Form Number – Stores a 256 alpha-numeric value. This mandatory field is automatically populated by the system via the **Get Barcode Info** call during capture, during re-indexing, or OCR via the **Get Form Info** call. This field is not directly editable by users.

Invalid Reason – This optional field is leveraged by the advanced optical recognition process to identify if a document requires routing to an exception queue for review and validation. This field is not directly editable by users and is automatically populated by the system.

County Code – This is a two digit code representing the county the document should be index under, this mandatory field is automatically populated during capture via webservice calls (**Get Barcode Info**, and **Get Case Info**). This field is directly modifiable by users from within the reindex and exception queues.

Time Sensitive – A system used flag indicating if a document is time sensitive, this optional field is populated during the **Get Form Info** call. This field is not directly editable by users.

Barcode – Stores a barcode number, this optional field is automatically populated by the scanning device at the point of scan, during advanced optical character recognition, or manually by a user in the “Barcode Validation” workflow queue. This field will store a 16 digit alpha-numeric value. Additionally this field may be populated with a legacy system barcode value if the document was migrated into the CalSAWS Imaging Solution.

Exception Routing – Stores alpha-numeric county office names via a selectable list. At point of scan this manually populated field will determine the preference for routing should an exception be encountered during processing of the document. If this optional field is left blank, exceptions will bill routed to the county wide exception queue. The available offices will be based on user security rights. Security permissions detailing this will be described in CA- 214027 (Security and Auditing).

Bundle ID – Stores an optional user defined value, manually populated at the point of scan. This field cannot be altered after being routed out of initial quality assurance. This field will be configured to store up to 40 alpha-numeric characters.

E-Application Number – Stores a 256 alpha-numeric value for documents submitted via external applications (I.E. Customer Web Portal). This field is not modifiable by users and only populated when the document is created within the Imaging Solution.

Capture Information – Stores a 256 alpha-numeric value. If a document is captured via an external source (Kiosk, Portal, Mobile Application) this field will be automatically populated with the corresponding Source information. If a document is captured within the Imaging Solution, this field will be populated with the Capture Mode/Profile used to scan the document. This field will not be user modifiable.

Hearings Number – Stores a 256 alpha-numeric value. This optional value can be manually defined during initial quality assurance when scanning into Hearings Drawer(s), and can be modified in re-indexing queues.

Investigations ID – Stores a 256 alpha-numeric value. This optional value can be manually defined during initial quality assurance when scanning into SIU Drawer(s), and can be modified in re-indexing queues.

Confidential – Stores a value from CalSAWS indicating to the Imaging Solution confidentiality of a document. This automatically populated value determines if a document needs to be stored in a confidential drawer. Security details regarding confidentiality are documented in CA- 214027 (Security and Auditing).

Program List – Stores a list of programs associated to the case a document is indexed to. This list is automatically populated during the point of scanning by the **Get Barcode Info** call or **Get Case Info** call. This field is only accessible at point of scan during initial quality assurance.

Document Scope – Indicates that a document is indexed as a person or case level document. Used by the system and in task generation and automatically populated. Not user modifiable.

Legacy Flag – Indicates that a document was migrated into the CalSAWS Imaging Solution from a legacy system. Not user modifiable.

Legacy Index – Stores the origin system indexing value prior to migration to the CalSAWS Imaging Solution. Not user modifiable.

Legacy Creation Date – Stores the origin system creation date value prior to migration to the CalSAWS Imaging Solution. Not user modifiable.

Barcode Override – Indicates that a document was captured via the “Ignore Barcode” scan mode and that the barcode value should not be set during OCR processing, and is automatically populated. Not user modifiable.

Task Override – Stores a user selected value from a pre-defined list populated during the **Get Override Flags** Call during user login indicating to the Imaging Solution if a task should not be generated for the document. This field is only accessible at point of scan during initial quality assurance.

No Change SAR7/QR7 – Stores a value from a pre-defined list populated during the **Get Override Flags** Call during user login indicating to the Imaging Solution if a document should be treated as a No Change SAR7/QR7. This field is only accessible at point of scan during initial quality assurance.

Person Override – Stores a user selected value from a pre-defined list populated during the **Get Override Flags** Call during user login indicating to the Imaging Solution if a person level document should be stored as case level. This field is only accessible at point of scan during initial quality assurance.

