CalSAWS

California Statewide Automated Welfare System

Design Document

Multiple DDIDs

CA 214027 – Security and Auditing

	DOCUMENT APPROVAL HISTORY	
CalSAWS	Prepared By	Imaging Team
	Reviewed By	

DATE	DOCUMENT VERSION	REVISION DESCRIPTION	AUTHOR
6/04/2020	1.1	Added Confidential Reindex, and Confidential Exception security permissions	Chris Vasquez
6/11/2020	1.2	Added detail that functionality will be implemented at county go-live, removed "Imaging Program Selection" from matrix (Will be documented in CA-214060), and added Exporting to audited actions	Chris Vasquez
7/1/2020	1.3	Document Update - Added assumption to indicate that the rights refenced in this document will be updated in CalSAWS via SCR CA-214062, and removed redundant <drawer> monikers Matrix updated – Removed redundant annotation rights, removed unsupported characters from security right/group names, updated format to match developer templet	Chris Vasquez
9/10/2020	1.4	Updated "Imaging Annotation Owner" to read "Imaging Annotations", Updated Annotation Right Descriptions, Updated Confidential Case View/Search Descriptions	Chris Vasquez

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1 OVERVIEW

1.1 Requests

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.

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

The options available at point of scanning are implemented and documented in CA-214172 (Multi, Import, Virtual Capture) and 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

The SIU scan mode is implemented and 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

The Hearings scan mode is implemented and 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.

Other County Departments drawer and the corresponding scan modes are implemented and documented in CA-214172 (Multi, Import, Virtual Capture), and CA-214035 (Store Index Values).

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

Other County Departments drawer and the corresponding scan modes are implemented and documented in CA-214172 (Multi, Import, Virtual Capture), and CA-214035 (Store Index Values).

Per DDID 2519, configure the imaging solution to allow designated staff with the appropriate security rights to reindex the following metadata directly from the document and from a designated reindex queue:

1) Case Number

2) Case Name

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

The CONTRACTOR shall configure the imaging solution to allow the copy and splitting of images/documents.

The copy and split functionality and the reindex queue is implemented and documented 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 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

The RDB scan mode is implemented and documented in CA-214030 (Capture Single and Barcode Detection).

Per DDID 2523, provide configurable security rights that are maintained by county local security administrators within the CalSAWS Software with the following:

1) CalSAWS Software security rights will update the imaging solution during a nightly batch process

2) The No Change SAR7/QR7 override option will only be available to counties that have opted into this functionality

3) Up to 120 individual security rights will be provided as a part of the imaging solution

The batch job to update user security rights will be documented and implemented in subsequent SCR

Per DDID 2525, configure auditing for the 58 County imaging solution repository to record the following data points:

1) Indexing Value Change - User information for the person that made the change and the date the value was changed, history of previous values will be preserved.

2) Viewing Document - User information for the person that viewed the document and the date the document was viewed

3) Delete Document (soft delete) - User information for the person that deleted the document and the date the document was deleted

4) Searching - Retain user search criteria for a specified period of time

1.2   Overview of Recommendations

- Configure the Imaging Solution to record Indexing Value Changes, Viewing of Documents, Deletion of Documents, and Search Criteria datapoints for the purposes of auditing
- Configure security, and corresponding rights for viewing case and person level documents
- Configure security, and corresponding rights for point of scan options
- Configure the No Change SAR7/QR 7 override option to be available only to counties that have opted into this functionality
- Configure security, and corresponding rights for applying annotations to documents
- Configure security, and corresponding rights for SIU scan mode
- Configure security, and corresponding rights for Hearings scan mode
- Configure security, and corresponding rights for RDB scan mode
- Configure security, and corresponding rights for Other County Departments scanning modes
- Configure security, and corresponding rights for Reindexing
- Configure security, and corresponding rights for Confidential Cases

1.3 Assumptions

- Documentation of scan modes and routing of documents will not be addressed in this document
- The batch job to update user security rights will be documented and implemented in a subsequent SCR
- Imaging Reports and the security right required for those reports will be documented in a subsequent SCR
- Security rights will only be available when the county is enabled on the CalSAWS Imaging Solution
- Rights refenced in this document will be updated in CalSAWS via SCR CA-214062

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2 RECOMMENDATIONS

2.1 Configure Auditing

The imaging solution will be configured to record the following datapoints for the purposes of auditing, and retain auditing datapoints for a year:

- Indexing Value Change - User information for the person that made the change and the date the value was changed
- Viewing Document - User information for the person that viewed the document and the date the document was viewed
- Delete Document (soft delete) - User information for the person that deleted the document and the date the document was deleted
- Searching - Retain user search criteria
- Exporting – User information for the person that performed the export and the date the document was exported

2.2 Imaging Security

County imaging security rights are assigned based on a user's security role(s) and associated worker ID(s) within CalSAWS. By identifying the county that a worker ID is associated to, the corresponding county drawer, and office security permissions will be assigned, this remains true for county sub-drawers such as the <County> SIU drawer. In situations where a user name has multiple worker IDs, each ID will be granted the security rights that correspond to that user. For example, if a user has active worker IDs in two county offices, each worker ID will be granted the appropriate office level permissions that user has been assigned.

See the attached Imaging Security Matrix (Supporting Document #1) for the full list and descriptions of imaging security rights and groups within CalSAWS. Security rights will only be available when the county is enabled with the CalSAWS Imaging Solution.

2.2.1 Case or Person Drawer Viewing

Viewing rights within the Imaging Solution are synonymous with searching. A user granted a view right to a particular drawer will also be able to leverage the search functions tied to that drawer. For example, if a user is granted the "Imaging Search Case View" group permission, the user is able to access the search functions within the Imaging Solution for case level documents within their county.

2.2.2 Drawer View Dependent Permissions

Many imaging security rights require a user to have a corresponding drawer view right in order to access/leverage specific permissions. Below is a table depicting rights that are dependent on a corresponding drawer view right:

Drawer View Dependent Permissions
Imaging <Drawer> Export
Imaging Document Remove
Imaging Copy
Imaging Annotations Admin
Imaging Annotations ~~Owner~~
Imaging Reindex
Imaging Reindex All
Imaging Reindex Route

2.2.3 Case and Person Drawer Capture

Capture rights are assigned at a drawer level, with the exception of case and person level capturing. All documents at the point of capture are case level; once captured and submitted to the imaging system, advanced optical character recognition will be leveraged to identify the scope of a document.

2.2.4 Point of Scan Options

The following Point of Scan Options are documented in CA-214172 (Multi, Import, Virtual Capture), and CA-214035 (Store Index Values). Point of scan options are only populated to a user if the corresponding group permission has been assigned. The four security groups that drive these option's availability are as follows:

- Imaging Override No Change SAR7/QR7
- Imaging Person Scope Override
- Imaging No Task Creation Override
- Imaging Program Selection Override

2.2.5 Document Removal

The Imaging Solution supports a security driven "Soft Delete" functionality. Users with the "Imaging Document Remove" group permission and a corresponding drawer view permission can route documents to the "Document Removal Queue" this queue processes documents into a document removal drawer.

Documents remain in this drawer until the associated document's case falls out of the CalSAWS retention policy. Documents within the removal drawers are only accessible by users with the "Imaging Document Remove" group permission.

2.2.6 Copy/Split

The "Imaging Copy" group permission allows a user to copy or split documents within a workflow queue. This functionality is restricted to the county "Barcode Verification Queue", "Exception Queues", "No Case Queues", "Reindex", and "Person Select Queue". Documents that are not in workflow will need to be routed into a reindexing queue to be copied or split.

2.2.7 Export/Print

The "Imaging <Drawer> Export" group permission allows a user to export or print a document from the Imaging Solution. This functionality is not restricted to workflow queues and can be performed from within a displayed document.

2.2.8 Annotations ~~Owner~~

The "Imaging Annotations ~~Owner~~" permission allows users to create, ~~edit,~~ or ~~remove~~ hide annotations ~~that are created by the user~~. This can be performed on a document within the Imaging Solution regardless~~-~~ if the document is in a workflow queue or not.

2.2.9 Annotations Admin

The "Imaging Annotations Admin" permission allows users to create, edit, hide, or remove any annotations on a document~~, regardless of the user that created the annotation~~. This can be performed on a document within the Imaging Solution regardless if the document is in a workflow queue or not.

2.2.10 Exception Queues

The "Imaging Office Exception", and "Imaging County Exception" group permissions, enable users to access the corresponding "Barcode Verification", "No Case", and "Exception" queues. The office level permission, grants a user access to their corresponding office queues, and the county level permission will grant a user access to all of the office queues within their county.

Additionally Confidential exceptions are handled via Confidential Exception queues, these require the "Imaging County Confidential Exception" and "Imaging Office Confidential Exception" permissions for access to their corresponding queues.

2.2.11 Person Select Queue

The Person select queues are divided by either county or office by the "Imaging County Person Select" and the "Imaging Office Person Select" group permissions. Both queues allow access to the person select queue, where a person can be associated to a person level document. The differentiation between the two is whether the user can see only their office person select queue or the person select queue for the entire county.

2.3   County/Office Supervisor Security

These advanced user group permissions in the imaging solution allow access and route functionality to documents within the no case, person select, barcode verification, and exception queues. Based on whether the county or office supervisor right is applied, will determine if the user has access to the end users county or only the office in their county they are part of.

2.4   SIU, Hearings, RDB Drawer Security

SIU, Hearings, and RDB drawers are all controlled by specific security rights related to each drawer. Group permissions that can be chosen for these drawers are: Annotations Admin, Annotations Owner, Capture, Export, and View. In order to access one of these drawers, a user must have at least the view right of the corresponding drawer (i.e. Imaging SIU View grant access to view documents in the SIU drawer). Specifics for each group can be found on the Groups Descriptions tab of the Security Matrix supporting document.

2.5   Other County Departments Security

The following four "Other County Department" drawers will all have the same group permissions that cover access and functionality. These drawers are Adult Aging Services (AAS), Adoptions, Child Welfare Services (CWS) and Quality Assurance/Quality Control (QA/QC). All four drawers will have: Annotations Admin, Annotations Owner, Capture, Export, and View. Specifics for each group can be found on the Groups Descriptions tab of the Security Matrix supporting document.

As a deprecated queue, the Merced PG/PA will only have: Annotations, Export, and View group permissions.

2.6   Reindex/Reindex All/Reindex Route Security

These rights are used by workers to interact with documents that have been indexed incorrectly or need to be otherwise modified for some reason. For specific information on Reindexing documents refer to section 2.1.5 of the Environment Workflow Configuration design document (CA-214058).

2.6.1 Reindex Route

This group permission allows users to route documents to the reindex queue; it does not give them the right to access documents within the reindexing queues.

2.6.2 Reindex

This group permission allows users access to the "Reindex" queue and the ability to reindex all metadata that is editable, <u>excluding</u> case name and case number.

Reindexing of confidential documents is done via the Confidential Reindex Queue, access to this queue is tied to the "Imaging Confidential Reindex" permission.

2.6.3 Reindex All

This group permission allows users access to the "Reindex All" queue. In this queue, users have the ability to reindex all metadata that is editable, <u>including</u> case name and case number.

Reindexing of confidential documents is done via the Confidential Reindex All Queue, access to this queue is tied to the "Imaging Confidential Reindex All" permission.

2.7 Confidential Security

Confidential case documents are stored in separate "drawers" within each county, separated from non-confidential documents. To access documents within the confidential drawers, users can retrieve documents via one of the two following methods.

2.7.1 Access via Case Page

Users with access to a Case Page within CalSAWS <u>will require</u> ~~and~~ "Imaging ~~View CaseConfidential View~~<u>Confidential View</u>"<u>, and "Imaging Search Case"</u> ~~are assumed to have necessary~~ security permissions to view case information, and case documents. By clicking the "Image" buttons on case pages within the CalSAWS application, users can retrieve confidential case documents from the confidential drawers within the Imaging Solution.

2.7.2 Access via Search

The second method to accessing confidential documents is via searches performed in the Imaging Solution. In order for a user to have access to a confidential drawer search, the user must have both the "Imaging ~~View~~ <u>Search</u> Case", and the "Imaging Confidential Search" security group permission.

3   REQUIREMENTS

3.1   Migration Requirements

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.	• Documentation of scan modes and routing of documents will not be addressed in this document	• Configure security, and corresponding rights for Other County Departments scanning modes

DDID #	REQUIREMENT TEXT	Contractor Assumptions	How Requirement Met
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	• Documentation of scan modes and routing of documents will not be addressed in this document	• Configure security, and corresponding rights for point of scan options

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	• Documentation of scan modes and routing of documents will not be addressed in this document	• Configure security, and corresponding rights for SIU scan mode

DDID #	REQUIREMENT TEXT	Contractor Assumptions	How Requirement Met
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	• Documentation of scan modes and routing of documents will not be addressed in this document	• Configure security, and corresponding rights for Hearings scan mode

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	• Documentation of scan modes and routing of documents will not be addressed in this document	• Configure security, and corresponding rights for Other County Departments scanning modes

DDID #	REQUIREMENT TEXT	Contractor Assumptions	How Requirement Met
2519	The CONTRACTOR shall configure the imaging solution to allow designated staff with the appropriate security rights to reindex the following metadata directly from the document and from a designated reindex queue: 1) Case Number 2) Case Name 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 The CONTRACTOR shall configure the imaging solution to allow the copy and splitting of images/documents.	• Documentation of scan modes and routing of documents will not be addressed in this document	• Configure security, and corresponding rights for Reindexing
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	• Documentation of scan modes and routing of documents will not be addressed in this document	• Configure security, and corresponding rights for RDB scan mode

DDID #	REQUIREMENT TEXT	Contractor Assumptions	How Requirement Met
2523	The CONTRACTOR shall provide configurable security rights that are maintained by county local security administrators within the CalSAWS Software with the following: 1) CalSAWS Software security rights will update the imaging solution during a nightly batch process 2) The No Change SAR7/QR7 override option will only be available to counties that have opted into this functionality 3) Up to 120 individual security rights will be provided as a part of the imaging solution	• The batch job to update user security rights will be documented and implemented in subsequent SCR	• Configure security, and corresponding rights for point of scan options • Configure the No Change SAR7/QR 7 override option to be available only to counties that have opted into this functionality • Configure security, and corresponding rights for applying annotations to documents • Configure security, and corresponding rights for Confidential Cases
2525	The CONTRACTOR shall configure auditing for the 58 County imaging solution repository to record the following data points: 1) Indexing Value Change - User information for the person that made the change and the date the value was changed, history of previous values will be preserved. 2) Viewing Document - User information for the person that viewed the document and the date the document was viewed 3) Delete Document (soft delete) - User information for the person that deleted the document and the date the document was deleted 4) Searching - Retain user search criteria for a specified period of time.		• Configure the Imaging Solution to record Indexing Value Changes, Viewing of Documents, Deletion of Documents, and Search Criteria datapoints for the purposes of auditing

4 SUPPORTING DOCUMENTS

Number	Functional Area	Description	Attachment
1	Security	Imaging Security Matrix	Imaging Security Matrix

DRAFT

CalSAWS

California Statewide Automated Welfare System

DRAFT

Design Document

Multiple DDIDs

CA 214030 – Capture Single and Barcode Detection

	DOCUMENT APPROVAL HISTORY	
CalSAWS	Prepared By	Imaging Team
	Reviewed By	

DATE	DOCUMENT VERSION	REVISION DESCRIPTION	AUTHOR
5/19/2020	1.1	Added Ignore Barcode Scan Mode	Chris Vasquez
6/5/2020	1.2	Update popup dimensions to indicate width and height. Clarified that security right will not be enabled in this SCR (a subsequent SCR at Go-Live will enable the right).	Chris Vasquez
6/8/2020	1.3	App Dev Design of webservices moved to CA-214060 to increase detail of design. Removed subsequent SCR assumption for capture button.	Chris Vasquez
9/20/2020	1.4	Changed "Exception Routing" label to "Origin"	Chris Vasquez

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1 OVERVIEW

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

Implementation of the Virtual Print, and Multi-case scan mode is documented in CA 214172.

