CalSAWS

California Statewide Automated Welfare System

DRAFT

Design Document

CA-53789/CIV-101159 – Update Expedited Service Determination, Postponed Verification, and Batch Discontinuance Process

	DOCUMENT APPROVAL HISTORY	
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Table of Contents

1 OVERVIEW

Eligible CalFresh households that meet certain criteria qualify for Expedited Service (ES) at initial application or recertification. Households that qualify will have benefits made available to them by the third calendar day after the date of application and can have some verification postponed during ES eligibility determination.

Households that qualify for State Utility Assistance Subsidy (SUAS) receive additional CalFresh benefits ($20.01). These households receiving the SUAS payment are eligible for the Standard Utility Allowance (SUA) effective the month in which the SUAS payment is issued and for the remainder of their certification period. Per ACL 14-66, when entitlement ES is determined, SUAS based SUA shall not be used in calculating if rent/mortgage and utilities are more than income/resources

If a household qualifies for expedited service, certain verifications can be postponed. Postponed verifications must be received within 30-day regular CalFresh application timeframe. Once the postponed verifications are received, the postponed verification indicator on CalFresh detail page shall be updated. Postponed verifications must be provided within 30-days of the application; failure to provide verifications shall result in a household to be discontinued.

1.1 Current Design

When a household is eligible for SUAS, SUAS based SUA is used in calculating if rent/mortgage and utilities are more than income/resources when determining expedited service eligibility.

When verifications page is updated upon receiving pending ES verifications, ES information on CalFresh detail page does not get automatically updated.

LRS/CalSAWS Only: When verifications are not received by the due date, an automated batch process (Batch Job PB00E159) discontinues the CalFresh program during the Batch 10-Day processing activities.

C-IV Only: An automated batch process to discontinue CalFresh when verifications are not received by the due date does not exist.

1.2 Requests

When a household is eligible for SUAS, SUAS based SUA shall not be used in calculating if rent/mortgage and utilities are more than income/resources when determining expedited service eligibility.

A new automated batch will be introduced that will update the 'postponed verifications received' indicator in the CalFresh detail page to 'Yes' when the verifications page is updated upon receiving pending ES verifications,

C-IV Only: Add an automated batch process to discontinue CalFresh and Supplemental Nutritional Benefit (SNB) program when the Postponed verifications are not received by due date. The job will run daily, trigger EDBC with a negative action reason of 'Failed to Complete ES Requirements', and trigger EDBC on the month following the ES End Date.

C-IV only: Add a new Batch EDBC Sweep when Expense, Expense Amount, Utility Expense, Self-Employment Expense, or Medicare Information verification is past due date. Unverified expenses are disallowed from CalFresh EDBC after the end of the Expedited Service period.

LRS/CalSAWS Only: Modify the 'Past Due Postponed Verifications for Expedited Service CalFresh' Sweep job to:
1. Exclude some of the property verification types when the CF program is Categorically Eligible (CE) or Modified Categorical Eligibility (MCE).
2. Modify the job to run daily (Mon-Sat).
3. Modify the job to close the CF program from the month after the ES End Date.

1.3 Overview of Recommendations

When determining ES eligibility by calculating if rent/mortgage and utilities are more than income/resources, SUAS based SUA shall not be used when determining the utility expense.

When verifications page is updated upon receiving pending ES verifications, a new automated batch will update the 'postponed verifications received' indicator in the CalFresh detail page to 'Yes'.

C-IV Only: Add an automated batch process to discontinue ES CalFresh program when verifications for Expedited Service are not received by due date.

The job will run daily, trigger EDBC with a negative action reason of 'Failed to Complete ES Requirements', and trigger EDBC on the month following the ES End date. This Batch Sweep job will exclude some of the property verification types when the CF program is Categorically Eligible (CE) or Modified Categorical Eligibility (MCE).

C-IV only: Add a new Batch EDBC Sweep when Expense, Expense Amount, Utility Expense, Self-Employment Expense, or Medicare Information verification is past due date. Unverified expenses are disallowed from CalFresh EDBC after the end of the Expedited Service period.

CalSAWS Only: Modify the 'Past Due Postponed Verifications for Expedited Service CalFresh' Sweep job to

1. Exclude some of the property verification types when the CF program is Categorically Eligible (CE) or Modified Categorical Eligibility (MCE).
2. Modify the job to run daily (Mon-Sat).
3. Modify the job to close the CF program from the ES End Date.

1.4 Assumptions

1. This new logic will be applied to ongoing EDBCs only. There will be no retro batch processing to appropriately discontinue expedited service CalFresh cases at the end of expedited service period when pending verifications are not received within due date for historical benefit months.
2. User will be responsible for updating the 'Postponed for Expedited Service' indicator appropriately on the Verification Detail page.
3. DDID 1110 (SCR CA-207374) will enable the existing CalSAWS Batch Job (PB00E159) to run for Counties that opt-in to this functionality during Migration.

2 RECOMMENDATIONS

2.1 Eligibility Rules Update

2.1.1 Overview

When determining income and resources are less than the total expenses for Expedited Service (ES) eligibility, SUAS based SUA shall not be used in calculating total shelter expense.

2.1.2 Description of Changes

Update CF EDBC logic to not include SUAS based SUA when calculating the total shelter expense to determine the household's eligibility for ES when total income and liquid resources are less than total shelter expenses.

2.1.3 Programs Impacted

CF

2.1.4 Performance Impacts

None

2.2 Eligibility List (C-IV Only)

2.2.1 Overview

Generate a list to provide all ES CF cases that are currently active, and postponed ES verification are not received and past due date.

2.2.2 Description of Changes

1. Generate a list of CF cases that meet the following criteria after the first run of the batch sync job in recommendation 2.3.3 in production:
   a. Program status is active for come-up month
   b. Latest application has 'Postponed Verifications Authorized' field for Expedited Service is 'Yes'
   c. Latest application has 'Postponed Verifications Received' field for Expedited Service is 'No'
   d. Latest application has 'Postponed Verifications Due Date' is before come-up month
2. Generate a list of CF cases that meet the following criteria
   a. Program status is Active as of 10/2020 benefit month.
   b. CF Postponed Verifications Authorized indicator is 'Yes'
   c. Postponed Verifications Due Date for Expedited Service is within the last year (10/01/2019 – 09/30/2020).
   d. There was no EDBC run for the benefit month after the end of ES period.
   e. Any of the following list of verification types is in pending status with verification due date the same month as ES Due date.
      i. Expense Amount
      ii. Utility Expense
      iii. Self-Employment Expense
      iv. Medicare Information

The lists will include the Standard List Columns:

Case Name

Case Number

County

Unit

Unit Name

Office Name

Worker ID

The list will be posted at: CalSAWS System Web Portal > System Changes > SCR and SIR Lists > 2020 > SCR CIV-101159

2.2.3 Programs Impacted

CF

2.2.4 Performance Impacts

None

2.3 Batch

2.3.1 Add a new Batch Sweep to discontinue Expedited CF cases with Past-Due Postponed Verifications (C-IV only)

2.3.1.1 Overview

CalFresh household will get Expedited Service (ES) CalFresh benefits for the month of application and possibly for the next month as well. If the household applies on or before the 15th of the month, and qualifies for expedited service, it will get CalFresh benefits for the application month. If the household applies after the 15th of the month, and qualifies for expedited service, it will get CalFresh benefits for the application month and the following month. The following month's benefits will be discontinued if verifications are not received by due date.