2.1.3 Notes

The notes field is available on all documents and can store up to 2048 alphanumeric characters. This field will not be leveraged for searches. This field can be altered during and after the point of scan.

2.1.4 Other Metadata

The following metadata is captured by the system for documents, and can be leveraged by searches.

- Capture User/Source - Upon capture, populated with a user name
- Capture Time - Upon capture, populated with date/time stamp
- Last Modified by User - Upon modification, updated with a user name
- Last Modified Time - Upon modification, update with a date/time stamp

2.2 Get Person Info Webservice

2.2.1 Overview

Documents identified as person level on the **Imaging Form Matrix** (Supporting Document #1) will be sent to the "Person Select" queue. If the Person Override Flag or Confidential Flag is set to true, it will bypass person selection, and remain a case level document. From within this queue, assigned workers can select appropriate persons from the returned list provided by the **Get Person Info** call. In the case that the appropriate person is not listed on the case (I.E. Birth Certificate for a child that has not been added to the CalSAWS System) a "No Person" option will be available to route the document forward for indexing at Case Level.

2.2.2 Description of Change

Request:

Case UID

Or

Case Number

County Code

Response:

Name

Person CIN(s)

Person SSN(s)

Person UID(s)

Date of Birth

When the Get Person Info Webservice is called, the imaging system requests a list of the following case person information: Person First Name, Person Middle Name, Person Last Name, Person CIN(s), Person SSN(s), Person UID(s), and Date of Birth from the CalSAWS' database by submitting the associated Case UID, or Case Number, and County Code of the document.

In CalSAWS today, names consist of three different parameters: first, middle and last. Thus, in this webservice call's response for the Name parameter, the logic to concatenate and truncate the three parameters into a single value in order to return a single string to the Imaging System must be implemented in the webservice call. The trimming process begins with removing all middle names, leaving only first and last names. If the remaining names are over 40 characters long, parts of the last name needs to be trimmed. No trimming is performed on remaining names that are under the 40 character limit.

The reason for providing an alternative set of request parameters is to fulfill a webservice call during a re-index process where the case UID is not available.

Request:	Data Type:
Case UID	String
Case Number	String
County Code	String (2 Char.)

Response:	Data Type:
Name	String
Person CIN(s)	String
Person SSN(s)	String
Person UID(s)	Integer
Date of Birth	String

2.3 Get Override Flags Webservice

2.3.1 Overview

This webservice call displays a boolean value for task override, person override and no change SAR7 based on a pre-defined list populated during user login.

2.3.2 Description of Change

Request:

User

Response:

Task Override Values

Person Override Values

No Change SAR7/QR7

When the Get Override Flags Webservice is called, the imaging system requests the following flag values: Task Override Values, Person Override Values, No Change SAR7/QR7 Values from the CalSAWS' database by submitting the associated User.

Request:	Data Type:
-----------------	-------------------

User	String
------	--------

Response:	Data Type:
Task Override Values	Boolean
Person Override Values	Boolean
No Change SAR7/QR7	Boolean

2.4 Get Form Info Webservice

2.4.1 Overview

The Get Form Info Webservice is a generic request from the Imaging System to CalSAWS to receive document info of all document types from CalSAWS on a daily basis.

2.4.2 Description of Change

Request:

Generic Request of All Doc Types

Response:

*Form Name
Form Number
Document Type
Time Sensitive Flag*

When the Get Form Info Webservice is called, the imaging system will make a generic request for the following information: Form Name, Form Number, Document Type, Time Sensitive Flag of all document types from the CalSAWS' database. The requested information will then be cached on a daily basis.

Request:	Data Type:
Generic Request of All Doc Types	

Response:	Data Type:
Form Name	String
Form Number	String

Document Type	String
Time Sensitive Flag	Boolean

2.5 Mark Document Received Webservice

2.5.1 Overview

Documents that have been fully indexed and categorized are routed to the Mark as Received & Generate Task Queue. If the document meets the criteria to be marked received the Mark Document Received call will be performed. Logic within the queue will require that barcode metadata is present.

2.5.2 Description of Change

When the Mark Document Received webservice is called, the imaging system requests the document's received status be changed as 'success' or 'fail' in CalSAWS, informs CalSAWS the document's No Change SAR7/QR7 flag status and adds a received date in CalSAWS by sending the document's barcode number to CalSAWS.