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.

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

The security driving these option will be documented and implemented 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

Marking time sensitive documents received and routing rules will be documented and implemented in CA-214027 (Security and Auditing).

Per DDID 2516, create a 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'

Additionally, enable the following scan modes for SIU:

    1)   Single Case - Used for capturing one or more documents for a single case

Implementation of the Virtual Print scan mode is documented in CA-214172. The security driving these modes will be documented and implemented in CA-214027 (Security and Auditing).

Per DDID 2517, a 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

Additionally, enable the following scan modes for Hearings:

    1)   Single Case - Used for capturing one or more documents for a single case

Implementation of the Virtual Print scan mode is documented in CA 214172. The security driving these modes will be documented and implemented in CA-214027 (Security and Auditing).

Per DDID 2521, create a 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

Additionally, enable the following scan modes for RDB:

   1) Single Case - Used for capturing one or more documents for a single case

Implementation of the Virtual Print scan mode is documented in CA 214172. The security driving these modes will be documented and implemented in CA-214027 (Security and Auditing).

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.

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.

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 the Returned Mail scan mode will be documented and implemented in CA-214061 (Returned Mail Scan Modes). Multi-Case, and Virtual Print scan modes are documented in CA-214172.

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.

Multi-Case scan mode is documented in CA-214172, and the returned mail scan mode will be documented and implemented in CA-214061 (Returned Mail Scan Modes). Single case scan modes will not allow the use of envelopes as separators.

1.2 Overview of Recommendations

- Configure the use of a Capture button on the Case Summary screen to launch the "Single Case" capture mode
- Configure the Imaging Solution to perform a webservice call to the CalSAWS system to obtain case information
- Configure Special Investigations Unit (SIU) scan mode to allow the scanning of documents into the county Special Investigations Unit (SIU) drawer
- Configure Hearings scan mode to allow the scanning of documents into the county Hearings drawer
- Configure Resource Data Bank (RDB) scan mode to allow the scanning of documents into the county Resource Data Bank (RDB) drawer
- Configure the Imaging Solution to locate a 2D barcode at the point of scan leveraging hardware (Scanning Device) detection
- Configure the Imaging Solution to store and detect barcodes in a "Barcode" metadata field
- Configure Task Override, Program Selection, No Change SAR7/QR7 options to be available at the point of capture
- Configure all scan mode to allow the optional use of the generic separator sheets (patch code sheets) to separate documents

1.3 Assumptions

- Security driving these scan modes will be documented and implemented in CA-214027 (Security and Auditing)
- The Implementation of Multi-Case, and Virtual Printer scan modes is documented in CA 214172 (Multi, Import, Virtual Capture)
- Marking time sensitive documents received and routing rules will be implemented in CA-214035 (Store Index Values)
- Configure the scan modes to have the editable fields of "Applicable Date", "Received Date" and "Bundle ID" at the time of scan
- The Bundle ID will represent the Batch Number referenced in DDID 2501
- Multi-Case scan mode is documented in CA-214172 (Multi, Import, Virtual Capture)
- Returned Mail scan modes will be implemented in CA-214061 (Returned Mail Scan Modes)
- Single case scan modes will not allow the use of envelopes as separators
- Details surround routing of documents with or without a valid barcode are documented in CA-214058 (Environment Workflow Configuration)
- Coversheets are intended for multi-case scan modes
- 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)
- Referenced webservice calls will be documented in CA-214060

- This feature and corresponding security right will only be available when the county is enabled on the CalSAWS Imaging Solution.

DRAFT

2 RECOMMENDATIONS

2.1 Configure CalSAWS Capture Button

2.1.1 Overview

Update the Case Summary page in the CalSAWS System. Add a Capture button to the Case Summary page in order to initiate single case scan mode.

2.1.2 Case Summary Mockup
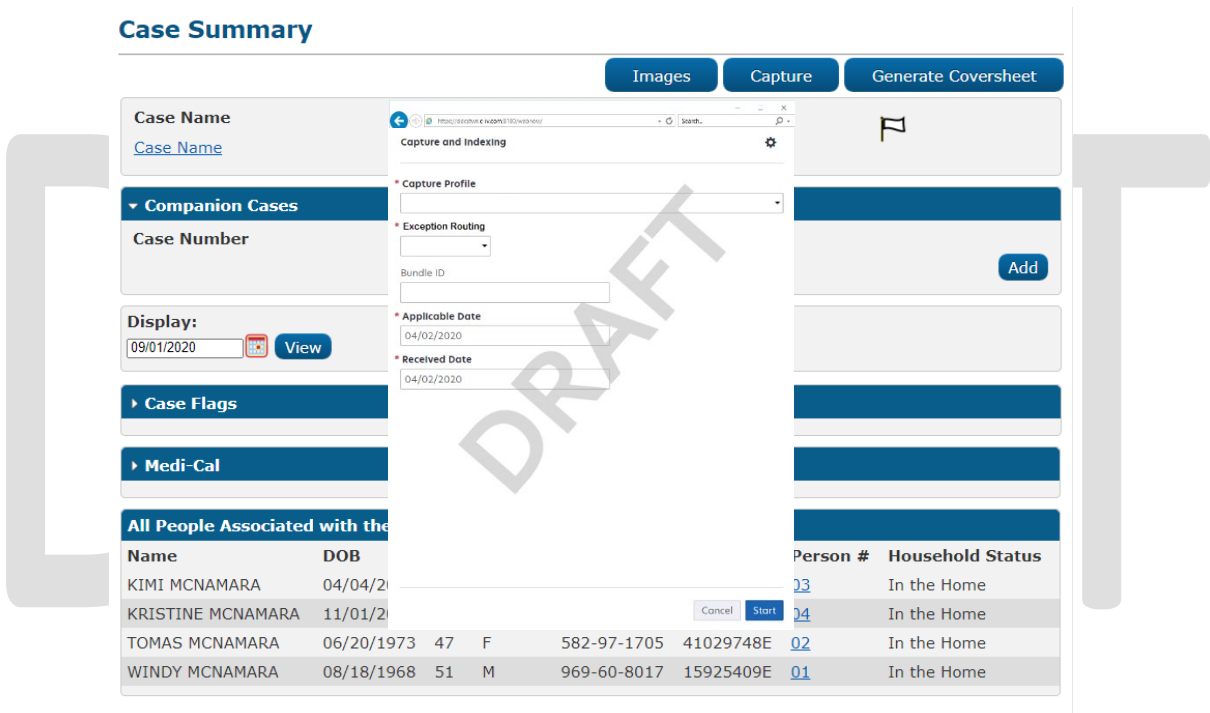
Figure 2.1.2.1 – Case Summary (Capture Button)

2.1.3 Description of Changes

Capture Button – Clicking on the capture button invokes a pop-up that will display capture options for imaging (Perceptive Experience).The dimensions for this pop up are: 850 pixels tall by 1500 pixels wide. This pop up will be resizable and the user can only open one at a time. In order to view this button, the user must have the ImagingCapture security right and the ability to see the case information. This feature and corresponding security right will only be available when the county is enabled on the CalSAWS Imaging Solution.

2.1.4 Page Location

Global: Case Info
Local: Case Summary
Task: NA

2.1.5 Security Updates

Security Rights

Security Right	Right Description	Right to Group Mapping
ImagingCapture	The ability to capture images for the case that the user is on.	Imaging Capture

Security Groups

Security Group	Group Description	Group to Role Mapping
Imaging Capture	Gives the user the ability to capture documents for the case they are on.	Child Care Supervisor, Clerical Supervisor, Eligibility Staff, Employment Services Contracted Staff, Employment Services Supervisor, Fiscal Supervisor, Hearings Supervisor, Special Investigations Supervisor, Clerical Staff, Eligibility Supervisor, System Administrator

2.1.6 Page Mapping

Add page mapping for the Case Summary page.

2.1.7 Page Usage/Data Volume Impacts

An expected volume usage of this button is 4,500,000 clicks per month.

2.2 Single Case Capture Mode

2.2.1 Imaging URL Handling

By selecting the capture button on the Case Summary screen of the CalSAWS application, the Imaging Service will be invoked. During this process, the "Get Case Info" webservice call will be performed, caching case context from CalSAWS in preparation for the scanning process. Details of Get Case Info webservice call will be documented in CA-214060.

2.2.2 Document Preparation

Documents scanned using the single case scan mode, should be arranged with the following expectations:

- Separation between individual documents may be indicated by one of the following separator options:
  o A generic separator sheet (patch sheet)
  o A new document containing a CalSAWS generated barcode

2.2.3 Capture Screen

Once the Perceptive Experience screen has been opened the user will be presented with the following capture options:

- ~~Exception Routing~~Origin
  o User modifiable
  o A dropdown populated based off of exception queue configurations documented in CA- 214058 (Environment Workflow Configuration)
  o Defaults to last selected value user select, and stored in the cloud
- Bundle ID
  o User modifiable
  o An optional batch scan identifier
  o 50 Alpha-Numeric Character Limit
  o This field will default to a system generated number
- Applicable Date
  o User modifiable
  o The date that the documents are applicable to
  o This field will default to the scanning date
- Received Date
  o User modifiable
  o The date that the documents were received on
  o This field will default to the scanning date

Figure 2.2.3.1 – Capture Mockup

Once the user has finished updating the desired fields, and the documents have been properly loaded into the scanner, the user selects "Start" to initiate the scanning process.

2.2.4 Scanning Status Screen

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. Upon upload completion, the user will select "Open Batch".

Figure 2.2.4.1 – Status Mockup

2.2.5 Barcoded Documents

In the Single Case scan mode, the CalSAWS Imaging Solution will attempt to locate a barcode. This will be configured to occur at the point of scan, and utilize hardware (Scanning Device) driven barcode detection. The specifics around the barcode used for this process are outlined in CA 214033 (Categorize Document by System Barcode).

Upon upload of the images from the scanning device, the detected barcode information will be assigned as metadata to the imaging system. This value will be stored on a page by page basis in the barcode field within the properties of each page grouping. Users will need to verify barcode numbers captured, match barcodes on the images.

Figure 2.2.5.1 – Barcode Field Mockup

2.2.6 Non-Barcoded Documents

Non-Barcoded documents will retain the cached values from the Get Case Info webservice call. All non-barcoded documents will be assigned the case name, case number, case UID, county code, active program list, and confidentiality level from that call.

2.2.7 Specialty Flags 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. 2.2.8.1). The user will be presented with a "Add Pages" dialog to replace, or add pages before/after the currently selected document (Fig. 2.2.8.2). The scanning user will need to set specialty flags on all documents, both barcoded and non-barcoded - if desired. (Note: security rights driving these flags are documented in CA- 214027 (Security and Auditing))

- Task Override
    - Ignore task configuration, no task will be created
- Person Override
    - Prevent a person level document from being indexed to a person, and instead, index the document to case level
- Program Selection
    - Select a specific program for the task to be generated for
- No Change SAR 7/QR 7
    - Will prompt the CalSAWS Software to do the following:

- Mark the document as received
- Perform needed steps to update the eligibility (Details of this will be described in a subsequent SCR)
- Ignore task configuration, no task will be created

To finalize the scan, the user will select "Submit".
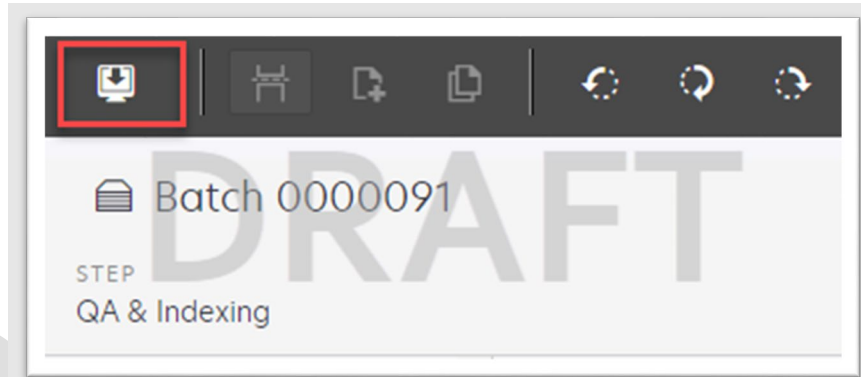
Figure 2.2.8.1 – Rescan/Capture Mockup
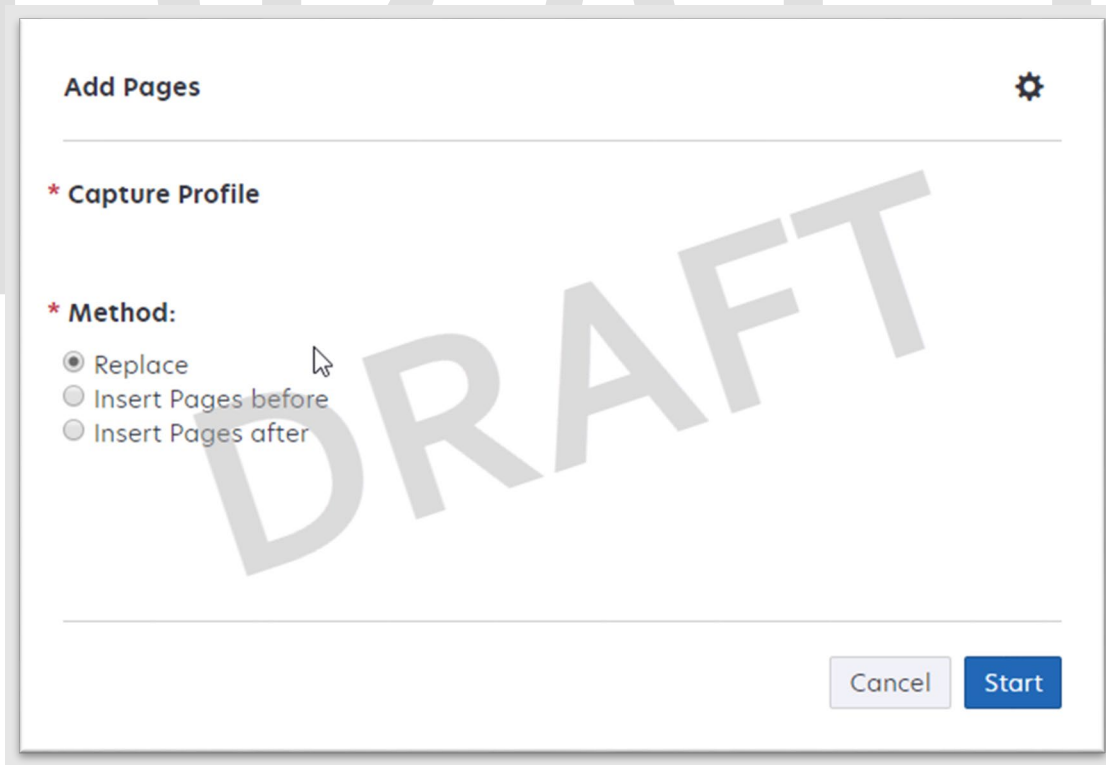
Figure 2.2.8.2 – Add Pages Mockup

2.3 Special Investigation Unit (SIU) Scan Mode

2.3.1 Overview

Cases pertaining to "Special Investigations Unit" or "Fraud" will utilize the SIU capture mode to scan documents into the County SIU Drawer. To invoke SIU scan mode, the users will navigate into the Imaging Solution and select "Capture" from the toolbar.