2.3.1.2 Description of Changes

Create a new daily batch sweep to discontinue CalFresh and SNB program via batch EDBC with discontinuance reason "Failed to Complete ES Requirements" when all the following are true:

1. CalFresh program status is 'Active' as of batch date
2. CalFresh program persons are 'Active' as of batch date
3. Postponed ES Indicator for at least one of the verifications on the verification list page is 'Yes'
   a. Unless the latest Accepted and Saved CalFresh EDBC is Categorically Eligible (CE) or Modified Categorical Eligibility (MCE) then the batch job will not consider all the following property verification types (Personal Property, Real Property, and Transferred Property) on any of the above conditions.
4. Postponed Verifications received field for Expedited Service is set to 'No' on the batch date
5. Postponed Verifications Due Date for Expedited Service from the CalFresh detail page is on or before the batch date
6. ES END DATE is not NULL_DATE or HIGH_DATE

The Batch job will trigger Batch EDBC with the following details:

1. Triggers Batch EDBC with the Targeted Program mode for CF and SNB programs
2. Triggers with a Neg action reason/Disc_RSN_CODE of "Failed to Complete ES Requirements"
3. Triggers Discontinuance on the month following the end of the ES period till the come-up month.

<u>Note</u>: The batch will not run on cases when the Verification Due Date is prior to the SCR implementation date.

2.3.1.4 Execution Frequency

Change to Daily (Mon-Sat).

2.3.1.5 Key Scheduling Dependencies

This job will run prior the Batch EDBC. The job will run after the new batch job that update the Postpone Verification Received indicator.

2.3.1.6 Counties Impacted

C-IV Counties. This Batch job already exists in LRS/CalSAWS.

2.3.1.7 Data Volume/Performance

N/A.

2.3.1.8 Failure Procedure/Operational Instructions

Batch Support Operations staff will evaluate transmission errors and failures and determine the appropriate resolution (i.e., manually retrieving the file from the directory and contacting the external partner if there is an account or password issue, etc.).

2.3.2 Modify the existing Batch Sweep that discontinue Expedited CF cases with Past-Due Postponed Verifications – PB00E159 (LRS/CalSAWS only)

2.3.2.1 Overview

The Past Due Postponed Verifications for Expedited CalFresh batch sweep discontinue the program when CalFresh is Categorically Eligible (CE) or Modified

Categorically Eligible (MCE) and the only pending verification type is in one of the following (Personal Property, Real Property, and Transferred Property). Since these verification types are not required for the CalFresh CE or MCE case, the batch job will be modified to have an additional check on these verification types.

2.3.2.2   Description of Changes

1. Modify the Past Due Postponed Verifications for Expedited CalFresh batch sweep to exclude the following verification type of (Personal Property, Real Property, and Transferred Property) when the CalFresh program is Categorically Eligible (CE) or Modified Categorical Eligibility (MCE).

The following trigger conditions will be added into the batch job:
  a. When the latest Accepted and Saved CalFresh EDBC is Categorically Eligible (CE) or Modified Categorical Eligibility (MCE) then the batch job will not consider all the following Property verification types (Personal Property, Real Property, and Transferred Property) when discontinuing the ES CalFresh program for postponed verification not received by due date.

2. Modify the batch job to run daily (Mon-Sat).
3. Modify the batch job to not run on case when the ES_END_DATE is NULL_DATE or HIGH_DATE.
4. Add job dependency on this batch job to run after the new batch job that update the Postpone verification received field.
5. Modify the batch job to trigger Discontinuance on the month following the end of the ES period till the come-up month.

2.3.2.4 Execution Frequency

Change to Daily (Mon-Sat).

2.3.2.5 Key Scheduling Dependencies

Add job dependency to run after the new batch job that

updates the Postpone verification received field.

2.3.2.6 Counties Impacted

All LRS/CalSAWS Counties.

2.3.2.7 Data Volume/Performance

N/A.

2.3.2.8 Failure Procedure/Operational Instructions

Batch Support Operations staff will evaluate transmission errors and failures and determine the appropriate resolution (i.e., manually retrieving the file from the directory and contacting the external partner if there is an account or password issue, etc.).

2.3.3 Add a new Daily Batch Job to update field 'Postponed Verification Received' (LRS/CalSAWS and C-IV)

2.3.3.1 Overview

In order to automate the process of updating the field 'Postponed Verification Received' to 'Yes' in the Expedited Service section of the CalFresh Detail page, a new batch sweep job is being introduced in this SCR.

2.3.3.2 Description of Changes

Create a new batch sweep job to update the 'Postponed Verification Received' value in the Expedited Service section of the CalFresh detail page to 'Yes' when all the mandatory verifications in Appendix 4.1, if existed in the case, are set to 'Verified' or 'Not Applicable'.

All the below conditions need to be met for the batch to update the 'Postponed Verification Received' value to 'Yes':

1. CalFresh program status is 'Active' as of batch date.
2. 'Postponed Verifications Authorized' field in the CalFresh detail page is set to 'Yes'.
3. 'Postponed Verification Received' field in the CalFresh Detail page is set to 'No'.
4. The status of mandatory verifications (Listed in Appendix 4.1) in Verifications list page are either Verified or Not Applicable OR
   There are no mandatory verifications (Listed in Appendix 4.1) in the Verifications List page.
   a. When the latest Accepted and Saved CalFresh EDBC is Categorically Eligible (CE) or Modified Categorical Eligibility (MCE) then the batch job will not consider all the following property verification types (Personal Property, Real Property, and Transferred Property) on any of the above conditions.

   LRS only: A verification can be verified at the program level. If the above mandatory verification has been verified by CF program, the batch job will consider that the verification is verified.

Note: The list of verifications for each Expedited Service CalFresh case can differ but it needs to be among the mandatory verifications listed in Appendix 4.1.

2.3.3.4 Execution Frequency

Daily (Mon-Sat) exclude the Holidays.

2.3.3.5 Key Scheduling Dependencies

This job will run prior to the Past Due Postponed Verifications for Expedited CalFresh batch sweep job.