If the document has not been marked as received, then the call prompts the value to be changed to 'success'.

If the document has the No Change SAR7/QR7 Flag set to true, the imaging system will submit the true value with the barcode to indicate to CalSAWS that additional operations should be performed when processing.

2.6 Generate Document Task Webservice

2.6.1 Overview

Documents that have been fully indexed and categorized are routed to the Mark as Received & Generate Task Queue. After being processed by the Mark Document Received call, the Generate Document Task call will be performed.

2.6.2 Description of Change

When the Generate Task webservice is called, the imaging system submits the following document information to CalSAWS: Document Type, Form Name, Case/Person Unique ID, Case/Person Indicator, County Code, Program Override Flag, Task Override Flag, No Change SAR7/QR7 Flag, Image Unique ID, Scanning Source Info, Applicable Date, Received Date.

Leveraging the submitted document information, CalSAWS will perform the steps to generate a task if applicable. Based on how a county configures tasks, CalSAWS will respond back to the Imaging Solution with a "Success". If the Imaging Solution receives any response other than "Success" the document will be routed to an "Admin Exception" queue, alerting CalSAWS admins to investigate.

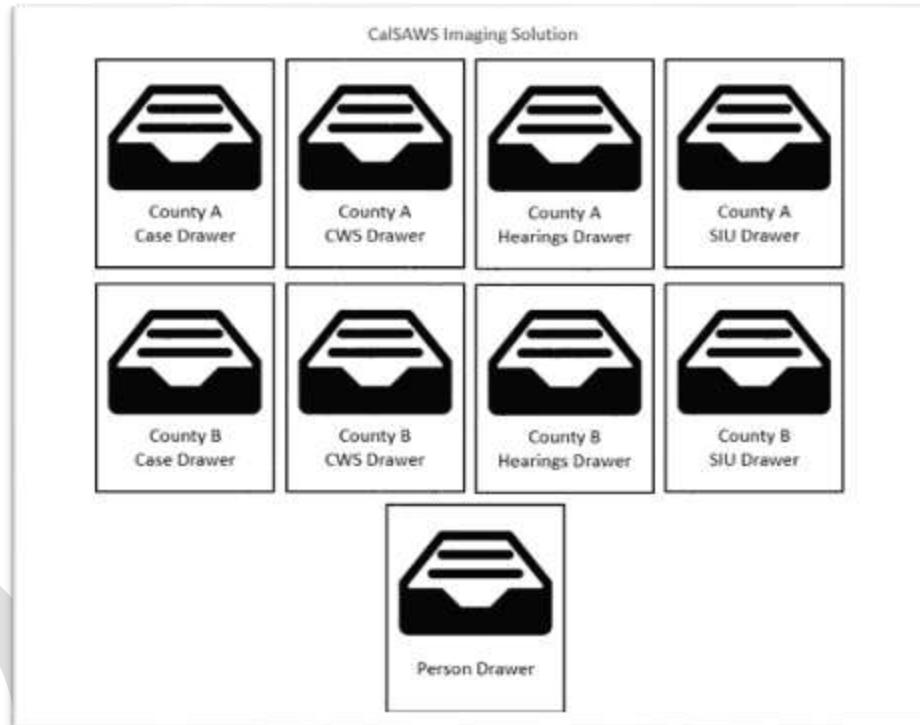
2.7 Archive For Retrieval

Once a document has been fully processed by the system and task generation has been completed, documents are removed from workflow and archived in the appropriate drawer for retrieval. Archived documents cannot be modified unless a user with appropriate security rights brings the document back into workflow. The process of bringing a document back into workflow for modification is known as reindexing. Details surrounding reindex are described in CA- 214058 (Environment Workflow Configuration).

2.8 System Drawers

2.8.1 Overview

Drawers within the Imaging Solution are the first level of organization and the first level of security. Drawers are used to keep documents separate and secure from county to county. In addition, drawers store different categories of documents such as, Person vs. Case forms. Security permissions required for access to individual drawers are documented in CA- 214027 (Security and Auditing).



2.8.2 County Drawers

Drawer Naming Format: <County> Case

The county drawers are where indexed county case level documents with no confidential restrictions are archived.