Figure 2.3.1.1 – Capture Mockup

2.3.2 Document Preparation

Documents scanned using the SIU scan mode, 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 SIU from the list of available scan modes. The "~~Exception Routing~~Origin" dropdown will be populated based off of exception queue configurations to be documented and implemented 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 2.3.3.1 – 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 2.3.4.1 – 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. 2.3.5.1). The user will be presented with a "Add Pages" dialog to replace, or add pages before/after the currently selected document (Fig. 2.3.5.2). All documents scanned using this mode will be set to the documents type of "SIU Documents". Users will need to perform the following tasks (Fig. 2.3.5.3):

    a. Verify the quality of the scanned images are clear and undistorted
    b. Verify barcode numbers captured match barcodes on the images
    c. Verify the Applicable and Received Dates, updating as needed
    d. Separate the scan batch into individual documents
    e. Enter an optional "Investigations ID"
    f. Specify the following fields
          1. Case Number
          2. Form Name

For the SIU scan mode, the **Get Case Info** call will be performed leveraging the Case Number, entered by the user. If an invalid case number is provided, the user will not be able to finalize the scan. Details of Get Case Info webservice call will be documented in CA-214060. Once the user has verified that the returned case information matches the provided case number, the user will finalize the scan by selecting "Submit".

Figure 2.3.5.1 – Rescan/Capture Mockup
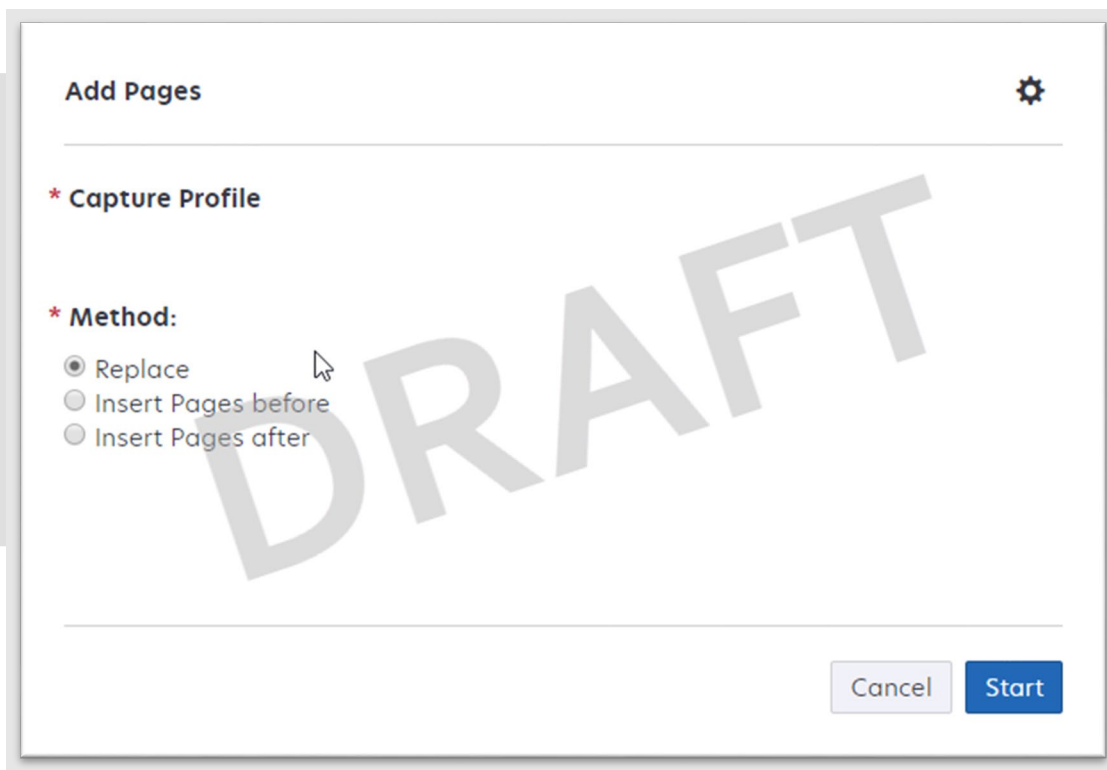
Figure 2.3.5.2 – Add Pages Mockup

Figure 2.3.5.3 – Properties Mockup

2.4 Hearings Scan Mode

2.4.1 Overview

"Hearings" capture mode is used to scan documents into the County Hearings Drawer of the Imaging Solution. To invoke "Hearings" scan mode, the user will navigate into the Imaging Solution and select "Capture" from the toolbar.
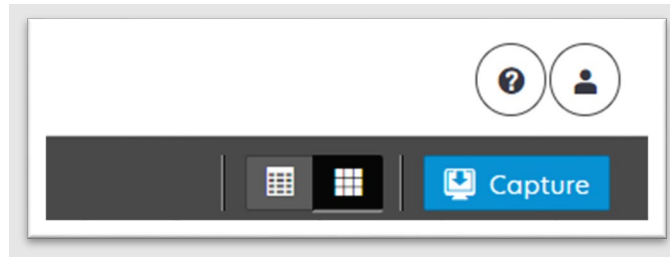

Figure 2.4.1.1 – Capture Mockup

2.4.2 Document Preparation

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

2.4.3 Initiating Scan

A dialog box will prompt the user to select Hearings from the list of available scan modes. The "~~Exception Routing~~Origin" dropdown will be populated based off of exception queue configurations to be documented and implemented 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".
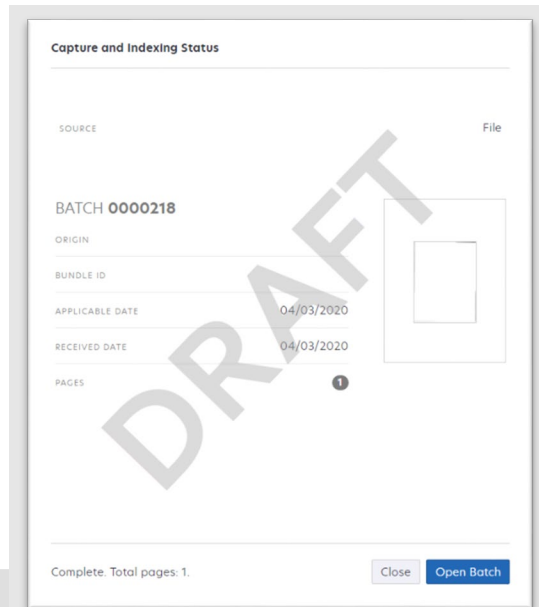

Figure 2.4.3.1 – Initiate Mockup

2.4.4 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 captured, the user will need to click the 'Open Batch' button in order to proceed to Quality Assurance and Finalization.
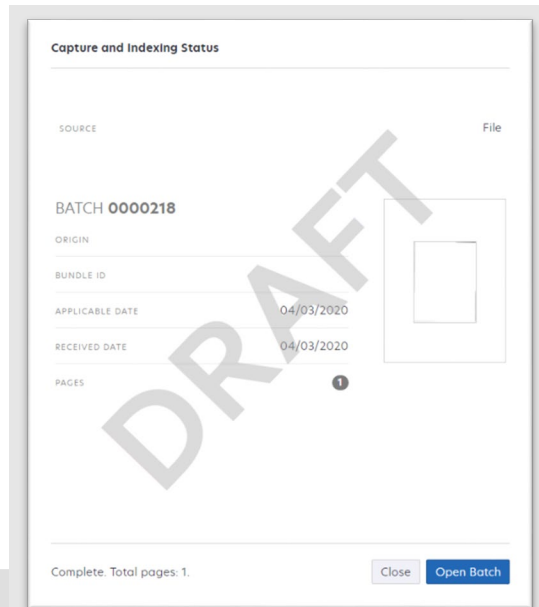
Figure 2.4.4.1 – Status Mockup

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. 2.4.5.1). 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). All documents scanned using this mode will be set to the documents type of "Court/Hearings Documents". Users will need to perform the following tasks (Fig. 2.4.5.3):

    a. Verify the quality of the scanned images are clear and undistorted
    b. Verify barcode numbers captured match barcodes on the images
    c. Verify the Applicable and Received Dates, updating as needed
    d. Separate the scan batch into individual documents
    e. Enter an optional "Hearings Number"
    f. Specify the following fields
          i. Case Number
          ii. Form Name

For the Hearings scan mode, the **<u>Get Case Info</u>** call will be performed leveraging the Case Number, entered by the user. If an invalid case number is provided, the user will not be able to finalize the scan. Details of Get Case Info webservice call will be documented in CA-214060. Once the user has verified that the returned case information matches the provided case number, the user will finalize the scan by selecting "Submit".
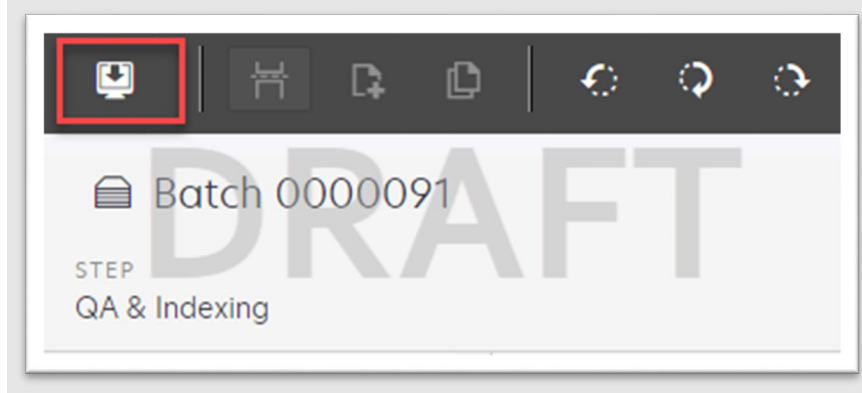
Figure 2.4.5.1 – Rescan/Capture Mockup

Figure 2.4.5.2 – Add Pages Mockup

Figure 2.4.5.3 – Properties Mockup

2.5 Resource Data Bank (RDB) Scan Mode

2.5.1 Overview

RDB capture mode is used to scan documents into the Resource Drawer of the Imaging Solution. To invoke RDB scan mode, the users will navigate into the Imaging Solution and select "Capture" from the toolbar.

Figure 2.5.1.1 – Capture Mockup

2.5.2 Document Preparation

Documents scanned using the RDB scan mode, may be arranged with the inclusion of generic separator sheets (patch sheets) to aid in document separation.

2.5.3 Initiating Scan

A dialog box will prompt the user to select RDB from the list of available scan modes. The "~~Exception Routing~~Origin" dropdown will be populated based off of exception queue configurations to be documented and implemented 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

2.5.4 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 2.5.4.1 – Status Mockup

2.5.5 Scan Quality Assurance and Finalization

Once scanning has completed, the user will be presented with a preview of the scanned documents. Users will need to verify the quality of the scanned images are clear and undistorted. Additionally within the RDB scan mode, users will need to verify that the resource ID and resource name match what is on the screen in CalSAWS. Finally, the user will need to select a document type to index the documents to then finalize the scan by selecting "Submit".

2.5.6 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. 2.5.6.1). The user will be presented with a "Add Pages" dialog to replace, or add pages before/after the currently selected document (Fig. 2.5.6.2).   Users will need to perform the following tasks (Fig. 2.5.6.3):

    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. Specify the following fields
        i.   Resource Number
        ii.   Form Name

For the RDB scan mode, a webservice call will be performed leveraging the Resource Number, entered by the user. If an invalid resource number is provided, the user will not be able to finalize the scan. Details of Get RDB Info webservice call will be documented in CA-214060. Once the user has verified that the returned resource information matches the provided resource number, the user will finalize the scan by selecting "Submit".
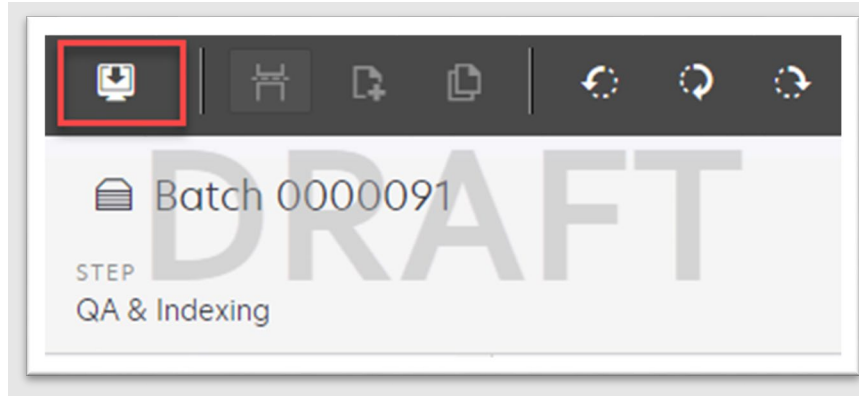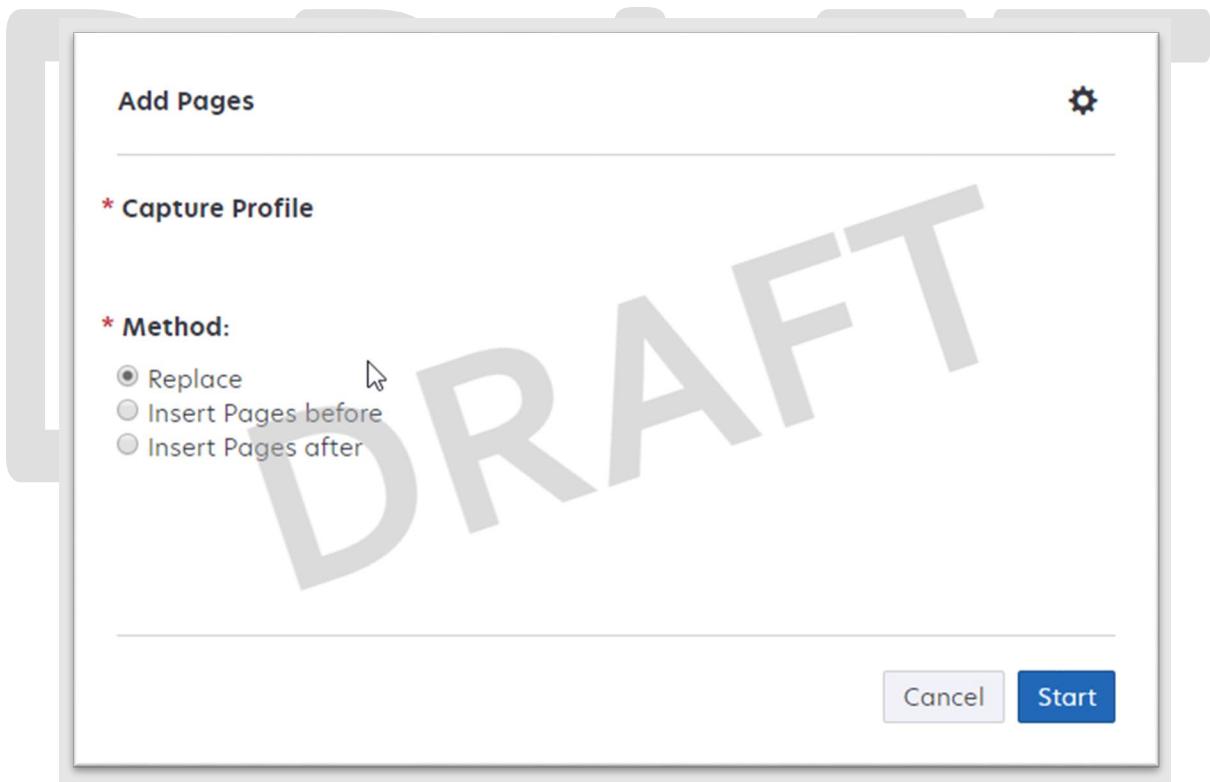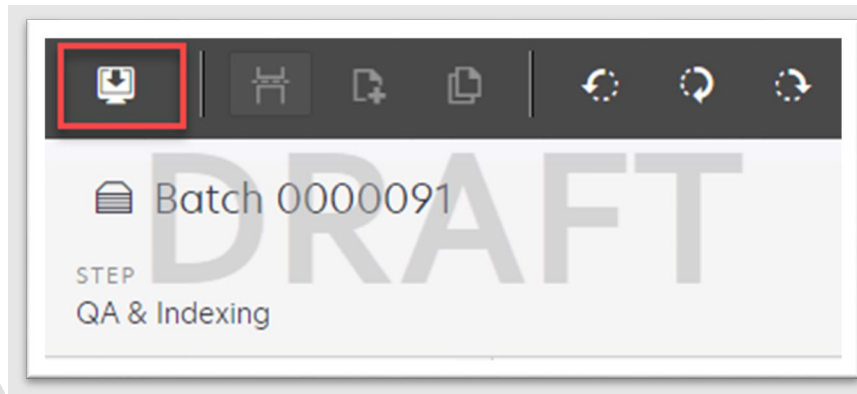