2.3.3.6 Counties Impacted

All LRS/CalSAWS Counties.

2.3.3.7 Data Volume/Performance

N/A.

2.3.3.8 Failure Procedure/Operational Instructions

Batch Support Operations staff will evaluate transmission errors and failures and determine the appropriate resolution (i.e., manually retrieving the file from the directory and contacting the external partner if there is an account or password issue, etc.).

2.3.4 Add a new Batch EDBC Sweep when Expense, Expense Amount, Utility Expense, Self-Employment Expense, or Medicare Information verification is past due date (C-IV only)

2.3.4.1 Overview

Expenses are not required to be verified to be included in CalFresh EDBC when the household qualifies for expedited service. This automated batch job will disallow expenses for CalFresh program after the end of expedited service period if the expenses are not verified.

For CF program, when Expense, Expense Amount, Utility Expense, Self-Employment Expense, or Medicare Information verification is past due date, worker manually run EDBC to disallow deduction on the program.

In LRS/CalSAWS:

PB00E169 batch job auto trigger EDBC when verification is past due date.

2.3.4.2 Description of Changes

C-IV only:

Add a new batch job (PB00E169) that will perform the following.
1. Trigger Regular EDBC.
2. Trigger EDBC on the following month.
3. Trigger Single Program mode.

The batch job will trigger EDBC when all the following are true.
1. Program is CF.
2. Program status is Active as of the following month.
3. CF Postponed Verifications Authorized indicator is 'Yes'
4. Postponed Verifications Due Date for Expedited Service is on or before the batch date.
5. <mark>Postponed Verifications Due Date for Expedited Service is on or after the Implementation date of this SCR.</mark>
6. <mark>The due date of the Verification types mentioned below is on or after the Implementation date of this SCR.</mark>
7. Any of the following list of verification types is in pending as of the batch run date.
   a. Expense Amount
   b. Utility Expense
   c. Self-Employment Expense
   d. Medicare Information

Note: There will be no change to an existing Batch EDBC skip that will skip CF ES case when the postpone verification is not received (postpone verification received indicator in the program detail page is 'No').

2.3.4.4 Execution Frequency

Monthly batch 10-day cutoff.

2.3.4.5 Key Scheduling Dependencies

This job will run prior the Batch EDBC.

2.3.4.6 Counties Impacted

C-IV Counties.

Note: This Batch job already exists in LRS/CalSAWS. The existing job in LRS/CalSAWS triggers for other verification types and looks at other programs other than CF program. At migration, this new C-IV job will perform the same as the LRS/CalSAWS batch job.

2.3.4.7 Data Volume/Performance

N/A.

2.3.4.8 Failure Procedure/Operational Instructions

Batch Support Operations staff will evaluate transmission errors and failures and determine the appropriate resolution (i.e., manually retrieving the file from the directory and contacting the external partner if there is an account or password issue, etc.).

3   REQUIREMENTS

Project Requirements

REQ #	REQUIREMENT TEXT	How Requirement Met
2.8.2.6	The LRS shall identify and evaluate eligibility by person and by case/program	LRS/CalSAWS will not use SUAS based SUA when determining the CF households eligibility to ES.

4   APPENDIX

4.1   Postponed Verification Types

The following verification types will be utilized to determine if Postponed Verifications are complete when the Verified Status is set to 'Verified' or 'Not Applicable'.

1. Country of Birth
2. Date of Birth
3. Income
4. Name/Identity
5. Personal Property
6. Real Property
7. Relationship
8. Residence
9. SSN
10. Sponsored Non-Citizen
11. USCIS Document
12. Transferred Property

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California Statewide Automated Welfare System

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Design Document

Multiple DDIDs

CA 214172 – Multi, Import, Virtual Capture

	DOCUMENT APPROVAL HISTORY	
CalSAWS	Prepared By	Imaging Team
	Reviewed By	

DATE	DOCUMENT VERSION	REVISION DESCRIPTION	AUTHOR
7/27/2020	1.1	Virtual Capture Split out into CA-218192	Chris Vasquez

Table of Contents

1   OVERVIEW

This is the first of several stages needed to fully implement the CalSAWS capture modes. This first implementation will enable basic capturing capabilities via single case capture and drag and drop import capture. All baseline capture modes will not have security limitations enabled, and will have no CalSAWS system interaction.

1.1   Requests

Per DDID 2242, create the following core capture and indexing scan modes in the imaging solution:

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

3) Multi-case - Used to capture multiple documents from different cases

Implementation of the second scan mode "Virtual Print" will be implemented in CA-218192 (Virtual Capture).

Implementation of the third core scan mode "Single Case" will be implemented in CA-214030 (Capture Single and Barcode Detection).

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:

3a) Mark the document as received

3b) Mark Eligibility as complete

3c) Ignore task configuration, no task will be created

4) Person Override: Will default person level documents as case level documents.

Implementation of confidentiality will be implemented in CA- 214035 (Store Index Values). The security rights driving these options will be implemented in CA- 214027 (Security). Implementation of the third core scan mode "Single Case" is documented and implemented in CA- 214030 (Capture Single and Barcode Detection).

Per DDID 2501, ensure that the "Applicable Date" and "Received Date" fields are editable at point of capture otherwise they shall default to the capture date.

Additionally, ensure that the "Batch Number" field is editable at point of capture otherwise it shall default to the unique system generated number.
Implementation of the third core scan mode "Single Case" is documented and implemented in CA- 214030 (Capture Single and Barcode Detection).

Per DDID 2204, 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 (CWS)

4) Quality Assurance/Quality Control (QA/QC)

Configuration of "Drawers" is documented and implemented in CA- 214035 (Store Index Values). The security rights driving these scan modes is documented and implemented in CA- 214027 (Security).

Per DDID 2518, configure the imaging solution to allow 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.

Search functionality is documented and implemented in CA- 214035 (Store Index Values). The security rights driving these options is documented and implemented in CA- 214027 (Security).

Per DDID 2267, enable drag and drop file upload functionality.

Per DDID 2503, configure the imaging solution to allow the following documents to act as separators for the capture and indexing multi-case scan mode and returned mail multi-case scan mode:

1) Cover Sheets - Will contain a barcode with a case number or a no case identifier

2) System Generated Barcoded Documents

The CONTRACTOR shall configure the imaging solution to allow the optional use of generic separator sheets for all scan modes to assist in separating documents.

The CONTRACTOR shall configure the imaging solution to allow the optional use of envelopes as separator sheets for the returned mail multi-case scan mode.

Configuration of the Imaging Solution to allow the optional use of envelopes as separator sheets for the returned mail multi-case scan mode will be documented and implemented in CA- 214048 (Categorize by OCR). Implementation of the third core

scan mode "Single Case" will be implemented in CA- 214030 (Capture Single and Barcode Detection).