2.8.3 Person Drawer

Drawer Naming Format: Person

The person drawer where indexed person level documents are archived. Unlike the county drawers, the person drawer will hold documents specific to person(s) not cases. No confidentiality is applied to documents at Person level.

2.8.4 Adoptions (AAP) Drawers

Drawer Naming Format: <County> AAP

The adoptions drawers are where indexed adoptions documents scanned via the Adoptions (AAP) scan mode are archived. AAP drawer documents are indexed at case level.

2.8.5 Adult Aging Services (IHSS) Drawers

Drawer Naming Format: <County> IHSS

The adult aging services drawers are where indexed Adult Aging Services/In-Home Supportive Services documents scanned via the Adult Aging Services (IHSS) scan mode are achieved. IHSS drawer documents are indexed at case level.

2.8.6 Child Welfare Services (CWS) Drawers

Drawer Naming Format: <County> CWS

The child welfare services drawers are where indexed Child Welfare Services documents scanned via the Child Welfare Services (CWS) scan mode are achieved. CWS drawer documents are indexed at case level.

2.8.7 Quality Assurance/Quality Control (QA/QC) Drawers

Drawer Naming Format: <County> QAQC

The Quality Assurance/Quality Control drawers are where indexed Quality Assurance/Quality Control documents scanned via the Quality Assurance/Quality Control (QA/QC) scan mode are achieved. QAQC drawer documents are indexed at case level.

2.8.8 Resource Data Bank (RDB) Drawers

Drawer Naming Format: Resource

The Resource drawer is where indexed Resource Data Bank documents scanned via the Resource Data Bank (RDB) scan mode are achieved. The documents indexed in this drawer will use the "Case Name" and "Case Number" indexing fields to store the "Resource Name" and "Resource Number" respectively.

2.8.9 Special Investigations Unite (SIU) Drawers

Drawer Naming Format: <County> SIU

The Special Investigations Unite drawers are where indexed Special Investigations Unite documents scanned via the SIU scan mode are achieved. SIU drawer documents are indexed at case level.

2.8.10 Hearings Drawers

Drawer Naming Format: <County> Hearings

The Hearings drawers are where indexed Hearings documents scanned via the Hearings scan mode are achieved. Hearings drawer documents are indexed at case level.

2.8.11 County Document Removal Drawers

Drawer Naming Format: <County> Document Removal

The Document Removal drawer will hold documents that have been marked for deletion by users. Documents that require deletion can be routed to a document removal queue by a user with the required security rights that will move the document to this drawer. The documents will stay in this drawer as a “Soft Delete” ultimately being permanently deleted when the CalSAWS retention policy is not met. See attached **CalSAWS Retention Policy** (Supporting Document #2).

2.8.12 County Retention Policy Removal (RPR) Drawers

Drawer Naming Format: <County> RPR

This is a temporary holding drawer only accessible by system admins that holds documents routed by the Document Retention Policy till the deletion process is completed. See attached **CalSAWS Retention Policy** (Supporting Document #2).

2.8.13 County Confidential Drawers

Drawer Naming Format: <County> <Sub Drawer> Confidential

Documents indexed with a confidential level are indexed at case level and archived into the county confidential drawer. This logic is applied to the core capture modes and the “Hearings” scan mode.

2.9 Document Retrieval

2.9.1 Page Specific Document Retrieval

Within the CalSAWS application user can retrieve documents via pages containing Image buttons, tasks, and from the distributed documents page. The buttons are configured to pull back documents for a case or person matching predefined filter mappings. Image button mappings to these view filters will be implemented and described in a subsequent SCR.

2.9.2 Perceptive Pre-Defined Searches

Within the Perceptive Experience viewer, users can leverage the following pre-defined searches. These searches are designed to help the user pull back relevant documents without knowledge of how to build search parameters in the Imaging Solution.