Figure 2.5.6.1 – Rescan/Capture Mockup
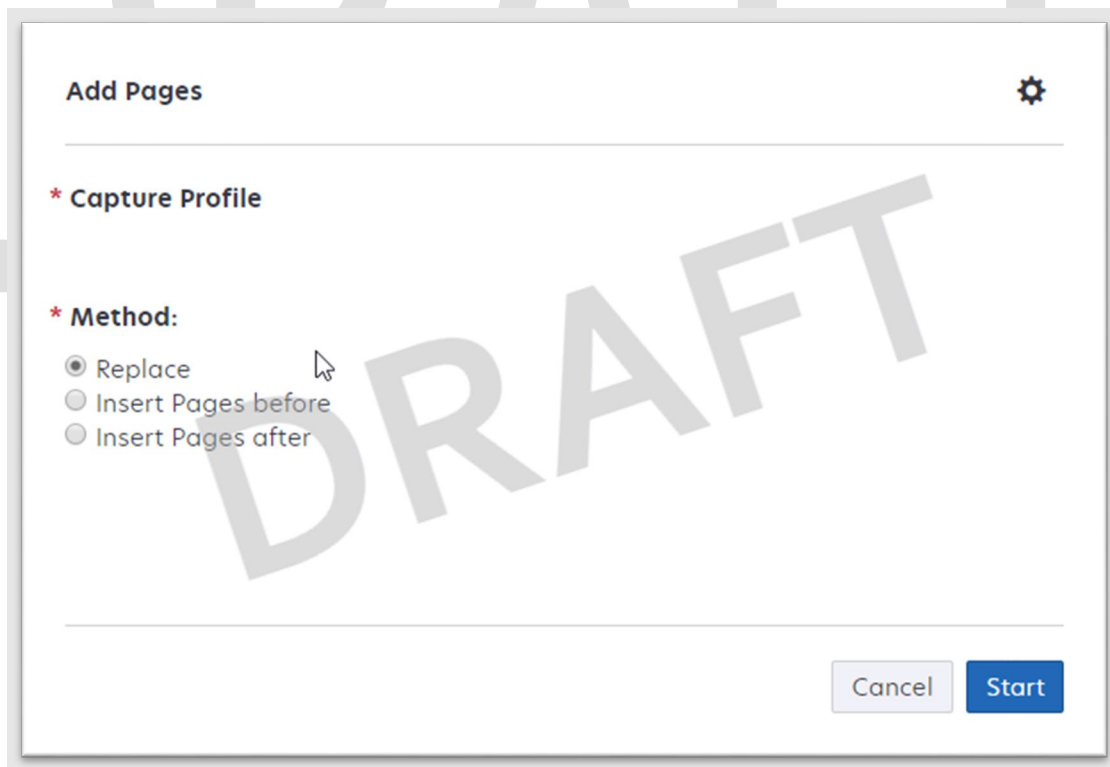
Figure 2.5.6.2 – Add Pages Mockup

Figure 2.5.6.3 – Properties Mockup

2.6 Ignore Barcode Scan Mode

2.6.1 Overview

In cases a user wants to scan a document with no barcode recognition enabled, the Ignore Barcode capture mode can be used. To invoke the Ignore Barcode scan mode, the users will navigate into the Imaging Solution and select "Capture" from the toolbar.
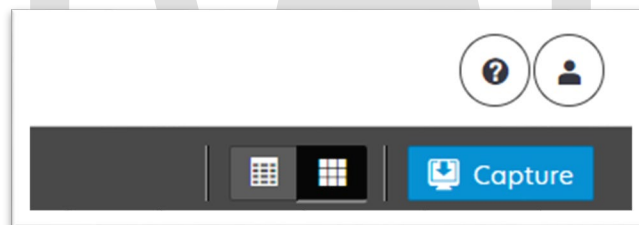
Figure 2.6.1.1 – Capture Mockup

2.6.2 Document Preparation

Documents scanned using the Ignore Barcode scan mode, may be arranged with the inclusion of generic separator sheets (patch sheets) to aid in document separation.

2.6.3 Initiating Scan

A dialog box will prompt the user to select Ignore Barcode from the list of available scan modes. The "~~Exception Routing~~Origin" dropdown will be populated based off of exception queue configurations to be documented and implemented 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 2.6.3.1 – Initiate Mockup

2.6.4 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.
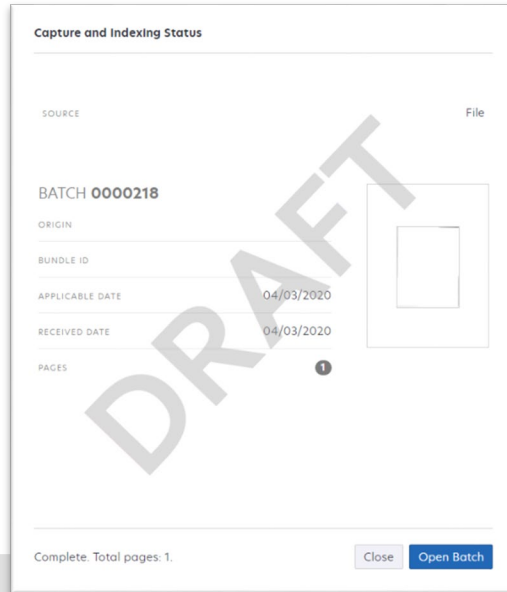
Figure 2.6.4.1 – Status Mockup

2.6.5 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. 2.6.5.1). The user will be presented with a "Add Pages" dialog to replace, or add pages before/after the currently selected document (Fig. 2.6.5.2).

a. The scanning user may set specialty flags on all desired documents . (Note: security rights driving these flags are documented in CA- 214027 (Security and Auditing))
    a. Task Override
    b. Person Override
    c. Program Selection
b. Verify the quality of the scanned images are clear and undistorted
c. Verify the Applicable and Received Dates, updating as needed
d. Separate the scan batch into individual documents
e. Specify the following field
    a. Case Number

For the Ignore Barcode scan mode, the **Get Case Info** call will be performed leveraging the Case Number, entered by the user. If an invalid case number is provided, the user will not be able to finalize the scan. The following values will be retained from the webservice call and applied as metadata to the document:

*   Case Name

- Case Unique ID

Once the user has verified that the returned case information matches the provided case number, the user will finalize the scan by selecting "Submit".
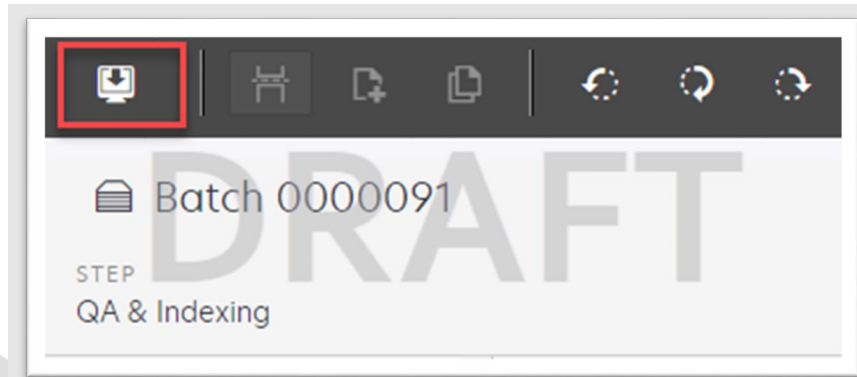
Figure 2.6.5.1 – Rescan/Capture Mockup
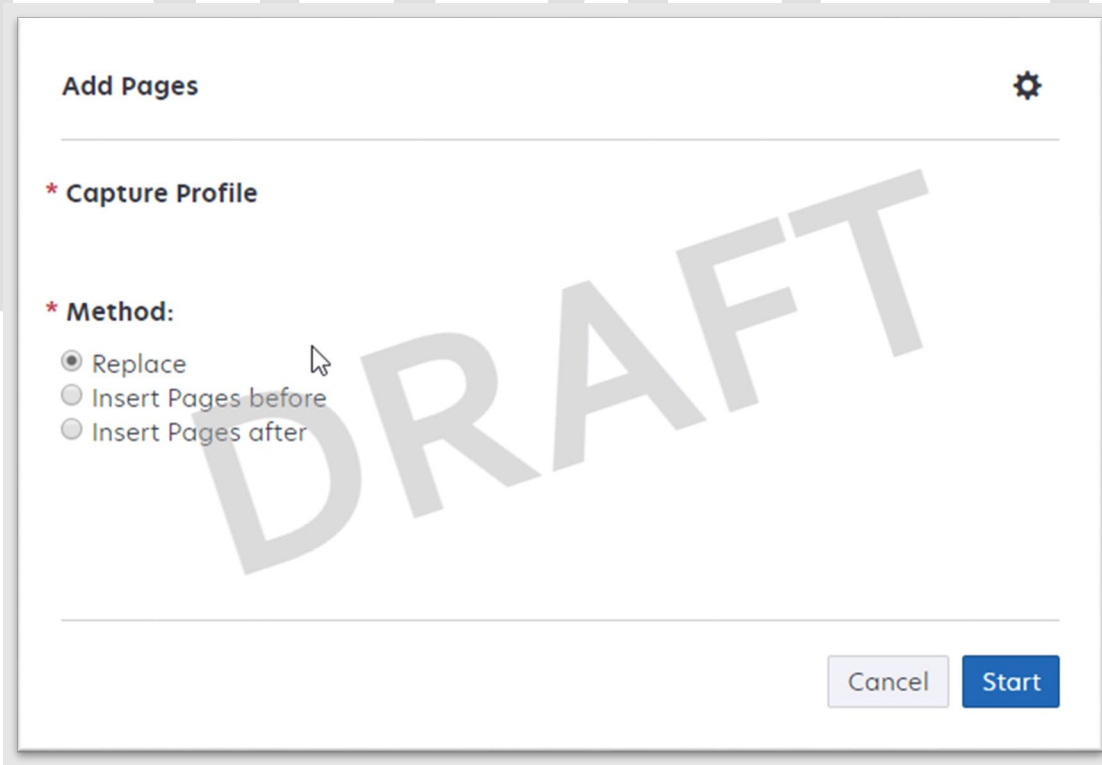
Figure 2.6.5.2 – Add Pages Mockup

Figure 2.6.5.3 – Properties Mockup

3   SUPPORTING DOCUMENTS

Number	Functional Area	Description	Attachment
1	Online Security	This is the security matrix for the capture button being added to the Case Summary page.	Online Security Matrix

DRAFT

4 REQUIREMENTS

4.1 Migration Requirements

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	• The security driving this mode will be documented and implemented in CA-214027 (Security).	• Configure Resource Data Bank (RDB) scan mode to allow the scanning of documents into the county Resource Data Bank (RDB) drawer
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	• The security driving this mode will be documented and implemented in CA-214027 (Security).	• Configure Special Investigations Unit (SIU) scan mode to allow the scanning of documents into the county Special Investigations Unit (SIU) drawer

DDID #	REQUIREMENT TEXT	Contractor Assumptions	How Requirement Met
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	• The security driving this mode will be documented and implemented in CA-214027 (Security).	• Configure Hearings scan mode to allow the scanning of documents into the county Hearings drawer
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	• Implementation of the Virtual Print, and Multi-case scan mode is documented in CA 214172.	• Configure Single Case capture mode in the Imaging Solution to allow for the scanning of both barcoded, and non-barcoded documents

DDID #	REQUIREMENT TEXT	Contractor Assumptions	How Requirement Met
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	• The security driving these option will be documented and implemented in CA-214027 (Security).	• Configure Task Override, Program Selection, No Change SAR7/QR7 options to be available at the point of capture
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.		• Configure the scan modes to have the editable fields of "Applicable Date", "Received Date" and "Bundle ID" at the time of scan

DDID #	REQUIREMENT TEXT	Contractor Assumptions	How Requirement Met
2198	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: 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	• Marking time sensitive documents received and routing rules will be in a subsequent SCR. • Implementation of the Virtual Print, and Multi-case scan mode is documented in CA 214172.	• Configure the Imaging Solution to perform a webservice call to the CalSAWS system to obtain case information
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.		• Configure the Imaging Solution to locate a 2D barcode at the point of scan leveraging hardware (Scanning Device) detection
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 the Returned Mail scan mode will be documented and implemented in CA-214061 (Returned Mail Scan Modes). • Implementation of the Virtual Print, and Multi-case scan mode is documented in CA 214172.	• Configure the Imaging Solution to locate a 2D barcode at the point of scan leveraging hardware (Scanning Device) detection

DDID #	REQUIREMENT TEXT	Contractor Assumptions	How Requirement Met
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.	• Multi-Case scan mode is documented in CA-214172, and the returned mail scan mode will be documented and implemented in CA-214061 (Returned Mail Scan Modes). • Single case scan modes will not allow the use of envelopes as separators. • Coversheets are intended for multi-case scan modes	• Configure all scan mode to allow the optional use of the generic separator sheets (patch code sheets) to separate documents

5 APPENDIX

DRAFT

CalSAWS

California Statewide Automated Welfare System

Design Document

Multiple DDIDs

CA-214035 – Store Index Values

	DOCUMENT APPROVAL HISTORY	
CalSAWS	Prepared By	Imaging Team
	Reviewed By	

DATE	DOCUMENT VERSION	REVISION DESCRIPTION	AUTHOR
6/03/2020	1.1	Added Document Type as Metadata, Documented Notes as Searchable, and Updated Advance Search	Chris Vasquez
6/30/2020	1.2	Added Date Assumption	Chris Vasquez
9/10/2020	1.3	Updated Metadata – Barcode and Form Number moved to Indexing Field, Applicable and Received Date moved to Custom Properties	Chris Vasquez
9/18/2020	1.4	Changed "Exception Routing" label to "Origin" and removed Hearings from the drawers that are indexed to Confidential – as Hearings already being restricted by security	Cory Wozniak

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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 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.
- Get Person Info Webservice, Get Override Flags Webservice, Get Form Info Webservice, Mark Document Received Webservice, Generate Document Task Webservice, will be detailed in a subsequent SCR
- Displayed dates within the Imaging Solution will be formatted as Month/Day/Year

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 uses 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
- Barcode~~Applicable Date~~
- Form Number~~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:

Applicable Date – Stores a 256 alpha-numeric value. Format of the date is MM/DD/YYYY. This mandatory field is populated by the user during capture, or during reindexing.

Received Date - Stores a 256 alpha-numeric value. Format of the date is MM/DD/YYYY. This mandatory field is populated by the user during capture, or during reindexing.

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 reindexing, or OCR via the~~ **~~Get Form Info~~** ~~call. This field is not~~ ~~directly editable by users.~~

Document Type - Stores a 256 alpha-numeric value. This mandatory field is automatically populated by the system via the **Get Barcode Info** call during capture, during reindexing, 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~~Origin – 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 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.

- 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 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).

2.3 System Drawers

2.3.1 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).