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

Single case scanning is documented and implemented in CA- 214030 (Capture Single and Barcode Detection). The security rights driving these scan modes is documented and implemented in CA- 214027 (Security). The available indexing values are documented and implemented in CA- 214035 (Store Index Values).

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

Single case scanning is documented and implemented in CA- 214030 (Capture Single and Barcode Detection). The security rights driving these scan modes is documented and implemented in CA- 214027 (Security). The available indexing values are documented and implemented in CA- 214035 (Store Index Values).

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 to capture one or more documents to a single resource
2) Virtual Print - Used to print documents directly from any desktop application that allows printing into the imaging solution to a single case

Single case scanning is documented and implemented in CA- 214030 (Capture Single and Barcode Detection). The security rights driving these scan modes is documented and implemented in CA- 214027 (Security). The available indexing values are documented and implemented in CA- 214035 (Store Index Values).

Per DDID 2502, ensure that the following scan modes attempt to locate a CalSAWS Software system generated barcode:

1) Capture and Indexing Single Case

2) Capture and Indexing Multi-Case

3) Capture and Indexing Virtual Print

4) Returned Mail

Additionally, read the CalSAWS Software system generated imaging/tracking barcodes.

Implementation of single case scanning is documented and implemented in CA- 214030 (Capture Single and Barcode Detection). Returned mail scanning mode is documented and implemented in CA- 214061 (Returned Mail Scan Modes).

The identification of barcodes via Virtual Print will be performed with the aid advanced Optical Character Recognition, and is documented and implemented in CA- 214048 (Categorize by OCR).

Per DDID 2255, configure the imaging solution to read a unique 2D barcode from all CalSAWS Software system generated forms. This barcode will contain the barcode number which is used to identify the document(s) metadata from the CalSAWS Software.

The identification of barcodes via Virtual Print will be performed with the aid advanced Optical Character Recognition, and will be implemented in CA- 214048 (Categorize by OCR). Implementation of single case scanning is documented and implemented in CA- 214030 (Capture Single and Barcode Detection).

1.2 Overview of Recommendations

- Configure Multi-Case capture mode in Perceptive Experience to allow for the scanning of both barcoded, and non-barcoded documents into the Imaging Solution

- Document and implement Virtual Capture in CA-218192 (Virtual Capture)
- Configure "Other County Department" Drawers scan modes to allow the scanning of documents into the Adoptions (AAP), Adult Aging Services (IHSS), Child Welfare Services (CWS), and Quality Assurance/Quality Control (QA/QC) drawers
- Configure File Upload scan mode to allow the direct upload of non-barcoded documents into the Imaging Solution
- Configure the system to utilize the following flags during the scan processing:

  1) Task Override

  2) Program Selection

  3) No Change SAR7/QR7

  4) Person Override

- Configure the scan modes to have the editable fields of "Applicable Date", "Received Date" and "Bundle ID" at the time of scan
- Configure multi-case scan mode to allow the use of Cover Sheets and System Generated Barcoded Documents as separators of documents
- Configure multi-case scan mode to allow the optional use of the generic separator sheets (patch code sheets) to separate documents

1.3   Assumptions

No CalSAWS webservices will be configured at the time of this release, capture modes will not have functionality to obtain information from the CalSAWS application. Upon capturing documents with the enabled scan modes the following scanning functionality will be established:

- Barcode values will be captured only leveraging hardware detection, the use of OCR/ICR detection for non-hardware scanning modes such as Virtual Printer, will be implemented in CA-214048 (Categorize by OCR)
- Split documents with the use of Patch Sheets, Barcodes, and Coversheets
  - The use of envelopes as separators will be implemented in CA-214048 (Categorize by OCR)
  - The CalSAWS page intended for coversheet generation will be defined and implemented in a subsequent SCR
- Reindexing functionality will be implemented in CA-214058 (Environment Workflow Configuration)
- Security driving the described capture modes will be implemented in CA-214027 (Security)
- The request of an editable "Batch Number" will be satisfied with the use of an editable "Bundle ID" field, presented at the point of scan
- Implementation of Single Case scan mode will be implemented in CA-214030 (Capture Single and Barcode Detection)
- Other County Documents, and Other County Departments are synonymous of each other and will be referenced to as "Other County Departments" in the documentation
- Other County Department scan modes will only support case level document indexing

- Other County Department scan modes will not leverage advanced optical character recognition technology
- SIU, Hearings, and RDB scan modes will not leverage advanced optical character recognition technology
- Use of Optical Character Recognition (OCR) will be implemented in CA-214048 (Categorize by OCR)

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2 RECOMMENDATIONS

2.1 Multi-Case Experience Capture

2.1.1 Overview

Multi-Case Experience Capture mode is used to scan multiple documents, both barcoded, and non-barcoded into the Imaging Solution. To invoke multi-case scanning the user will navigate into the Imaging Solution and select "Capture" from the toolbar in the top right of the screen.
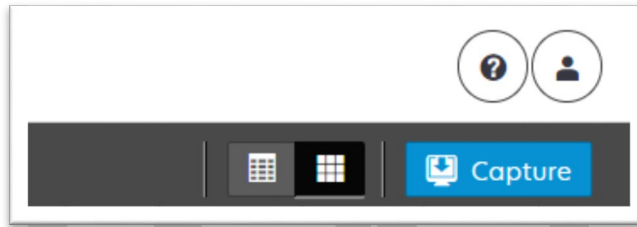
Figure 2.1.1.1 – Capture Mockup

2.1.2 Document Preparation

Documents scanned using the multi-case mode, will need to be arranged with the following expectations:

- All Non-system generated documents must be preceded by a coversheet, or a System generated document with a CalSAWS barcode present.
- Separation between individual documents will be indicated by one of the following separator options:
  - A generic separator sheet (patch sheet)
  - A cover sheet generated from CalSAWS
  - A new document containing a CalSAWS generated barcode
  - A generic no-case cover sheet

2.1.3 Initiating Scan

A dialog box will prompt the user to select from the available scan modes, then select multi-case from the dropdown box. The "Exception Routing" dropdown will be populated based off of exception queue configurations to be determined in CA-214058 (Environment Workflow Configuration). Within the prompt the user will be presented with the option to define a "Received" and/or "Applicable" date, otherwise these fields will default to the scanning date. An optional "Bundle ID" representing the captured documents may be entered. Once documents have been properly prepared and placed in the scanner, the user will initiate scanning by pressing "Start".