Search Group	Search Name	Parameters
All Case Archived	Case Number by Drawer	<ul style="list-style-type: none"> Case Number (User Numeric Input) Drawer Name (Selectable List)
All Case Archived	Case by Date(s) Captured	<ul style="list-style-type: none"> Case Number (User Numeric Input)

		<ul style="list-style-type: none"> • Capture Date Range
All Case Archived	Captured by User by Date(s)	<ul style="list-style-type: none"> • User Name (User Input) • Capture Date Range (Selectable List)
All Case Archived	Case Number by Document Type	<ul style="list-style-type: none"> • Case Number (User Numeric Input) • Document Type (Selectable List)
All Case Archived	Case Number by Form Name	<ul style="list-style-type: none"> • Case Number (User Numeric Input) • Form Name (Selectable List)
All Case Archived	Case Number by Form Number	<ul style="list-style-type: none"> • Case Number (User Numeric Input) • Form Number (Selectable List)
All Person Archived	Person by CIN	<ul style="list-style-type: none"> • Person CIN (User Input) • Restricted to Person Drawer
All Person Archived	Person by Date(s) Captured	<ul style="list-style-type: none"> • Person CIN (User Input) • Capture Date Range • Restricted to Person Drawer
All Person Archived	Captured by User by Date(s)	<ul style="list-style-type: none"> • User Name (User Input) • Capture Date Range (Selectable List) • Restricted to Person Drawer
All Person Archived	Person CIN by Document Type	<ul style="list-style-type: none"> • Person CIN (User Input) • Document Type (Selectable List) • Restricted to Person Drawer
All Person Archived	Person CIN by Form Name	<ul style="list-style-type: none"> • Person CIN (User Input) • Form Name (Selectable List) • Restricted to Person Drawer
All Person Archived	Person CIN by Form Number	<ul style="list-style-type: none"> • Person CIN (User Input) • Form Number (Selectable List) • Restricted to Person Drawer
Resource Data Bank	Resource by Number	<ul style="list-style-type: none"> • Resource Number (User Input) • Resource Drawer (Selectable List)
Resource Data Bank	Resource by Name	<ul style="list-style-type: none"> • Resource Name (User Input) • Resource Drawer (Selectable List)

Resource Data Bank	Resource by Number and Date	<ul style="list-style-type: none"> • Resource Number (User Numeric Input) • Capture Date Range
AAP	Case Number by Drawer	<ul style="list-style-type: none"> • Case Number (User Numeric Input) • Drawer Name (Selectable List)
AAP	Case Name by Drawer	<ul style="list-style-type: none"> • Case Name (User Input) • Case Drawer (Selectable List)
AAP	Case by Date(s) Captured	<ul style="list-style-type: none"> • Case Number (User Numeric Input) • Capture Date Range
IHSS	Case Number by Drawer	<ul style="list-style-type: none"> • Case Number (User Numeric Input) • Drawer Name (Selectable List)
IHSS	Case Name by Drawer	<ul style="list-style-type: none"> • Case Name (User Input) • Case Drawer (Selectable List)
IHSS	Case by Date(s) Captured	<ul style="list-style-type: none"> • Case Number (User Numeric Input) • Capture Date Range
CWS	Case Number by Drawer	<ul style="list-style-type: none"> • Case Number (User Numeric Input) • Drawer Name (Selectable List)
CWS	Case Name by Drawer	<ul style="list-style-type: none"> • Case Name (User Input) • Case Drawer (Selectable List)
CWS	Case by Date(s) Captured	<ul style="list-style-type: none"> • Case Number (User Numeric Input) • Capture Date Range
QA/QC	Case Number by Drawer	<ul style="list-style-type: none"> • Case Number (User Numeric Input) • Drawer Name (Selectable List)
QA/QC	Case Name by Drawer	<ul style="list-style-type: none"> • Case Name (User Input) • Case Drawer (Selectable List)
QA/QC	Case by Date(s) Captured	<ul style="list-style-type: none"> • Case Number (User Numeric Input) • Capture Date Range
SIU	Case Number by Drawer	<ul style="list-style-type: none"> • Case Number (User Numeric Input) • Drawer Name (Selectable List)

SIU	Case Name by Drawer	<ul style="list-style-type: none"> • Case Name (User Input) • Case Drawer (Selectable List)
SIU	Case by Date(s) Captured	<ul style="list-style-type: none"> • Case Number (User Numeric Input) • Capture Date Range
Hearings	Case Number by Drawer	<ul style="list-style-type: none"> • Case Number (User Numeric Input) • Drawer Name (Selectable List)
Hearings	Case Name by Drawer	<ul style="list-style-type: none"> • Case Name (User Input) • Case Drawer (Selectable List)
Hearings	Case by Date(s) Captured	<ul style="list-style-type: none"> • Case Number (User Numeric Input) • Capture Date Range
Confidential	Case Number by Drawer	<ul style="list-style-type: none"> • Case Number (User Numeric Input) • Drawer Name (Selectable List)
Confidential	Case Name by Drawer	<ul style="list-style-type: none"> • Case Name (User Input) • Case Drawer (Selectable List)
Confidential	Case by Date(s) Captured	<ul style="list-style-type: none"> • Case Number (User Numeric Input) • Capture Date Range