CalSAWS Imaging Solution
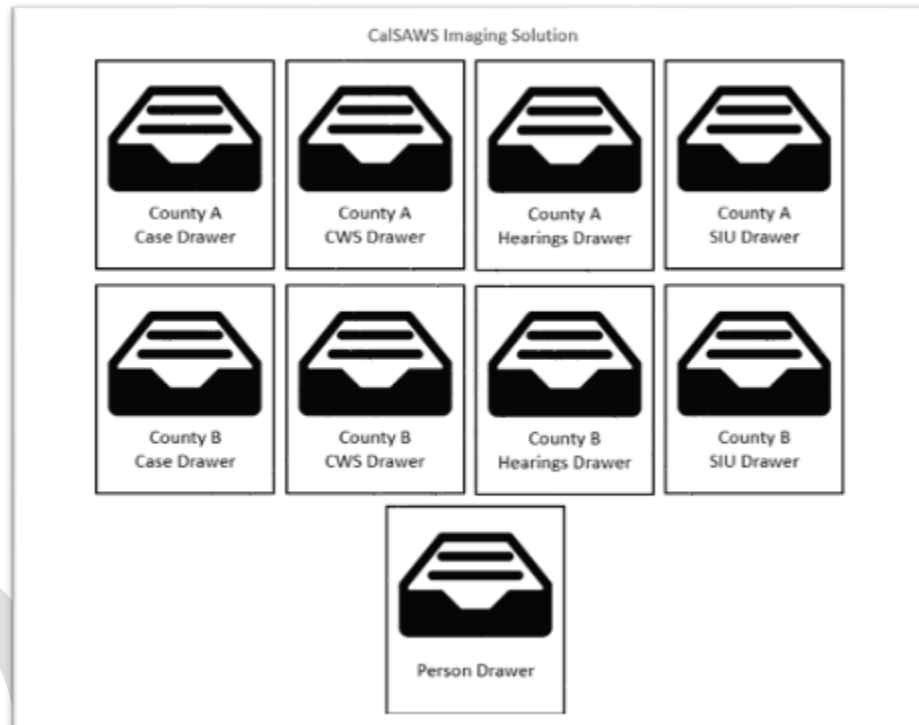
2.3.2 County Drawers

Drawer Naming Format: <County> Case

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

2.3.3 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.

2.3.4 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 manually indexed.

2.3.5 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 archived. IHSS drawer documents are manually indexed.

2.3.6   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 archived. CWS drawer documents are manually indexed.

2.3.7   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 archived. QAQC drawer documents are manually indexed.

2.3.8   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 archived. 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.

2.3.9   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 archived. SIU drawer documents are indexed at case level.

2.3.10 Hearings Drawers

Drawer Naming Format: <County> Hearings

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

2.3.11 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.

2.3.12 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.

2.3.13 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.

2.4 Document Retrieval

2.4.1 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.

2.4.2 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	• Case Number (User Numeric Input) • Drawer Name (Selectable List)
All Case Archived	Case by Date(s) Captured	• Case Number (User Numeric Input) • Capture Date Range

All Case Archived	Captured by User by Date(s)	• User Name (User Input) • Capture Date Range (Selectable List)
All Case Archived	Case Number by Document Type	• Case Number (User Numeric Input) • Document Type (Selectable List)
All Case Archived	Case Number by Form Name	• Case Number (User Numeric Input) • Form Name (Selectable List)
All Case Archived	Case Number by Form Number	• Case Number (User Numeric Input) • Form Number (Selectable List)
All Person Archived	Person by CIN	• Person CIN (User Input) • Restricted to Person Drawer
All Person Archived	Person by Date(s) Captured	• Person CIN (User Input) • Capture Date Range • Restricted to Person Drawer
All Person Archived	Captured by User by Date(s)	• User Name (User Input) • Capture Date Range (Selectable List) • Restricted to Person Drawer
All Person Archived	Person CIN by Document Type	• Person CIN (User Input) • Document Type (Selectable List) • Restricted to Person Drawer
All Person Archived	Person CIN by Form Name	• Person CIN (User Input) • Form Name (Selectable List) • Restricted to Person Drawer
All Person Archived	Person CIN by Form Number	• Person CIN (User Input) • Form Number (Selectable List) • Restricted to Person Drawer
Resource Data Bank	Resource by Number	• Resource Number (User Input) • Resource Drawer (Selectable List)
Resource Data Bank	Resource by Name	• Resource Name (User Input) • Resource Drawer (Selectable List)
Resource Data Bank	Resource by Number and Date	• Resource Number (User Numeric Input) • Capture Date Range

AAP	Case Number by Drawer	• Case Number (User Numeric Input) • Drawer Name (Selectable List)
AAP	Case Name by Drawer	• Case Name (User Input) • Case Drawer (Selectable List)
AAP	Case by Date(s) Captured	• Case Number (User Numeric Input) • Capture Date Range
IHSS	Case Number by Drawer	• Case Number (User Numeric Input) • Drawer Name (Selectable List)
IHSS	Case Name by Drawer	• Case Name (User Input) • Case Drawer (Selectable List)
IHSS	Case by Date(s) Captured	• Case Number (User Numeric Input) • Capture Date Range
CWS	Case Number by Drawer	• Case Number (User Numeric Input) • Drawer Name (Selectable List)
CWS	Case Name by Drawer	• Case Name (User Input) • Case Drawer (Selectable List)
CWS	Case by Date(s) Captured	• Case Number (User Numeric Input) • Capture Date Range
QA/QC	Case Number by Drawer	• Case Number (User Numeric Input) • Drawer Name (Selectable List)
QA/QC	Case Name by Drawer	• Case Name (User Input) • Case Drawer (Selectable List)
QA/QC	Case by Date(s) Captured	• Case Number (User Numeric Input) • Capture Date Range
SIU	Case Number by Drawer	• Case Number (User Numeric Input) • Drawer Name (Selectable List)
SIU	Case Name by Drawer	• Case Name (User Input) • Case Drawer (Selectable List)

SIU	Case by Date(s) Captured	• Case Number (User Numeric Input) • Capture Date Range
SIU	Investigation Number by Drawer	• Investigation Number • Case Drawer (Selectable List)
Hearings	Case Number by Drawer	• Case Number (User Numeric Input) • Drawer Name (Selectable List)
Hearings	Case Name by Drawer	• Case Name (User Input) • Case Drawer (Selectable List)
Hearings	Case by Date(s) Captured	• Case Number (User Numeric Input) • Capture Date Range
Hearings	Hearings Number by Drawer	• Hearings Number (User Input) • Case Drawer (Selectable List)
Confidential	Case Number by Drawer	• Case Number (User Numeric Input) • Drawer Name (Selectable List)
Confidential	Case Name by Drawer	• Case Name (User Input) • Case Drawer (Selectable List)
Confidential	Case by Date(s) Captured	• Case Number (User Numeric Input) • Capture Date Range

2.4.3 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 2.4.3.4), 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

(Figure 2.4.3.1)

- Field
  - All primary indexing fields, and custom properties are selectable for search. See sections 2.1 for the full list and descriptions of searchable fields.
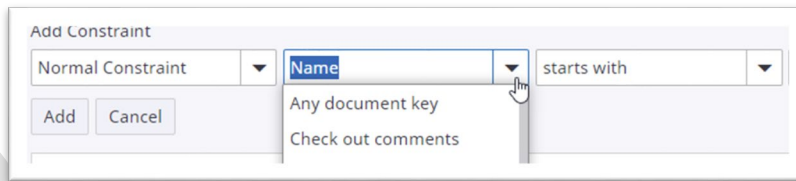
(Figure 2.4.3.2)

- Operator
  - This is a dynamic list of operators that varies based on the selected field.
  - Note: Searching of the notes field is limited to the following depicted (Figure 2.4.3.3) operators for performance reasons:
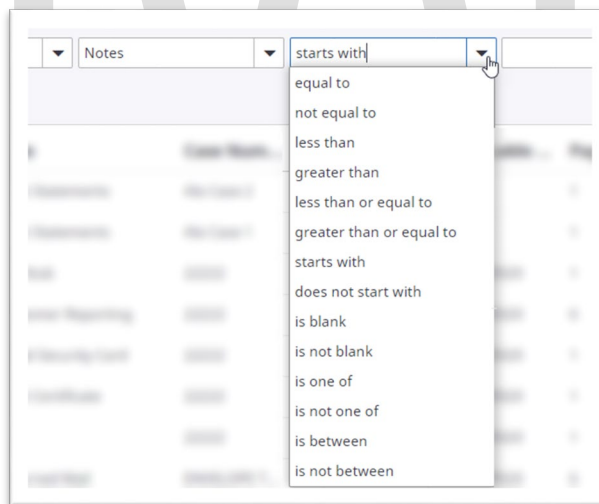
(Figure 2.4.3.3)

- Value
  - Value to constrain the search parameters to. This is an alpha-numeric value. No wildcard characters are accepted. Depending on the selected field, more guided user entry may apply. (i.e. date picker, user name selector)
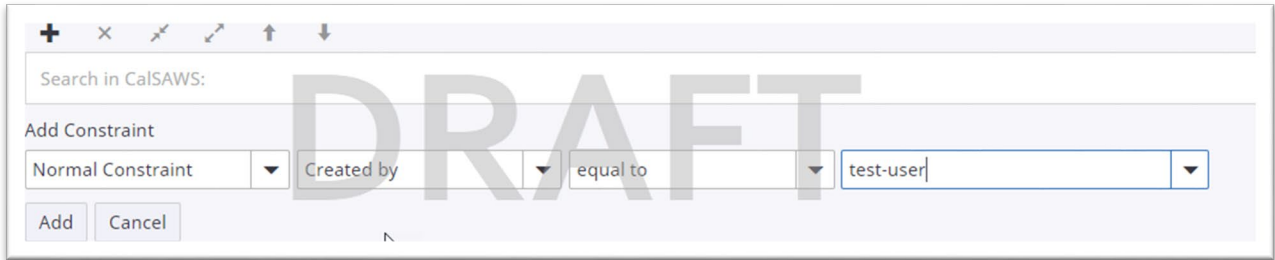
(Figure 2.4.3.4)

Multiple constraints 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 constraints of the search have been finalized, the user can select the "Search" button from the right side of the window to initiate the search.

2.4.4 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

4 REQUIREMENTS

4.1 Migration Requirements

DDID #	REQUIREMENT TEXT	Contractor Assumptions	How Requirement Met
2504	The CONTRACTOR shall 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		• Configure the Imaging Solution to perform a webservice call to generate a Task within the CalSAWS application based on document metadata
2505	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.	• The configuration of routing for person and case documents is documented in CA-214058 (Environment Workflow Configuration)	• 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	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: 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 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)	• 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
2199	The CONTRACTOR shall 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. 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.		• 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	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.	• Self-service portal, and mobile app functionality will be implemented and described in a subsequent SCR	• 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	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		• 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	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: 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	• Barcode Scanning is document in CA-214033 (Categorize Documents by System Barcode)	• 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	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 scan modes are documented in CA-214030 (Capture Single and Barcode Detection)	• 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	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 scan modes are documented in CA-214030 (Capture Single and Barcode Detection)	• 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
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 6. 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).	• Configure Pre-defined searches for document retrieval within the Imaging Solution • Configure Advanced searches for document retrieval within the Imaging Solution

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 scan modes are documented in CA-214030 (Capture Single and Barcode Detection)	• Configure the Imaging Solution to archive document scanned via the Resource Data Bank (RDB) to be archived to a county specific drawer
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.	• The Implementation of Multi-Case, and Virtual Printer, and Other County Departments scan modes is documented in CA-214172 (Multi, Virtual, Import Capture)	• 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

CalSAWS

California Statewide Automated Welfare System

DRAFT

Design Document

Multiple DDIDs

CA-214058 – Environment Workflow Configuration

	DOCUMENT APPROVAL HISTORY	
CalSAWS	Prepared By	Imaging Team
	Reviewed By	

DATE	DOCUMENT VERSION	REVISION DESCRIPTION	AUTHOR
5/26/2020	1.1	Modified routing of retuned mail to allow task generation	Chris Vasquez
6/04/2020	1.2	Added Confidential Reindex/All and Confidential Exception Queues and routing logic	Chris Vasquez
6/10/2020	1.3	Person Select Queue is broken out by office via ~~Exception Routing~~Origin	Chris Vasquez
9/18/2020	1.4	Changed "Exception Routing" label to "Origin" Added subsection 2.2.8 'Person Drawer Update'	Chris Vasquez

Table of Contents

1 OVERVIEW

1.1 Requests

Per DDID 2261, configure the imaging solution to permanently delete documents based on the approved CalSAWS Software document retention policies for all 58 Counties.

Per DDID 2515, enable Quality of Service to prioritize document capture processing to optimize performance.

Per DDID 2519, The CONTRACTOR shall configure the imaging solution to allow designated staff with the appropriate security rights to reindex the following metadata directly from the document and from a designated reindex queue:

1) Case Number
2) Case Name
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

The CONTRACTOR shall configure the imaging solution to allow the copy and splitting of images/documents.

Implementation of security rights will be implemented and 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
   a. Not applicable to multi-case scan mode
3) If the document is time sensitive (tracked), mark the document as received in the CalSAWS Software
   a. If the barcode is not recognized, time sensitive (tracked) documents are reviewed by designated staff to confirm the barcode

Implementation of barcode recognition is documented in CA- 214030 (Capture Single and Barcode Detection), and the corresponding lookups performed against CalSAWS are described in CA – 214035 (Store Index Values). Virtual Print will leverage advanced optical character recognition technology to capture barcode numbers, and is documented and implemented in CA- 214048 (Categorize by OCR)

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 with the document that does not meet the confidence thresholds will be sent to a quality assurance queue for review.
6) Designated staff will 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 documents is documented in CA- 214033 (Categorize Documents by System Barcode).

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 the county case drawers, and person drawer is documented in CA- 214035 (Store Index Values).

Per DDID 2522, create a single case and a multi-case scan mode for returned mail which will do the following:

1) Capture the envelope with the 'return to sender' information

2) Capture case information from single case mode, system generated document, or cover sheet.

3) Capture all documents for the same case as one document (including envelope) with the following metadata:

    a) Case Name
    b) Case Number
    c) Form Name
    d) Form Number

e) Applicable Date
f) Received Date
g) Document Type - All images/documents will have the value: 'Returned Mail'

4) Returned mail will not be marked as 'received' by the CalSAWS Software for the system generated time sensitive (tracked) documents.

Implementation of security will be documented in CA- 214027 (Security and Auditing). The corresponding scan mode is described in CA – 214061 (Returned Mail Scan Modes).

1.2   Overview of Recommendations

- Configure system and user workflow queues to govern the routing and updating of documents and the corresponding metadata and drawers
- Configure the Imaging Solution to allow the copy and splitting of images/documents
- Configure system queue routing rules
- Configure user queue routing options
- Configure the Imaging Solution to permanently delete documents based on webservice calls configured to identify cases and documents that fall out of the CalSAWS approved retention policy
- Configure the Imaging Solution to prioritize document capture processing to optimize performance

1.3   Assumptions

- Scan modes referenced in this document are described in the following documents CA- 214030 (Capture Single and Barcode Detection) and CA-214172 (Multi, Virtual, Import Capture).
- The configuration of the task override, program selection, no change SAR7/QR7, and person override flags are documented in CA – 214035 (Store Index Values).
- Security, and handling of confidential cases will be implemented in a CA – 214027 (Security and Auditing).
- Implementation of barcode recognition and the corresponding lookups performed on CalSAWS are described in CA – 214033 (Categorize Documents by System Barcode)
- Virtual Print will leverage advanced optical character recognition technology to capture barcode numbers, and is documented and implemented in CA- 214048 (Categorize by OCR)
- Referenced webservices are documented and implemented in CA-214060, and CA-214054

2 RECOMMENDATIONS

2.1 Workflow Queues

2.1.1 Overview

The Imaging Solution Workflow will allow Workers to manage, update and manipulate documents. Workflow offers a guided approach to modifying or updating document metadata (including Indexing Fields, Custom Properties, Document Types). A document that is in a workflow queue is pending finalization, and is modifiable. Once a document has been finalized by either a worker or system process, it is removed from workflow and considered 'archived' in the Imaging Solution for retrieval.