Figure 2.1.3.1 – Initiate Mockup

2.1.4 Scan Status

As pages are scanned into the imaging solution, the user will be presented with an upload prompt displaying thumbnails of each page as they are uploaded and processed. Once all the documents have been captured, the user will need to click the 'Open Batch' button in order to proceed to Quality Assurance and Finalization.
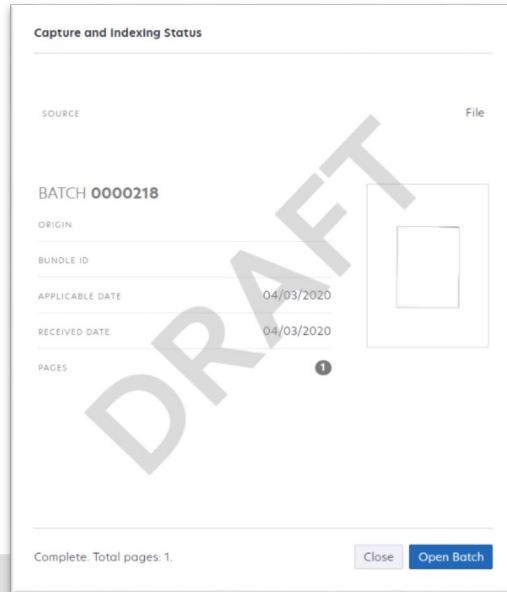
Figure 2.1.4.1 – Status Mockup

2.1.5 Scan Quality Assurance and Finalization

Once scanning has completed, the user will be presented with a preview of the scanned documents. If the barcode number on a document does not match, or was not picked up correctly, the user can re-scan the page(s) or route the document forward for advanced optical character recognition technology to attempt reading the barcode number. If a document needs to be rescanned, or additional pages need to be added to the batch, the user can select the "Capture" icon from the left side of the toolbar (Fig. 2.1.5.1). The user will be presented with a "Add Pages" dialog to replace, or add pages before/after the currently selected document (Fig. 2.1.5.2). Users will need to perform the following tasks (Fig. 2.1.5.3):

  a. Verify the quality of the scanned images are clear and undistorted
  b. Verify barcode numbers captured match barcodes on the images
  c. Separate the scan batch into individual documents
  d. Set specialty flags - if desired. (Note: security rights driving these flags are documented in CA-214027 (Security))
       i. Task Override
      ii. Person Override
     iii. Program Select
      iv. No Change SAR 7/QR 7
  e. Finalize the scan by selecting "Submit"
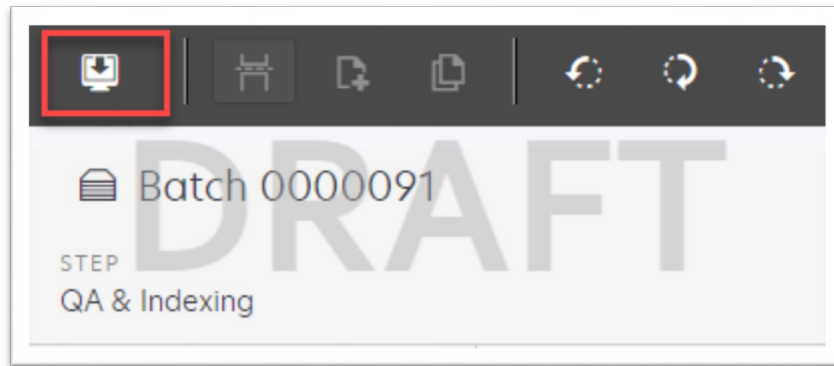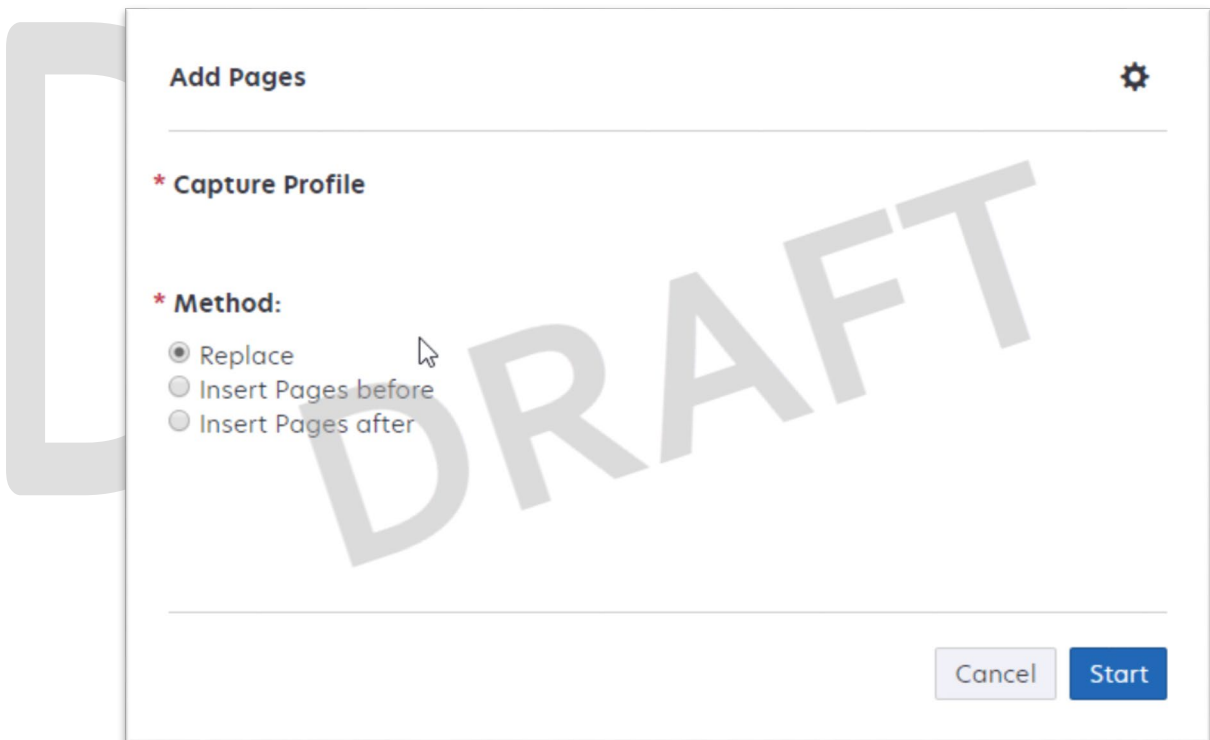
Figure 2.1.5.1 – Rescan/Capture Mockup

Figure 2.1.5.2 – Add Pages Mockup

Figure 2.1.5.3 – Properties Mockup

2.2 Virtual Printer Capture

Virtual printer is documented and implemented in CA-218192 (Virtual Capture).