2.9.3 Perceptive Experience Advanced Searches

In addition to pre-defined searches, the Imaging Solution is configured to allow user defined search parameters.

By selecting the “+” icon (Figure 2.5.3.1), users will be presented with the ability to add constraints and build a search. Each constraint can be defined by the following:

- Type
 - Normal Constraint – Lets user enter a value
 - Variable Constraint – Lets user select a value tied to logged in user
 - Prompted Constraint – Lets user enter value via prompt when initiating the search
- Field
 - All primary indexing fields and custom properties are selectable for search. See sections 2.2.1, 2.2.2, and 2.2.4 for the full list and descriptions of searchable fields.
- Operator
 - This is a dynamic list of operators that varies based on the selected field.
- Value

- Value to constrain the search parameters to.



(Figure 2.5.3.1)

Multiple constrains can be defined within a given search by selecting the “+” icon. Existing constraints can be re-ordered by selecting the up and down arrows above the search field. Additionally constraints can be combined, split, or removed with the inward arrows, outward arrows, and “x” icon respectively.

Once constrains of the search have been finalized, the user can select the “Search” button from the right side of the window to initiate the search.

2.9.4 Confidential Case Searches

CalSAWS “Image” buttons, tasks, and distributed documents image links are the primary methods to retrieve documents indexed to a confidential case. In addition, users with the appropriate security right can perform searches across the county confidential drawer. This right will enable a user to search across all cases with one or more confidential flags. The security right required to perform these searches is documented in CA- 214027 (Security and Auditing).

3 SUPPORTING DOCUMENTS

Number	Functional Area	Description	Attachment
1	Imaging	A list of the form names/numbers and document types used by the imaging system	Imaging Form Matrix
2	Security	Documentation outlining the CalSAWS Retention Policy	CalSAWS Retention Policy

4 REQUIREMENTS

4.1 Migration Requirements

DDID #	REQUIREMENT TEXT	Contractor Assumptions	How Requirement Met
2504	<p>The CONTRACTOR shall configure the imaging solution to collect and transfer the following data to the CalSAWS Software for task generation:</p> <ol style="list-style-type: none"> 1) Document Type 2) Form Name 3) Case Info 4) Person Info 5) Program Override Flag 6) No Task Override Flag 7) No Change SAR 7 Flag 8) Image ID 9) Scanning User/Worker/Source 10) Applicable Date 11) Received Date 		<ul style="list-style-type: none"> • Configure the Imaging Solution to perform a webservice call to generate a Task within the CalSAWS application based on document metadata
2505	<p>The CONTRACTOR shall configure the core capture and indexing scan modes (Single Case, Virtual Print, and Multi-case) to store documents at a case or person level. Case level documents are only viewable by the county in which that case resides and person level documents are viewable by all counties.</p>	<ul style="list-style-type: none"> • The configuration of routing for person and case documents is documented in CA-214058 (Environment Workflow Configuration) 	<ul style="list-style-type: none"> • Identify a subset of form names and numbers for the imaging solution to store as person level documents

DDID #	REQUIREMENT TEXT	Contractor Assumptions	How Requirement Met
2506	<p>The CONTRACTOR shall configure the imaging solution core capture and indexing scan modes (Single Case, Virtual Print, and Multi-case) to store documents with the following indexing values:</p> <ol style="list-style-type: none"> 1) Case Number - Only for case level 2) Case Name - Only for case level 3) Document Type 4) Applicable Date 5) Received Date 6) Form Name 7) Form Number 8) Person Name - Only for person level 9) CIN - Only for person level 10) Batch Number - Unique editable number associated to each group of documents scanned 	<ul style="list-style-type: none"> • The Implementation of Multi-Case, and Virtual Printer scan modes is documented in CA-214172 (Multi, Virtual, Import Capture) • Single-Case scan mode is documented in CA- 214030 (Capture Single and Barcode Detection) 	<ul style="list-style-type: none"> • Configure the Imaging solution to store metadata comprised of indexing fields, custom properties, notes, and document data