2.1.2 Workflow Start

This is a system queue that will route documents based on document metadata. System queue routing rules are described in section 2.2. Documents that are non-TIFF format will have a temporary TIFF version created to allow for OCR processing. This temporary copy will be removed, and the original non-TIFF document metadata will be updated after the OCR has completed processing.

2.1.3 OCR Processing

Documents with no barcode will be processed by the OCR Service. The OCR Service performs optical character recognition, classification, extraction and validation of data elements on the documents it processes. This process is performed in the background with the results appearing as automatic entry of metadata for the submitted document.
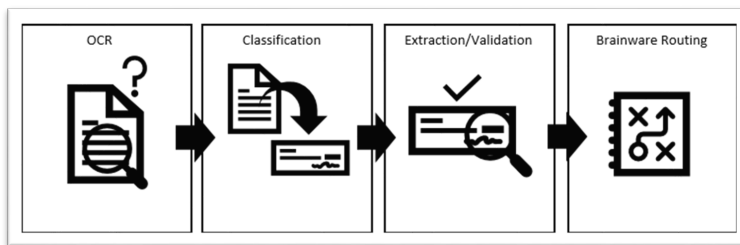
2.1.3.1 Optical Character Recognition (OCR)

The OCR process is similar to a person reading the document. The system extracts each letter, number and symbol along with position information such as which page, distance from the top, and left edge of the

document. This information is used to analyze each document in the subsequent processes.

2.1.3.2 Classification

The OCR Service attempts to classify or identify the form number/name of each document that it processes. Classes (Form Name/Number) for CalSAWS documents will be derived from the CalSAWS Barcode; Form Number located at the bottom left of a document; or identified as a Person Level document such as Birth Certificate, Earnings, Social Security Card, etc. In cases where the system cannot confidently assign categorical data of a document, it will set a metadata flag to indicate that the document should be queued for exception processing.

2.1.3.3 Data Extraction & Validation

Once Classification is completed by the OCR Service, the document goes through data extraction and validation. The OCR Service will attempt to extract information from the document and then leverage that information to perform validation by making use of the following web service calls; **Get Barcode Info** and **Get Form Info**.

In cases where extracted information does not pass validation or could not be extracted, the system will set a metadata flag to indicate that the document should be queued for exception processing.

2.1.3.4 OCR Service Routing

Once the OCR Service has finished OCR, Classification, Extraction and Validation it will route the document to the OCR Handling queue. The OCR Service routing process updates the document indexing values and metadata.

2.1.4 OCR Handling

This is a System queue that will route documents based on metadata. System routing rules are described in section 2.2.

2.1.5 Reindex / Full Reindex

The Reindex / Full Reindex queues are used for updating indexing values of documents that have been archived into the Imaging Solution. Archived documents can be routed to these queues by a user with the required reindex security privileges. Security rights will be documented and implemented in CA-214027 (Security and Infrastructure).

(Figure 2.1.5.1)

2.1.5.1 Copy/Split

From the reindex queues, users can leverage the copy/split functionality to split improperly appended documents, or create additional records of a document that may need to be associated to additional person(s) on a case.

2.1.5.2 Metadata Reindexing

Users with access to "Full Reindex" can use the case number field to initiate either the **Get Case Info** (Associate to Case tab (Figure 2.1.5.1)), or **Get Person Info** (Associate to Person tab (Figure 2.1.5.1)) call. Users with access to both "Full Reindex" and "Reindex", can also update the form name of a document. The form name selection field populates a dropdown of matching system form names based on user input. Finally, users can specify if a document belongs to a different county by updating the county code from within the properties pane.

Once a user has identified the desired case/person association, form name, applicable date, and received date, the document can be routed for archival with the updated metadata. Documents being routed to the Reindex / Full Reindex queues will leverage the **Get Form Info** call to update metadata. This call will update the Form Number, and Document Type based on the updated form name provided.

2.1.5.3 Other County Documents

Documents belonging to other counties can be routed by users with the required security rights to the Other County Documents queue. Based on the County code selected by the user, this process will move documents to that county's exception queue. Documents routed this way will have an indicating note appended to the metadata that the document was routed from a different county workflow.

2.1.5.4 Document Removal

Documents that have been captured/indexed in error can be removed from the system by users with the required security rights. To remove a document(s), users within the reindexing queue can route a document to the "Document Removal" queue. Further details regarding the "Document Removal" queue is documented in section 2.1.11 of this document.

2.1.5.5 Confidential Reindexing

Reindexing of documents belonging to a confidential case is done via the Confidential Reindex and Confidential Reindex All queues. These security driven queues function identically to the non-confidential reindexing queues. This separation ensures that only designated staff can be assigned specifically for the processing of confidential documents.

2.1.6 Exception

After documents are processed by the OCR Service, documents requiring additional verification/validation are sent to the county exceptions queues. At the point of scan if an "~~Exception Routing~~Origin" office number was selected, this number will determine which sub-office exception queue the document will be directed. If the ~~Exception Routing~~Origin field is set as blank at the point of scan, then documents will route to a county wide exception queue. Here the user will be able to populate the Case Number, County Code and/or Form Name of a document. Once the metadata has been fully updated and validated by a user, the document can be submitted.

2.1.6.1 Confidential Exception

Exception handling of documents belonging to a confidential case is done via the Confidential Exception queue. These security driven queues function identically to the non-confidential exception queues. This separation ensures that only designated staff can be assigned specifically for the processing of confidential documents. At the point of scan if an "~~Exception Routing~~Origin" office number was selected, this number will

determine which sub-office confidential exception queue the document will be directed.

2.1.7 Exception Handling

This is a System queue that will route documents based on metadata. System routing rules are described in section 2.2.

2.1.8 Admin Exception

This is a Project Imaging Admin monitored queue. Documents that encounter a webservice error during processing will be routed to the Admin Exception queue. Documents held in this queue can be routed by admins to continue processing once webservice troubleshooting is completed.

2.1.9 No Case

Documents indicated as "No Case" via a coversheet during scan are routed to this queue. Within this queue users will have access to the Case Number field. This field can be leveraged to identify the case association of the document once the case has been created/opened in CalSAWS. After the case information has been updated with a valid case, users can submit documents from this queue for system processing. Additionally, if a user has the necessary security rights to route a document for removal, this will be made available at the time of submission.

2.1.10 Person Select

Documents identified as Person level documents are routed to the Person Select Queue. The **Get Person Info** call will be leveraged to pull back persons associated to the case information. At the point of scan if an "~~Exception Routing~~Origin" office number was selected, this number will determine which sub-office person select queue the document will be directed. If the ~~Exception Routing~~Origin field is set as blank at the point of scan, then documents will route to a county wide person select queue. From this queue, a user can select one, or two persons to associate to a document. At least one association must be made. If no valid person exists in this list, a user will have the option to select "No Person" to archive the document with the current case level metadata.

Webservice operations to return a list of persons associated to a case are documented in CA- 214035 (Store Index Values). For a list of person level documents refer to the Imaging Form Name Matrix (Supporting Document #1).

2.1.11 Person Select Handling

This is a System queue that will route documents to the appropriate queue from the Person Select queue. Documents identified as person level via the Person Select queue are passed through the Person Select Handling Queue. This handling queue will have logic to identify whether the drawer needs to be updated. If a person selection was made, the document will be routed to the Person Drawer Update. If a "No Person" selection was made, the document metadata will remain at Case level. Documents are then stored for retrieval.

2.1.12 Person Handling

This is a System queue that will route documents to the appropriate queue based on metadata. System routing rules are described in section 2.2.

2.1.13 Person Drawer Update

This is a System queue that will update the documents drawer metadata to Person and update the corresponding metadata. System routing rules are described in section 2.2.

2.1.14 Document Removal

Document routed to this queue will be reindex to the corresponding counties Document Removal Drawer archive. Users with the security permissions to route documents to this queue will also have access the removal drawer itself. Documents routed to the Document Removal drawers are taken out of the counties primary listing and serves as a soft delete. Documents routed to a removal drawer will remain in this drawer until the document falls out of the CalSAWS Retention Policy guidelines, at which point the document will be permanently deleted.

2.1.15 Barcode Verification

When barcode values cannot be successfully obtained from system generated documents, or when the "County Code" returned from the **Get Barcode Info** call does not match the County of the scanning user, the document(s) will be routed for manual barcode verification. At the point of scan if an "~~Exception Routing~~Origin" office number was selected, this number will determine which sub-office barcode verification queue the document will be directed. If the ~~Exception Routing~~Origin field is set as blank at the point of scan, then documents will route to a county wide barcode verification queue. The user will be able to modify the Barcode Number field of a document and route the document forward. The **Get Barcode Info** call will be performed upon submission and the metadata will be applied as needed. Documents can be routed to the exception queue from here manually, no barcode metadata will be retained when routing documents to the exception queue for case reindexing.

2.1.16 Other County Document

This is a System queue that will route documents to the appropriate county based on metadata. System routing rules are described in section 2.2.

2.1.17 Other County Barcode

This is a System queue that will route documents to the appropriate county based on barcode metadata. System routing rules are described in section 2.2.

2.1.18 Pre-Achieve Processing

This is a System queue that will notify CalSAWS of a document that has been received and if necessary will generate a task. System routing rules are described in section 2.2.

2.1.19 Archive

This is a System queue, documents that have completed the workflow process will be routed here. This queue will move documents out of the workflow/modifiable state and will store documents in the appropriate county drawer.

2.2 System Queue Routing Rules

2.2.1 Workflow Start

Upon quality assurance completion, documents start in the corresponding county "Workflow Start" system queue. This queue will have the following routing rules based on a documents metadata:

Metadata	Destination Queue
Valid Case Barcode – County Code Match	Pre-Archive Processing Queue
Valid Case Barcode – County Code Mis-Match	County <Office*> Barcode Verification Queue
Invalid Barcode	County <Office*> Barcode Verification Queue
Webservice Error	Admin Exception Queue
"No Case" barcode value (Via Coversheet)	County <Office*> No Case Queue
No Barcode Value	OCR Processing Queue

*Office is selected at point of scan via the ~~Exception Routing~~Origin Drop-Down, if not selected, routing will default to a County wide queue.

2.2.2 OCR Handling

Documents routed to the OCR Processing queue are passed into the OCR Handling queue. This queue will have the following routing rules based metadata passed back from the OCR Service:

OCR Metadata/Invalid Reasons(IR)	Destination Queue
Valid Case/Form Information set by OCR	Pre-Archive Processing Queue
Valid Case Barcode – County Code Mis-Match	County <Office*> Barcode Verification Queue
"No Case" barcode value (Via Coversheet)	County <Office*> No Case Queue
No Barcode – County Code Mis-Match	County <Office*> Exception Queue
Retuned Mail Document Type	Pre-Archive Processing Queue
IR – "Form Name Confidence Threshold Not Met"	County <Office*> Exception Queue
IR – "Webservice Error"	Admin Exception Queue
IR – "No/Invalid Barcode – Time Sensitive Flag Set"	County <Office*> Barcode Verification Queue
IR – "No/Invalid Barcode – No Case Info"	County <Office*> Exception Queue
IR – "Valid Barcode – Case Context Mis-Match"	County <Office*> Exception Queue
IR – "Returned Mail – Split Confidence Threshold Not Met"	County <Office*> Exception Queue

*Office is selected at point of scan via the ~~Exception Routing~~Origin Drop-Down, if not selected, routing will default to a County wide queue.

2.2.3 Other County Document

Documents routed to the Other County Document queue will be processed and sent to the indicated county based on the following metadata:

Metadata	Destination Queue
No Barcode – County Code Mis-Match	Destination County Exception Queue
No Barcode – County Code Match	Pre-Archive Processing Queue

2.2.4 Other County Barcode

Documents routed to the Other County Document queue will be processed and sent to the indicated county based on the following barcode metadata:

Metadata	Destination Queue
Valid Case Barcode – County Code Mis-Match	Destination County Barcode Verification Queue
Valid Case Barcode – County Code Match	Pre-Archive Processing Queue

Invalid Barcode	Returned to Prior Queue
Webservice Error(s)	Admin Exception Queue

2.2.5 Pre-Archive Processing

Documents routed to the Pre-Archive Processing queue will be processed based on the following metadata:

Metadata	Destination Queue
No Webservice Error(s)	Person Handling Queue
Webservice Error(s)	Admin Exception Queue

2.2.6 Person Handling

Documents routed from county Pre-Archive Processing are submitted to the Person Handling Queue. This queue will have the following routing rules based on the metadata:

Metadata	Destination Queue
No Webservice Error(s) – Case Level Document	Archive Queue
No Webservice Error(s) – Person Level Form Name – No Person Override Flag – Case Not Confidential	<Office*> Person Select Queue
No Webservice Error(s) – Person Level Form Name – Person Override Flag Set	Archive Queue
No Webservice Error(s) – Person Level Form Name – Case is Confidential	Archive Queue

*Office is selected at point of scan via the ~~Exception Routing~~Origin Drop-Down, if not selected, routing will default to a County wide queue.

2.2.7 Person Select Handling

Documents routed from county Person Select Queue are passed through the Person Select Handling Queue. This queue will have the following routing rules based on the metadata from the user:

Metadata	Destination Queue
Person Selection – "No Person"	Archive Queue
Person Selection – Case Member(s)	Person Drawer Update Queue

2.2.8 Person Drawer Update

Documents routed from the county Person Select Handling Queue are passed through the Person Drawer Update Queue. This queue will update the documents drawer to person and follow the routing rules based on the metadata:

Metadata	Destination Queue
Person Selection – Case Member(s)	Archive Queue

2.2.8 2.2.9 Exception Handling

Documents routed from county Exception Queues are submitted to the Exception Handling Queue. This queue will have the following routing rules based on the updated metadata from the user:

Metadata	Destination Queue
Valid Case/Form Information	Pre-Archive Processing Queue
Returned Mail Form Name	Pre-Archive Processing Queue

2.2.9 2.2.10 Add to Reindex/Add to Full Reindex

Documents requiring reindexing are routed to the Add to Reindex/Add to Full Reindex queues. These queues will have the following routing rules based on the updated metadata from the user:

Metadata	Destination Queue
Confidential Document	Confidential Reindex/Reindex All
Non-Confidential Document	Reindex/Reindex All

2.3 User Routing Options

2.3.1 Automatic and Manual Routing

Queues accessed by a user may have one or more routing options. The options for routing fall under either an automatic route or a manual route. Automatic routes are the primary route for documents. These routes rely on the system moving documents between queues. Manual routes are additional routes tied to separate security rights that allow advanced control over the document movement in the system.

When a user submits a document out of a queue, the automatic route will be taken if no other routes are available to the user. For users with the security rights

to access manual routes of a queue, a popup will be presented to the user displaying the routing options available for the user to select.

2.3.2 Reindex/Reindex All

Routing Type	Destination Queue
Automatic (Default)	Archive Queue
Manual	Document Removal Queue
Manual	Other County Document Queue

2.3.3 Exception

Routing Type	Destination Queue
Automatic (Default)	Exception Handling Queue
Manual	Document Removal Queue
Manual	Other County Document Queue
Manual	Barcode Verification Queue

2.3.4 Person Select

Routing Type	Destination Queue
Automatic (Default)	Person Select Handling Queue

2.3.5 No Case

Routing Type	Destination Queue
Automatic (Default)	Workflow Start Queue
Manual	Document Removal Queue

2.3.6 Barcode Verification

Routing Type	Destination Queue
Automatic (Default)	Other County Barcode Queue
Manual	Document Removal Queue

Manual	Exception Queue

2.3.7 Document Removal

Routing Type	Destination Queue
Manual	Reindex Queue
Manual	Full Reindex Queue

2.4 Document Retention

Document retention policies will be managed by the CalSAWS application. CalSAWS will send a Webservice call to the Imaging Solution that will mark documents to be deleted. These documents will move into the County's Retention Policy Removal Drawer. The documents will reside in this drawer for 30 days before being completely removed by the Imaging Solution. Refer to the CalSAWS Retention Policy for details on document retention.