2.3 Other County Departments Scan Mode

2.3.1 Overview

Other County Departments capture modes are used to scan documents for other county departments such as Adoptions (AAP), Adult Aging Services (IHSS), Child Welfare Services (CWS), and Quality Assurance/Quality Control (QA/QC) into the Imaging Solution. To invoke "Other County Departments" scanning modes, the users will navigate into the Imaging Solution and select "Capture" from the toolbar.
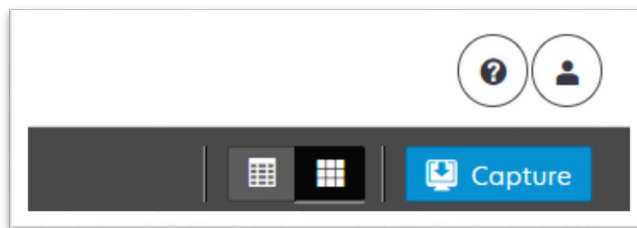
Figure 2.4.1.1 – Capture Mockup

2.3.2 Document Preparation

Documents scanned using the "Other County Departments" scanning modes, may be arranged with the inclusion of generic separator sheets (patch sheets) to aid in document separation.

2.3.3 Initiating Scan

A dialog box will prompt the user to select from the available scan modes, then select from one of the following "Other County Departments" modes from the dropdown box:

- Adoptions (AAP)
- Adult Aging Services (IHSS)
- Child Welfare Services (CWS)
- Quality Assurance/Quality Control (QA/QC)

The "Exception Routing" dropdown will be populated based off of exception queue configurations to be determined in CA-214058 (Environment Workflow Configuration). Within the prompt the user will be presented with the option to define a "Received" and/or "Applicable" date, otherwise these fields will default to the scanning date. An optional "Bundle ID" representing the captured documents may be entered. Once documents have been properly prepared and placed in the scanner, the user will initiate scanning by pressing "Start".

Figure 2.4.3.1 – Initiate Mockup

2.3.4 Scan Status

As pages are scanned into the imaging solution, the user will be presented with an upload prompt displaying thumbnails of each page as they are uploaded and processed. Once all the documents have been captured, the user will need

to click the "Open Batch" button in order to proceed to Quality Assurance and Finalization.

Figure 2.2.4.1 – Status Mockup

2.3.5 Scan Quality Assurance and Finalization

Once scanning has completed, the user will be presented with a preview of the scanned documents. If a document needs to be rescanned, or additional pages need to be added to the batch, the user can select the "Capture" icon from the left side of the toolbar (Fig. 2.4.5.1). The user will be presented with a "Add Pages" dialog to replace, or add pages before/after the currently selected document (Fig. 2.4.5.2). Users will need to perform the following tasks:
  a. Verify the quality of the scanned images are clear and undistorted
  b. Separate the scan batch into individual documents
  c. Specify the following fields
      i. Case Number
      ii. Case Name
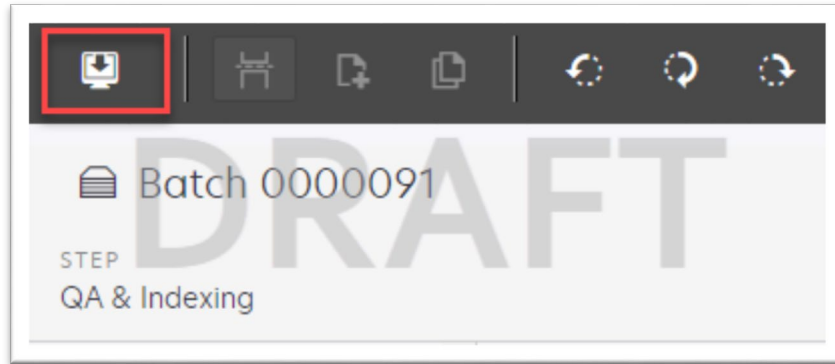   iii. Document Type
  e. Finalize the scan by selecting "Submit"

Figure 2.4.5.1 – Rescan/Capture Mockup
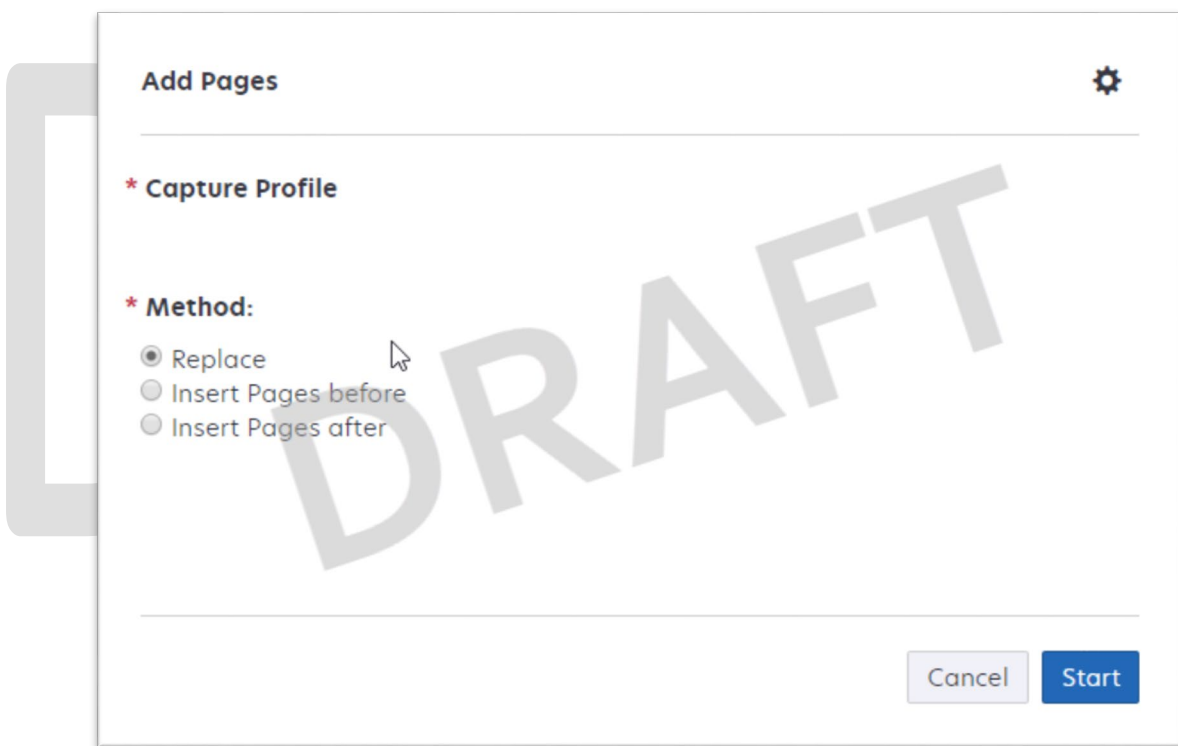

Figure 2.4.5.2 – Add Pages Mockup

17

2.4   File Upload (Drag and Drop)

2.4.1   Overview

File Upload mode is used to import non-barcode documents saved on the local machine, directly into the Imaging Solution. To invoke file upload, the user will navigate into the Imaging Solution and select "Capture" from the toolbar.
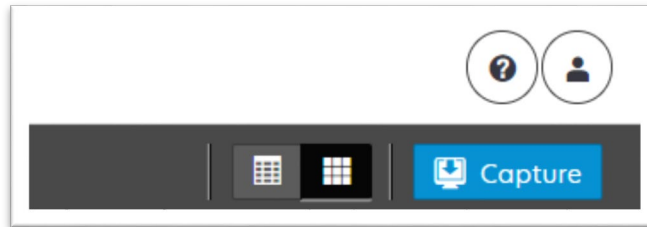

Figure 2.5.1.1 – Capture Mockup

2.4.2   Document Preparation

Prior to uploading documents into the Imaging Solution, verify that the documents are not a security enabled (password protected) file. Documents with security enabled are not fully supported. Secure documents will be uploaded, but may cause tasked workers to not have access to view the document, and optical character recognition technology to fail the classification step.