DRAFT

DDID #	REQUIREMENT TEXT	Contractor Assumptions	How Requirement Met
2199	<p>The CONTRACTOR shall configure the core capture and indexing scan modes (Single Case, Virtual Print, and Multi-case) to do the following:</p> <ol style="list-style-type: none"> 1) Automatically categorize all system generated documents. 2) Automatically categorize up to 70 person level/verification documents. 3) Read the form number from a specified location on the document(s) to be determined during detailed design. 4) Capture the Form Name, Form Number, Case Name, Case Number, and Document Type as key metadata. 4a) Documents with no case number are automatically sent to a quality assurance queue for review. 5) Compare the confidence score of all automatically categorized documents to a confidence threshold. 5a) All scanned documents that do not meet the categorization confidence threshold are sent to a quality assurance queue for review. All cases associated the document that does not meet the confidence thresholds will be sent to a quality assurance queue for review. 6) Designated staff to be prompted to select case member, multiple persons, or no person option for all person level document types which will be determined during detailed design. 		<ul style="list-style-type: none"> • Configure the Imaging solution to store metadata comprised of indexing fields, custom properties, notes, and document data • Identify a subset of form names and numbers for the imaging solution to store as person level documents • Configure the Imaging Solution to archive person level documents to a Person drawer, viewable by all counties
2513	<p>The CONTRACTOR shall configure the imaging solution to update the document metadata on documents associated to an e-application. The e-application number received from the self-service portal and mobile app will be stored as an additional metadata field.</p>	<ul style="list-style-type: none"> • Self-service portal, and mobile app functionality will be implemented and described in a subsequent SCR 	<ul style="list-style-type: none"> • Configure the Imaging solution to store metadata comprised of indexing fields, custom properties, notes, and document data

DDID #	REQUIREMENT TEXT	Contractor Assumptions	How Requirement Met
2500	<p>The CONTRACTOR shall configure the imaging solution to have the following security driven options at the point of scanning:</p> <p>1) Task Override: Will ignore task configuration, no task will be created</p> <p>2) Program Selection: Will define which worker is tasked (the list is pre-defined based on the case information and is available in single case mode or when a coversheet is used in batch mode)</p> <p>3) No Change SAR7/QR7: Will prompt the CalSAWS Software to do the following:</p> <p>3a) Mark the document as received</p> <p>3b) Mark Eligibility as complete</p> <p>3c) Ignore task configuration, no task will be created</p> <p>4) Person Override: Will default person level documents as case level documents.</p> <p>5) Confidential: Will allow designated staff to scan to confidential cases</p>		<ul style="list-style-type: none"> • Configure the No Change SAR7/QR7 flag to submit a unique request to CalSAWS during the call to mark documents received, triggering CalSAWS to additionally make eligibility complete • Configure the Imaging solution to not submit a task request for documents flagged with a task override • Configure documents with the No Change SAR7/QR7 flag to not submit a task request to CalSAWS • Configure the imaging solution to store a person level document as case level if flagged with person override • Configure the Imaging Solution to notify the CalSAWS application of sensitive (tracked) document(s) via a webservice call, allowing those document(s) to be marked received