2.5 Quality of Service

Documents submitted to the CalSAWS Imaging Solution should be searchable and viewable in near real time. Documents that are Scanned, Imported or otherwise captured by county workers will go through a Quality Assurance process to verify the clarity of the document and ensure the document has context to a case. This could be the Case/Person Unique ID , Case Number or CIN, Case Name or Person Name and/or Barcode.

Where all the values are not available during capture the Case/Person Unique ID and/or Barcode will be used to retrieve the remaining metadata from the CalSAWS application.

Documents that are captured via an external system (Kiosk, Mobile App, Customer Portal, ect.) will have case/person context provided within the metadata from the source system. This information will be used to retrieve all the remaining values from the CalSAWS application.

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

DRAFT

4 REQUIREMENTS

4.1 Migration Requirements

DDID #	REQUIREMENT TEXT	Contractor Assumptions	How Requirement Met
2261	The CONTRACTOR shall configure the imaging solution to permanently delete documents based on the approved CalSAWS Software document retention policies for all 58 Counties.		• Configure the Imaging Solution to permanently delete documents based on webservice calls configured to identify cases and documents that fall out of the CalSAWS approved retention policy
2515	The CONTRACTOR shall enable Quality of Service to prioritize document capture processing to optimize performance.		• Configure the Imaging Solution to prioritize document capture processing to optimize performance
2519	The CONTRACTOR shall configure the imaging solution to allow designated staff with the appropriate security rights to reindex the following metadata directly from the document and from a designated reindex queue: 1) Case Number 2) Case Name 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 The CONTRACTOR shall configure the imaging solution to allow the copy and splitting of images/documents.	• Implementation of security rights will be implemented and documented in CA-214027 (Security and Auditing)	• Configure system and user workflow queues to govern the routing and updating of documents and the corresponding metadata • Configure the Imaging Solution to allow the copy and splitting of images/documents

DDID #	REQUIREMENT TEXT	Contractor Assumptions	How Requirement Met
2198	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: 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	• Implementation of barcode recognition is documented in CA-214030 (Capture Single and Barcode Detection) • Lookups performed on CalSAWS are described in CA – 214035 (Store Index Values) • Virtual Print will leverage advanced optical character recognition technology to capture barcode numbers, and is documented and implemented in CA-214048 (Categorize by OCR)	• Configure system and user workflow queues to govern the routing and updating of documents and the corresponding metadata • Configure system queue routing rules • Configure user queue routing options

DDID #	REQUIREMENT TEXT	Contractor Assumptions	How Requirement Met
2199	The CONTRACTOR shall 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. 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.	• 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)	• Configure system and user workflow queues to govern the routing and updating of documents and the corresponding metadata • Configure system queue routing rules • Configure user queue routing options

DDID #	REQUIREMENT TEXT	Contractor Assumptions	How Requirement Met
2505	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.	• The configuration of the county case drawers, and person drawer is documented in CA-214035 (Store Index Values)	• Configure system and user workflow queues to govern the routing and updating of documents and the corresponding metadata and drawers • Configure system queue routing rules • Configure user queue routing options
2522	The CONTRACTOR shall create a single case and a multi-case scan mode for returned mail which will do the following: 1) Capture the envelope with the 'return to sender' information 2) Capture case information from single case mode, system generated document, or cover sheet. 3) Capture all documents for the same case as one document (including envelope) with the following metadata: 3a) Case Name 3b) Case Number 3c) Form Name 3d) Form Number 3e) Applicable Date 3f) Received Date 3g) Document Type - All images/documents will have the value: 'Returned Mail' 4) Returned mail will not be marked as 'received' by the CalSAWS Software for the system generated time sensitive (tracked) documents.	• Implementation of security will be documented in CA-214027 (Security and Auditing) • Corresponding scan mode is described in CA – 214061 (Returned Mail Scan Modes)	• Configure Returned mail to not be marked as 'received' by the CalSAWS Software for the system generated time sensitive (tracked) documents

5 APPENDIX

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CalSAWS

California Statewide Automated Welfare System

DRAFT

Design Document

DDID – 2502, 2503, 2522

CA 214061 – Return Mail Capture Modes

	DOCUMENT APPROVAL HISTORY	
CalSAWS	Prepared By	Imaging Team
	Reviewed By	

DATE	DOCUMENT VERSION	REVISION DESCRIPTION	AUTHOR
9/18/2020	1.1	Changed "Exception Routing" label to "Origin"	Chris Vasquez

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1 OVERVIEW

1.1 Requests

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.
Single Case scan mode and Barcode Detection is documented in CA-214030. Multi-Case, and Virtual Print scan modes are documented in CA-214172.

Per DDID 2503, 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 imaging solution will allow the optional use of generic separator sheets for all scan modes to assist in separating documents.

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

Coversheets and separator sheets are documented in CA-214031.

Per DDID 2522, create a single case and a multi-case scan mode for returned mail which will do the following:

1) Capture the envelope with the 'return to sender' information

2) Capture case information from single case mode, system generated document, or cover sheet.

3) Capture all documents for the same case as one document (including envelope) with the following metadata:
   a) Case Name
   b) Case Number
   c) Form Name
   d) Form Number
   e) Applicable Date
   f) Received Date
   g) Document Type - All images/documents will have the value: 'Returned Mail'

4) Returned mail will not be marked as 'received' by the CalSAWS Software for the system generated time sensitive (tracked) documents.

1.2 Overview of Recommendations

- Configure a ~~single case returned mail~~ Return Mail Scan capture mode
- Configure a ~~multi-case returned mail~~Return Mail File capture mode

1.3 Assumptions

- Routing and mark received logic of Returned Mail scan modes are documented in CA-214058 (Environment Workflow Configuration)
- Details on final indexing of document scanned via Returned Mail scan modes are documented in CA-214035 (Store Index Values)
- Advanced Optical Character Recognition processing of documents is documented in CA-214048 (Categorize by OCR)
- Document scanned via the Returned Mail scan modes will have the Document Type~~, Form Name, and Form Number~~ of "Returned Mail"

DRAFT

2   RECOMMENDATIONS

2.1   Returned Mail Scan Modes

2.1.1   Overview

Documents being scanned to a single case as returned mail will use the "Return~~ed~~ Mail ~~Single-Case~~Scan" or "Return~~ed~~ Mail ~~Multi-Case~~FileScan" ~~scan~~ mode. To invoke "Return~~ed~~ Mail ~~Single-Case~~FileScan" or "Return~~ed~~ Mail ~~Multi-Case~~File" ~~scan~~ mode, the user will navigate into the Imaging Solution and select "Capture" from the toolbar.
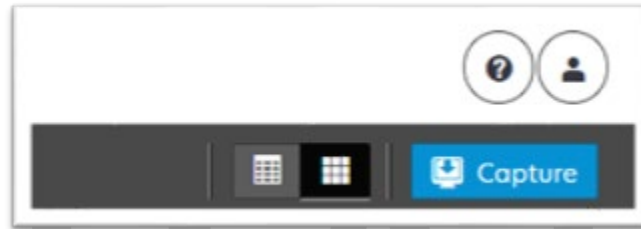
Figure 2.1.1.1 – Capture Mockup

2.1.2   Document Preparation

Documents scanned using the "Return~~ed~~ Mail ~~Single-Case~~Scan" or "Return~~ed~~ Mail ~~Multi-Case~~File" ~~scan~~ mode, may be arranged with the inclusion of generic separator sheets (patch sheets) to aid in document separation. Additionally an envelope can be scanned to be included with the document. Envelopes should be placed at the end of the document and serve to identify the end of a case or set of documents when being processed by advanced optical character recognition (OCR). Advanced Optical Character Recognition processing of documents is documented in CA-214048 (Categorize by OCR).

2.1.3   Initiating Scan

A dialog box will prompt the user to select "Return~~ed~~ Mail ~~Single-Case~~Scan" or "Return~~ed~~ Mail ~~Multi-Case~~File" from the list of available scan modes. The "~~Exception Routing~~Origin" dropdown will be populated based off of exception queue, configurations of routing rules is documented 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 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). All documents scanned using this mode will be set to the documents type~~, form name, and form number~~ of "Returned Mail". 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. Verify the Applicable and Received Dates, updating as needed
d. Separate the scan batch into individual documents
e. **S~~ingle Cc~~as~~ne~~ Only:** Specify the following field
    - Case Number
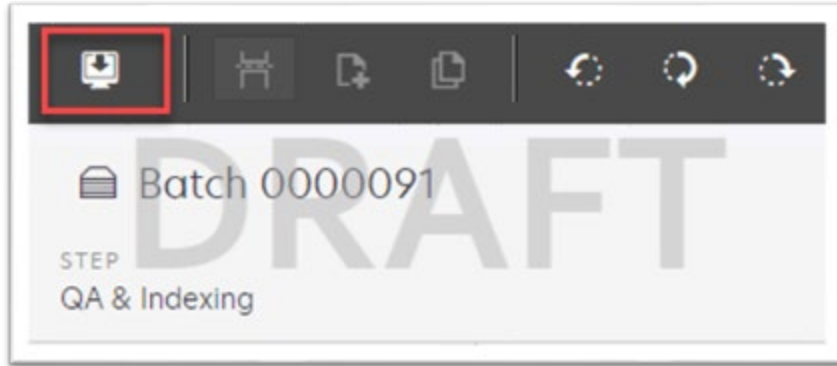
Figure 2.1.5.1 – Rescan/Capture Mockup
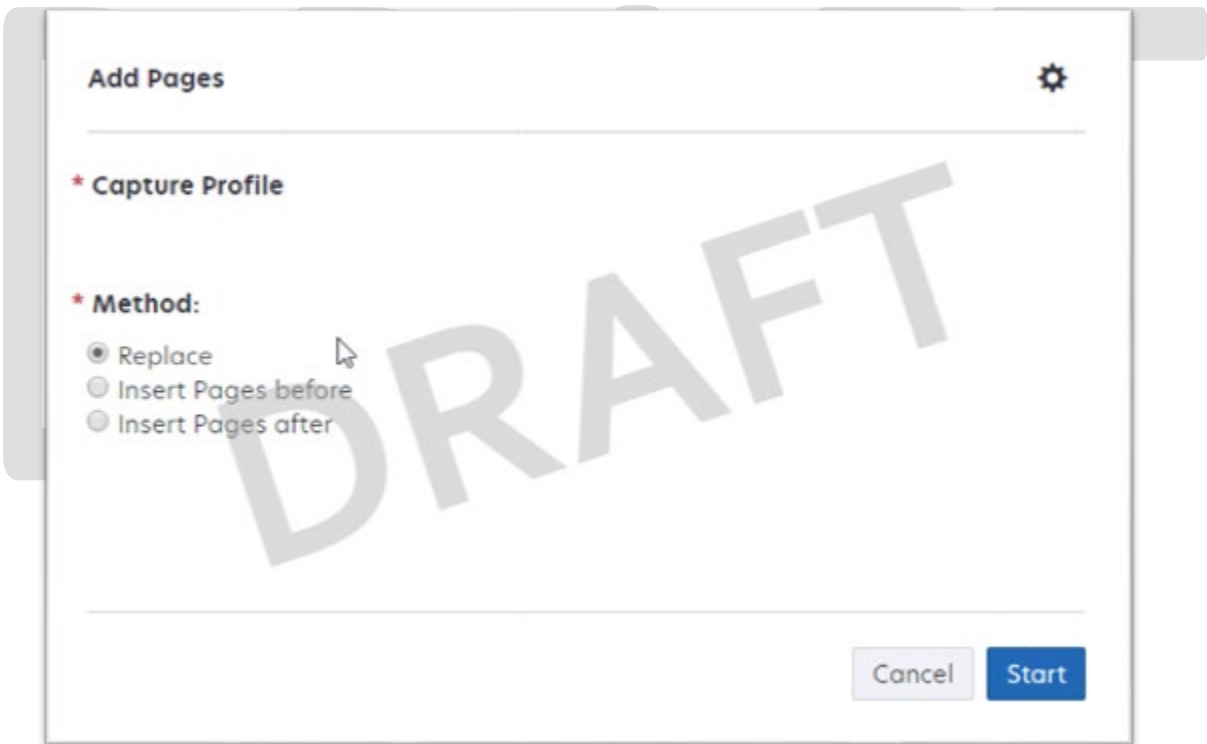
Figure 2.1.5.2 – Add Pages Mockup

Figure 2.1.5.3 – Properties Mockup

For the Returned Mail Sscan modes, the **Get Case Info** call will be performed leveraging the Case Number, entered by the user. If an invalid case number is provided, the user will not be able to finalize the scan. The following values will be retained from the webservice call and applied as metadata to the document:

- Case Name
- Case Unique ID

Once the user has verified that the returned case information matches the provided case number, the user will finalize the scan by selecting "Submit".

3 REQUIREMENTS

3.1 Migration Requirements

DDID #	REQUIREMENT TEXT	Contractor Assumptions	How Requirement Met
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."	• Single Case scan mode and Barcode Detection is documented in CA-214030 (Capture Single and Barcode Detection) • Multi-Case and Virtual Print scan modes are documented in CA-214172 (Multi, Import, and Virtual Capture)	• Configure OCR of returned mail
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."	• Coversheets and separator sheets are documented in CA-214031.	• Configure a multi-case returned mail capture mode

DDID #	REQUIREMENT TEXT	Contractor Assumptions	How Requirement Met
2522	"The CONTRACTOR shall create a single case and a multi-case scan mode for returned mail which will do the following: 1) Capture the envelope with the 'return to sender' information 2) Capture case information from single case mode, system generated document, or cover sheet. 3) Capture all documents for the same case as one document (including envelope) with the following metadata: 3a) Case Name 3b) Case Number 3c) Form Name 3d) Form Number 3e) Applicable Date 3f) Received Date 3g) Document Type - All images/documents will have the value: 'Returned Mail' 4) Returned mail will not be marked as 'received' by the CalSAWS Software for the system generated time sensitive (tracked) documents."	• Routing logic of Returned Mail scan modes are documented in CA-214058 (Environment Workflow Configuration) • Details on final indexing of document scanned via Returned Mail scan modes are documented in CA-214035 (Store Index Values) • Advanced Optical Character Recognition processing of documents is documented in CA-214048 (Categorize by OCR) • Document scanned via the Returned Mail scan modes will have the Document Type, Form Name, and Form Number of "Returned Mail"	• Configure a single case returned mail capture mode • Configure a multi-case returned mail capture mode

4   APPENDIX

DRAFT

CalSAWS

California Statewide Automated Welfare System

Design Document

CA-200321

Display the "Collect" button on the Issuance
Detail page for all Service Payments

	DOCUMENT APPROVAL HISTORY	
CalSAWS	Prepared By	Jimmy Tu
	Reviewed By	[individual(s) from build and test teams that reviewed document]

DATE	DOCUMENT VERSION	REVISION DESCRIPTION	AUTHOR
3/25/2020	1.0	Initial Version	Jimmy Tu

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1   OVERVIEW

This SCR is a request to close the gap in between C-IV (951) and LRS/CalSAWS. C-IV already has this functionality and LRS/CalSAWS is also being evaluated to consider when the "Collect" button should be shown.

1.1   Current Design

For Direct Deposit and Warrant Service Payment issuances, the LRS/CalSAWS displays a "Collect" button on the Issuance Detail page. This functionality allows users to create a Recovery Account Overpayment tied to that Issuance.

"Collect" Button does not display on Issuance Detail page for EBT issuances and Supplemental Benefit Warrant Issuances created through a Service Arrangement. Therefore, this SCR should be evaluated and prioritized for migration impacts.