2.4.3   Initiating Scan

A dialog box will prompt the user to select from the available scan modes, then select "File Upload" from the dropdown box. The "Exception Routing" dropdown will be populated based off of exception queue configurations to be determined in CA-214058 (Environment Workflow Configuration). Within the prompt the user will be presented with the option to define a "Received" and/or "Applicable" date, otherwise these fields will default to the scanning date. An optional "Bundle ID" representing the captured documents may be entered. Once documents have been properly prepared and placed in the scanner, the user will initiate scanning by pressing "Start".

Figure 2.5.3.1 – Initiate Mockup

Figure 2.5.3.2 – Upload Mockup

2.4.4 Scan Status

As pages are scanned into the imaging solution, the user will be presented with an upload prompt displaying thumbnails of each page as they are uploaded and processed. Once all the documents have been uploaded, the user will

need to click the "Open Batch" button in order to proceed to Quality Assurance and Finalization.

Figure 2.5.4.1 – Status Mockup

2.4.5 Scan Quality Assurance and Finalization

Once scanning has completed, the user will be presented with a preview of the scanned documents. If a document needs to be rescanned, or additional pages need to be added to the batch, the user can select the "Capture" icon from the left side of the toolbar (Fig. 2.5.5.1). The user will be presented with a "Add Pages" dialog to replace, or add pages before/after the currently selected document (Fig. 2.5.5.2). Users will need to perform the following tasks:
   a. Verify the quality of the scanned images are clear and undistorted
   b. Separate the scan batch into individual documents
   c. Set specialty flags - if desired. (Note: these flags are security driven and will be defined in a CA-214027 (Security))
        i. Task Override
       ii. Person Override
      iii. Program Select
       iv. No Change SAR 7/QR 7
   d. Finalize the scan by selecting "Submit"
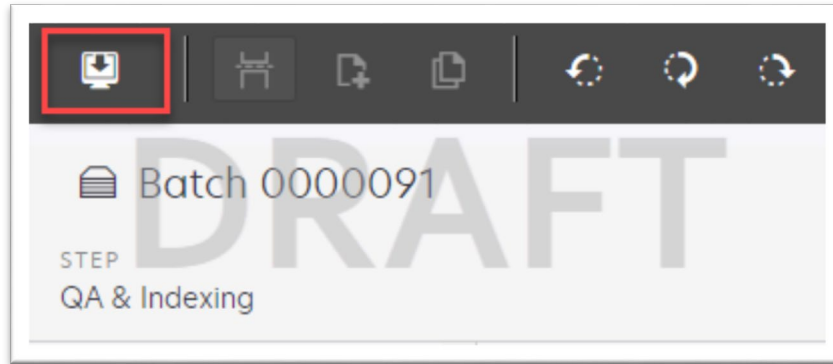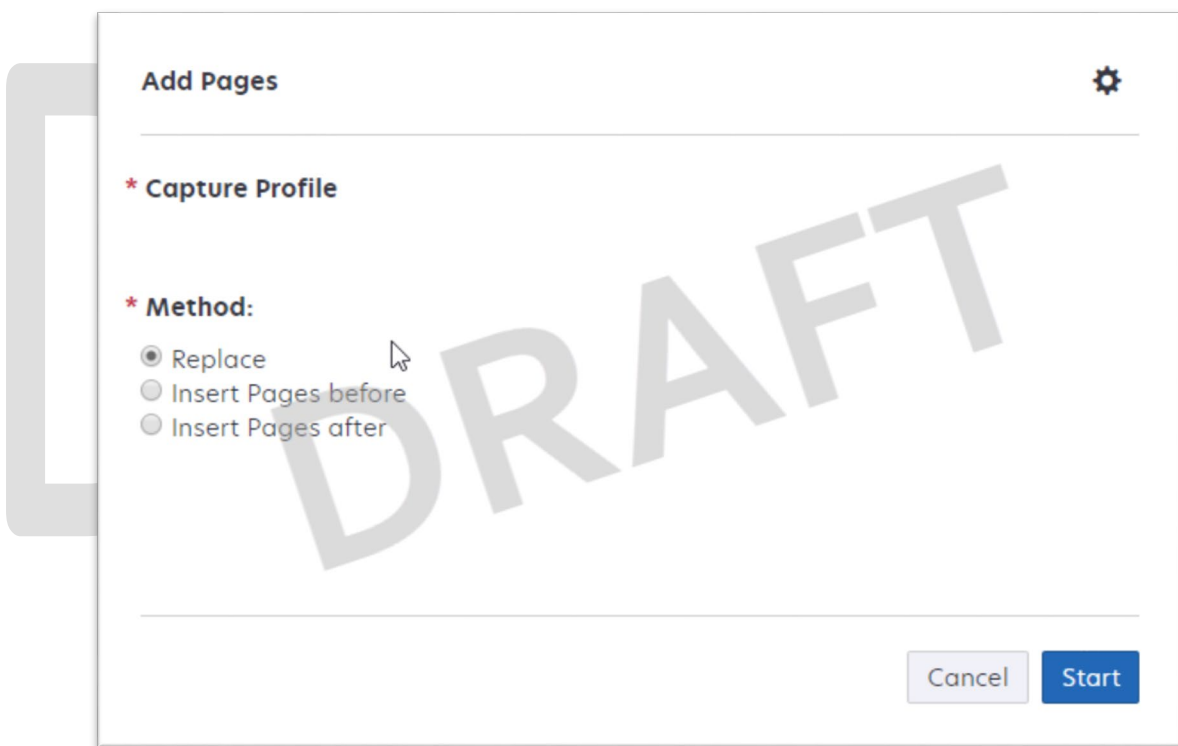
Figure 2.5.5.1 – Rescan/Capture Mockup