DDID #	REQUIREMENT TEXT	Contractor Assumptions	How Requirement Met
2198	<p>The CONTRACTOR shall configure the core capture and indexing scan modes (Single Case, Virtual Print, and Multi-case) to perform the following functions when a system generated barcode is recognized by the imaging solution:</p> <ol style="list-style-type: none"> 1) Perform a CalSAWS Software lookup of Form Name, Form Number, Case Name, Case Number, and Document Type 2) Check the barcode against the case information entered during the scan mode <ol style="list-style-type: none"> 2a) Not applicable to multi-case scan mode 2b) If the document is time sensitive (tracked), mark the document as received in the CalSAWS Software 2c) If the barcode is not recognized, time sensitive (tracked) documents are reviewed by designated staff to confirm the barcode 	<ul style="list-style-type: none"> • Barcode Scanning is documented in CA-214033 (Categorize Documents by System Barcode) 	<ul style="list-style-type: none"> • Configure the Imaging Solution to notify the CalSAWS application of sensitive (tracked) document(s) via a webservice call, allowing those document(s) to be marked received
2516	<p>The CONTRACTOR shall create a security driven scan mode for Special Investigation Unit (SIU) with the following metadata:</p> <ol style="list-style-type: none"> 1) Case Number 2) Case Name 3) Applicable Date 4) Received Date 5) Form Name 6) Form Number 7) Document Type - All images/documents will have the value: 'SIU Documents' <p>The CONTRACTOR shall enable the following scan modes for SIU:</p> <ol style="list-style-type: none"> 1) Single Case - Used for capturing one or more documents for a single case 2) Virtual Print - Used to print documents directly from any desktop application that allows printing into the imaging solution to a single case 	<ul style="list-style-type: none"> • Single-Case scan modes are documented in CA-214030 (Capture Single and Barcode Detection) 	<ul style="list-style-type: none"> • Configure the Imaging Solution to archive document scanned via the SIU to be archived to a county specific drawer

DDID #	REQUIREMENT TEXT	Contractor Assumptions	How Requirement Met
2517	<p>The CONTRACTOR shall create a security driven scan mode for Hearings with the following metadata:</p> <ol style="list-style-type: none"> 1) Case Number 2) Case Name 3) Applicable Date 4) Received Date 5) Form Name 6) Form Number 7) Document Type - All images/documents will have the value: 'Court/Hearings Documents' 8) State Hearings Number - Optional, editable field <p>The CONTRACTOR shall enable the following scan modes for Hearings:</p> <ol style="list-style-type: none"> 1) Single Case - Used for capturing one or more documents for a single case 2) Virtual Print - Used to print documents directly from any desktop application that allows printing into the imaging solution to a single case 	<ul style="list-style-type: none"> • Single-Case scan modes are documented in CA-214030 (Capture Single and Barcode Detection) 	<ul style="list-style-type: none"> • Configure the Imaging Solution to archive document scanned via the Hearings to be archived to a county specific drawer

DDID #	REQUIREMENT TEXT	Contractor Assumptions	How Requirement Met
2521	<p>The CONTRACTOR shall create a security driven scan mode for Resource Data Bank (RDB) with the following metadata:</p> <ol style="list-style-type: none"> 1) Resource ID 2) Resource Name 3) Document Type 4) Applicable Date 5) Received Date <p>The CONTRACTOR shall enable the following scan modes for RDB:</p> <ol style="list-style-type: none"> 1) Single Case - Used for capturing one or more documents for a single case 2) Virtual Print - Used to print documents directly from any desktop application that allows printing into the imaging solution to a single case 	<ul style="list-style-type: none"> • Single-Case scan modes are documented in CA-214030 (Capture Single and Barcode Detection) 	<ul style="list-style-type: none"> • Configure the Imaging Solution to archive document scanned via the Resource Data Bank (RDB) to be archived to a county specific drawer
2204	<p>The CONTRACTOR shall enable other county departments to have a "drawer" in the imaging solution where they can upload, store, and search for documents.</p> <p>The CONTRACTOR shall create security driven scan modes of Other County Documents with the following four (4) options:</p> <ol style="list-style-type: none"> 1) Adoptions (AAP) 2) Adult Aging Services (IHSS) 3) Child Welfare Services 4) Quality Assurance/Quality Control (QA/QC) <p>The scan mode will correspond to a "drawer" that segments the scanned images/documents from the rest of the CalSAWS Software and is controlled via security in the CalSAWS Software.</p>	<ul style="list-style-type: none"> • The Implementation of Multi-Case, and Virtual Printer, and Other County Departments scan modes is documented in CA-214172 (Multi, Virtual, Import Capture) 	<ul style="list-style-type: none"> • Configure the Imaging Solution to archive document scanned via the Adoptions (AAP) scan mode to be archived to a county specific drawer • Configure the Imaging Solution to archive document scanned via the Adult Aging Services (IHSS) to be archived to a county specific drawer • Configure the Imaging Solution to archive document scanned via the Child Welfare Services (CWS) to be archived to a county specific drawer • Configure the Imaging Solution to archive document scanned via the Quality Assurance/Quality Control (QA/QC) to be archived to a county specific drawer

DRAFT