Figure 2.5.5.2 – Add Pages Mockup

3 REQUIREMENTS

3.1 Migration Requirements

DDID #	REQUIREMENT TEXT	Contractor Assumptions	How Requirement Met
2242	The CONTRACTOR shall create the following core capture and indexing scan modes in the imaging solution: 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 3) Multi-case - Used to capture multiple documents from different cases	• Single Case capture mode will be addressed in CA-214030 (Capture Single and Barcode Detection) • Virtual Print capture mode will be addressed in CA-218192 (Virtual Capture)	• Configure Multi-Case capture mode in Experience to allow for the scanning of both barcoded, and non-barcoded documents into the Imaging Solution • Enable Virtual Printer to be used for importing non-barcoded documents into the Imaging Solution without the need to print out documents/pages first
2500	The CONTRACTOR shall 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: 3a) Mark the document as received 3b) Mark Eligibility as complete 3c) 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	• Confidentiality, and the security driving these options will be implemented in a CA-214027 (Security) • Functionality behind these security driven options will be described in CA-214035 (Store Index Values) • Implementation of the third core scan mode "Single Case" is documented and implemented in CA-214030 (Capture Single and Barcode Detection)	• Configure the system to utilize the following flags during the scan processing: 1) Task Override 2) Program Selection 3) No Change SAR7/QR7 4) Person Override

DDID #	REQUIREMENT TEXT	Contractor Assumptions	How Requirement Met
2501	The CONTRACTOR shall ensure that the "Applicable Date" and "Received Date" fields are editable at point of capture otherwise they shall default to the capture date. The CONTRACTOR shall ensure that the "Batch Number" field is editable at point of capture otherwise it shall default to the unique system generated number.	• Implementation of the third core scan mode "Single Case" is documented and implemented in CA-214030 (Capture Single and Barcode Detection).	• Configure the scan modes to have the editable fields of "Applicable Date", "Received Date" and Batch Number at the time of scan.
2267	The CONTRACTOR shall enable drag and drop file upload functionality.		• Configure File Upload scan mode to allow the direct upload of non-barcoded documents into the Imaging Solution
2503	The CONTRACTOR shall configure the imaging solution to allow the following documents to act as separators for the capture and indexing multi-case scan mode and returned mail multi-case scan mode: 1) Cover Sheets - Will contain a barcode with a case number or a no case identifier 2) System Generated Barcoded Documents The CONTRACTOR shall configure the imaging solution to allow the optional use of generic separator sheets for all scan modes to assist in separating documents. The CONTRACTOR shall configure the imaging solution to allow the optional use of envelopes as separator sheets for the returned mail multi-case scan mode.	• The use of envelopes as separator sheets will be for the return mail multi-case scan mode • Implementation of single case scanning is documented and implemented in CA-214030 (Capture Single and Barcode Detection) • The identification of barcodes via Virtual Print will be performed with the aid advanced Optical Character Recognition, and is documented and implemented in CA-214048 (Categorize by OCR).	• Configure multi-case scan mode to allow the use of Cover Sheets and System Generated Barcoded Documents as separators of documents. • Optional use of the generic separator sheets (patch code sheets).

DDID #	REQUIREMENT TEXT	Contractor Assumptions	How Requirement Met
2204	The CONTRACTOR shall 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.	• No notifications will be generated for the "Other County Department" drawers	• Configure Other County Department Drawers scan modes to allow the scanning of documents into the Adoptions (AAP), Adult Aging Services (IHSS), Child Welfare Services (CWS), and Quality Assurance/Quality Control (QA/QC) drawers

DDID #	REQUIREMENT TEXT	Contractor Assumptions	How Requirement Met
2518	The CONTRACTOR shall 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	• Searching of documents will be implemented in CA-214035 (Store Index Values) • The implementation of drawers will be in CA-214035 (Store Index Values)	• Configure Other County Drawers scan modes to allow the scanning of documents into the Adoptions (AAP), Adult Aging Services (IHSS), Child Welfare Services (CWS), and Quality Assurance/Quality Control (QA/QC) drawers

DDID #	REQUIREMENT TEXT	Contractor Assumptions	How Requirement Met
2516	The CONTRACTOR shall 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	• Single case scanning is documented and implemented in CA-214030 (Capture Single and Barcode Detection) • The security rights driving these scan modes is documented and implemented in CA-214027 (Security) • The available indexing values are documented and implemented in CA-214035 (Store Index Values)	• Configure Virtual Printer to support scanning to SIU, Hearings, RDB, and Single Case Scan modes
2517	The CONTRACTOR shall 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	• Single case scanning is documented and implemented in CA-214030 (Capture Single and Barcode Detection) • The security rights driving these scan modes is documented and implemented in CA-214027 (Security) • The available indexing values are documented and implemented in CA-214035 (Store Index Values)	• Configure Virtual Printer to support scanning to SIU, Hearings, RDB, and Single Case Scan modes

DDID #	REQUIREMENT TEXT	Contractor Assumptions	How Requirement Met
2521	The CONTRACTOR shall 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	• Single case scanning is documented and implemented in CA-214030 (Capture Single and Barcode Detection) • The security rights driving these scan modes is documented and implemented in CA-214027 (Security) • The available indexing values are documented and implemented in CA-214035 (Store Index Values)	• Configure Virtual Printer to support scanning to SIU, Hearings, RDB, and Single Case Scan modes
2502	The CONTRACTOR shall ensure that the following scan modes attempt to locate a CalSAWS Software system generated barcode: 1) Capture and Indexing Single Case 2) Capture and Indexing Multi-Case 3) Capture and Indexing Virtual Print 4) Returned Mail The CONTRACTOR shall read the CalSAWS Software system generated imaging/tracking barcodes.	• Implementation of single case scanning is documented and implemented in CA-214030 (Capture Single and Barcode Detection) • The identification of barcodes via Virtual Print will be performed with the aid advanced Optical Character Recognition, and is documented and implemented in CA-214048 (Categorize by OCR). • Returned mail scanning mode is documented and implemented in CA-214061 (Returned Mail Scan Modes).	• Configure Multi-Case capture mode in Perceptive Experience to allow for the scanning of both barcoded, and non-barcoded documents into the Imaging Solution

DDID #	REQUIREMENT TEXT	Contractor Assumptions	How Requirement Met
2255	The CONTRACTOR shall configure the imaging solution to read a unique 2D barcode from all CalSAWS Software system generated forms. This barcode will contain the barcode number which is used to identify the document(s) metadata from the CalSAWS Software.	• The identification of barcodes via Virtual Print will be performed with the aid advanced Optical Character Recognition, and described in CA-214048 (Categorize by OCR).	• Configure Multi-Case capture mode in Perceptive Experience to allow for the scanning of both barcoded, and non-barcoded documents into the Imaging Solution

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4 APPENDIX

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