1.2   Requests

This is a request to close the gap in between C-IV (951) and LRS/CalSAWS. C-IV already has this functionality and LRS/CalSAWS is also being evaluated to consider when the "Collect" button should be shown.

1.3   Overview of Recommendations

1. Update the Issuance Detail page to display the "Collect" button for all issuances associated to supportive service payments (where payment_req_id exists)

1.4   Assumptions

1. If the user chooses not the utilize the Collect button, an alternative would be to create an external recovery account to add the overpayments to.
2. This change is only for the South, this function is already implemented in the C-IV system. This will bring LRS/CalSAWS to the same functionality as C-IV.
3. This change would impact all the programs that have a service payment created and for those payments the Collect button will display on the Issuance Detail Page.
4. The current associated security right to view the collect button is IssuanceDetailEdit and the user/counties can choose to give the right to any associated security group/role that they find appropriate.

2   RECOMMENDATIONS

2.1   Issuance Detail Page

2.1.1   Overview

For Supportive Service (Service Payment) Warrant and Direct Deposit issuances, LRS/CalSAWS displays a "Collect' button on the Issuance Detail page. This functionality allows users to create a Recovery Account Overpayment tied to that Issuance.

LRS/CalSAWS does not display the "Collect" button on the Issuance Detail page for EBT issuances and Supplemental Benefit Warrant issuances created through a Service Arrangement.

2.1.2   Issuance Detail Mockup whole page

Figure 2.1.1 – Issuance Detail with "Collect" Button

Issuance Detail

✱- Indicates required fields

| Affidavit | Collect | External Reissue | Replace | Edit | Close |

Control Number:
1940856594

Category:
Supplemental Benefit

Benefit/Service Month:
12/2019

Case Number:
TF6D5D7

Case Name:
▉▉▉▉▉▉▉▉

Program:
CalWORKs

Payee Information

Payee Address:

Payee: ✱
▉▉▉▉▉▉

▉▉▉▉▉▉

Reference:

Basic Information

Issuance Method:
EBT

Immediacy:
Rush

Payment Amount:
143.00

Invoice Number:

Issue Date:
12/20/2019

Available Date:
12/20/2019

Account Number:
19038328546

Status:
Issued

Status Reason:
System

Financial Information

2.1.3 Description of Changes

1. Update the Issuance Detail page to display the "Collect" button for all issuances associated to supportive service payments (where payment_req_id exists)
2. This change is only for the South, this function is already implemented in the C-IV system. This will bring LRS/CalSAWS to the same functionality as C-IV.

2.1.4 Page Location

- **Global: Fiscal**
- **Local: Issuance**
- **Task: Issuance Search**

2.1.5 Programs Impacted

1. Cal-Learn
2. CalWORKs
3. Foster Care
4. GROW
5. General Assistance/General Relief
6. Homeless – Perm
7. Homeless – Temp
8. Kin-GAP
9. RCA
10. REP
11. Welfare to Work

2.1.6 Security Updates

1. Security Rights

Security Right	Right Description	Right to Group Mapping

2. Security Groups

Security Group	Group Description	Group to Role Mapping

2.1.7 Page Mapping

None.

2.1.8 Page Usage/Data Volume Impacts

None.

3 SUPPORTING DOCUMENTS

Number	Functional Area	Description	Attachment

4 REQUIREMENTS

4.1 Project Requirements

REQ #	REQUIREMENT TEXT	How Requirement Met
2.11.1.9	The LRS shall include a method for overpayment/over issuance claims to be reviewed and authorized prior to beginning collection.	This requirement is met by letting users use to collect button to review overpayments for EBT/warrants before collecting.

4.2 Migration Requirements

DDID #	REQUIREMENT TEXT	Contractor Assumptions	How Requirement Met

5 MIGRATION IMPACTS

SCR Number	Functional Area	Description	Impact	Priority	Address Prior to Migration?
		.			

6 OUTREACH

None.

7 APPENDIX

None.

CalSAWS

California Statewide Automated Welfare System

Design Document

CA-200710

DDCR 3017: Child Care Approval Linked Inconsistently on Program and Person Levels

	DOCUMENT APPROVAL HISTORY	
CalSAWS	Prepared By	Gillian Noelle Bendicio
	Reviewed By	Long Nguyen, Getnet Beyene, Michael Wu, Robert Untalan, Christine Altavilla, Shilpa Suddavanda

DATE	DOCUMENT VERSION	REVISION DESCRIPTION	AUTHOR
05/14/2020	.1	Initial Revision	Gillian Noelle Bendicio
09/16/2020	1.1	Content Revision: Update Rescind Reason for Child Care	Gillian Noelle Bendicio

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1 OVERVIEW

The C-IV System allows the Child Care Supportive Services (CC) program to have multiple applications linked through reapplication. The reapplication process creates events displayed on the Program Application History page. Additionally, the workers are able to set the program status of the CC program without needing to run EDBC. This System Change Request (SCR) will add the updates made to these processes onto the CalSAWS system.

1.1 Current Design

The CalSAWS currently does not allow the CC program to reopen through the reapplication process. The CC program is reopened through processing a new Child Care Request for the system case. The C-IV system allows the reopening of the program through rescission or reapplication. Additionally, the CalSAWS uses the effective dating framework when a worker is setting the program and program person statuses. This does not exist in the C-IV system.

1.2 Requests

The CalSAWS will need to be updated to allow the C-IV counties to process a system case's CC program. As documented in DDCR 3017, the CalSAWS system will need to be updated to allow the CC program to be linked to multiple program applications and have the program and person events properly aligned. This will allow for accurate data to be captured by the Pending Application List report.

1.3 Overview of Recommendations

1. Update the Child Care Detail page to display the 'Rescind' and 'Reapply' buttons.
2. Update the Rescind Detail page to match the C-IV Child Care rescind reasons.
3. Update the logic for inserting events when a CC program is reopened.
4. Add validation to the Child Care Person Detail page to prevent a worker from adding an end date to a Discontinued status.
5. Add validation to the Child Care Program Detail page to prevent a worker from adding a program status that is not aligned with the program person status/es.

1.4 Assumptions

1. Updates made in this SCR is limited to the Child Care program only. Any page components and logic not mentioned in this SCR will retain their current functionality.

2   RECOMMENDATIONS

2.1   Child Care Detail

2.1.1   Overview

The Child Care Detail page displays information regarding the CC program of the system case. Currently, it does not allow rescission and reapplication of the program when it is discontinued or denied.

2.1.2   Child Care Detail Mockup

Child Care Detail

✱- Indicates required fields
[View History] [Save and Return] [Cancel]

Date: ✱
`05/01/2020` 📅 [View Date]

Program Information

Status: ✱	Status Reason:	Source: ✱
Discontinued	Transferred to Stage 2	Other

Application Date: ✱
01/06/2020 [Edit]

Automatically Reassign When Activated: **Documents Provided Date:** ✱
`Yes ▼`   `05/01/2020` 📅

Administrative Roles

Name	Administrative Role	Begin Date	End Date	
NAME, PARENT 20F	Primary Applicant/Recipient	01/01/2020		[Edit]

[Add]

Program Persons

Name	Role	Role Reason	Status	Status Reason	
NAME, PARENT 20F	MEM	Parent	Discontinued	Transferred to Stage 2	[Edit]
NAME, BOY 1M	MEM	Child	Discontinued	Transferred to Stage 2	[Edit]

[Rescind] [Reapply]

Secondary Assignment

Worker
[Select]

[View History] [Save and Return] [Cancel]

6

Figure 2.1.1 – Child Care Detail on Edit Mode

2.1.3 Description of Changes

1. Update the Child Care Detail page on Edit mode to display the 'Rescind' and 'Reapply' buttons when the program and/or program person(s) are 'Discontinued' or 'Denied' for the current view date.

2.1.4 Page Location

- **Global: Case Info**
- **Local: Case Summary**
- **Task: Case Summary**

2.1.5 Security Updates

1. Security Rights

Security Right	Right Description	Right to Group Mapping

2. Security Groups

Security Group	Group Description	Group to Role Mapping

2.1.6 Page Mapping

No impact to this section.

2.1.7 Page Usage/Data Volume Impacts

No impact to this section.

2.2 Rescind Detail

2.2.1 Overview

The Rescind Detail page allows a worker to rescind a Discontinued or Denied application. This page will be updated to show the appropriate rescind reasons when a Child Care program is rescinded.

2.2.2 Description of Changes

1. Update the Rescind Detail page to display the following rescind reasons on the 'Rescind Reason' dropdown when the program type is 'Child Care':
   a. Appeal
   b. Erroneous Disc/Deny
   c. Rescind Disc/Deny
   d. Verifications Received
   e. WTW Compliance/Cure

2.2.3 Page Location

- **Global: Case Info**
- **Local: Case Summary**
- **Task: Case Summary**

2.2.4 Security Updates

1. Security Rights

Security Right	Right Description	Right to Group Mapping

2. Security Groups

Security Group	Group Description	Group to Role Mapping

Security Group	Group Description	Group to Role Mapping

2.2.5 Page Mapping

No impact to this section.

2.2.6 Page Usage/Data Volume Impacts

No impact to this section.

2.3 Child Care Program Detail

2.3.1 Overview

The Child Care Program Detail displays information regarding the Child Care Program status, members, and eligibility. Workers use this page to set the program and program person status and document eligibility.

2.3.2 Child Care Program Detail Mockup

Child Care Program Detail

❉ - Indicates required fields

[Edit]

Name: ❉

NAME, PARENT 20F

Display

From: **To:**

[   ] 📅   [   ] 📅   [View]

Program Status: ❉

Status	Status Reason	Funding Source	Begin Date	End Date	
Discontinued	Transferred to Stage 2	Stage 1	01/13/2020		

Members: ❉

Name	Role	Role Reason	Status	Status Reason	Begin Date	End Date	
NAME, PARENT 20F	MEM	Parent	Discontinued	Transferred to Stage 2	01/13/2020		
NAME, CHILD 1M	MEM	Child	Discontinued	Transferred to Stage 2	01/13/2020		

Eligibility: ❉

Average Monthly Income	Household Members	Income Ceiling	Eligible	Begin Date	End Date	
$891.00	2	70% Median ($0.00)	Yes	01/01/2020		

▸ Time Limit:

SSN Consent Refused: ❉

No

[Edit]

Figure 2.2.1 – Child Care Program Detail on View Mode

Child Care Program Detail

✳ - Indicates required fields   [Save] [Cancel]

- **Add Status** - Program status is not aligned correctly with Person Status. Please adjust the Program Status.

Name: ✳
NAME, PARENT 20F

Display
From: **To:**
[   ] 📅   [   ] 📅   [View]

Program Status: ✳

Status	Status Reason	Funding Source	Begin Date	End Date	
Active		Stage 1	01/13/2020		[Edit]
					[Add Status]

Members: ✳

Name	Role	Role Reason	Status	Status Reason	Begin Date	End Date	
NAME, PARENT 20F	MEM	Parent	Discontinued	Transferred to Stage 2	01/13/2020		[Edit]
NAME, BOY 1M	MEM	Child	Discontinued	Transferred to Stage 2	01/13/2020		[Edit]
							[Add Status]

Eligibility: ✳

Average Monthly Income	Household Members	Income Ceiling	Eligible	Begin Date	End Date	
No Data Found						
						[Add]

▸ Time Limit:

SSN Consent Refused: ✳
[- Select - ▼]

                                                              [Save] [Cancel]

Figure 2.2.2 – Child Care Program Detail on Edit Mode

2.3.3 Description of Changes

1. Update the Child Care Program Detail page to display the text ' * - Indicates required fields' under the page header as shown on Figures 2.2.1 and 2.2.2.
2. Add a new targeted validation message, 'Add Status – Program status is not aligned correctly with Person Status. Please adjust the Program Status.', whenever the worker attempts to save the page while the program and program person statuses are not aligned. Below are the

following scenarios in which the above validation message will be triggered:

    a. All program person statuses are discontinued, denied or pending but the program status is active.

    b. All program person statuses are discontinued, denied or active but the program status is pending.

    c. At least one program person status is active but the program status is either discontinued, denied, or pending.

    d. There exists a program person who is active or pending but the program status is either discontinued or denied.

2.3.4 Page Location

- **Global: Child Care**
- **Local: Case Summary**
- **Task: Child Care Program**

2.3.5 Security Updates

1. Security Rights

Security Right	Right Description	Right to Group Mapping

2. Security Groups

Security Group	Group Description	Group to Role Mapping

2.3.6 Page Mapping

No impact to this section.

2.3.7 Page Usage/Data Volume Impacts

No impact to this section.

2.4 Child Care Person Detail

2.4.1 Overview

The Child Care Person Detail is accessed through the Child Care Program Detail page by clicking the 'Edit' button next to the program person's name or the 'Add Status' button by the 'Members' section during Edit Mode. This page allows a worker to add a program person status for each participant.

2.4.2 Child Care Person Detail Mockup

Child Care Person Detail

✳- Indicates required fields   [Save and Return]   [Cancel]

- **Status** - Cannot add an Approved status for a person who is currently Denied/Discontinued without re-application.

Name: ✳
[NAME, BOY 1M   ⌄]

Role: ✳   **Role Reason: ✳**
[MEM ⌄]   [Child   ⌄]

Status: ✳
[Active   ⌄]

Begin Date: ✳   **End Date:**
[05/01/2020   ] 📅   [   ] 📅

                                        [Save and Return]   [Cancel]

Figure 2.3.1 – Validation when Program Person is set to 'Active' from 'Discontinued' or 'Denied' status

Child Care Person Detail

❋ - Indicates required fields

[Save and Return] [Cancel]

- **End Date** - End Date cannot be entered when Denied/Discontinued person status.

Name: ❋
[NAME, BOY 1M ▾]

Role: ❋
[MEM ▾]

Role Reason: ❋
[Child ▾]

Status: ❋
[Denied ▾]

Status Reason: ❋
[Child exceeded age ▾]

Begin Date: ❋
[05/01/2020] 📅

End Date:
[06/01/2020] 📅

[Save and Return] [Cancel]

Figure 2.3.2 – Validation when adding an end date to a 'Discontinued' or 'Denied' status

2.4.3 Description of Changes

1. Add a new targeted validation message, "Status – Cannot add an Approved status for a person who is currently Denied/Discontinued without re-application.", to prevent a worker from adding an active status on a discontinued or denied CC program person as shown on Figure 2.3.1.
2. Update the page logic to have the 'Approved' event logged for the person application which is aligned with the approved program application and the person statuses linked to the approved person applications. The other program and person applications will have a 'Denied' event. This information will be displayed on the Program History Detail and Person History Detail pages.
3. Add a new targeted validation message, "End Date – End Date cannot be entered when Denied/Discontinued person status.", to prevent a worker from adding an end date with a 'Discontinued' or 'Denied' as shown on Figure 2.3.2.

2.4.4 Page Location

- **Global: Child Care**
- **Local: Case Summary**
- **Task: Child Care Program Detail**

2.4.5 Security Updates

1. Security Rights

Security Right	Right Description	Right to Group Mapping

2. Security Groups

Security Group	Group Description	Group to Role Mapping

2.4.6 Page Mapping

No impact to this section.

2.4.7 Page Usage/Data Volume Impacts

No impact to this section.

2.5 Program Status Detail

2.5.1 Overview

The Program Status Detail is accessed through the Child Care Program Detail page by clicking the 'Add Status' button on the Program Status section. This page allows the worker to change the status of the CC program.

2.5.2 Program Status Mockup

Program Status Detail

✳ - Indicates required fields   [Save and Return]   [Cancel]

• **End Date** - End Date cannot be entered for Denied/Discontinued program status.

Primary: **Application Date:** ✳
PARENT NAME   05/01/2020
Funding Source: ✳
[Stage 1   ▾]

Status: ✳   **Status Reason:** ✳
[Discontinued ▾]   [Didn't Meet CW Req   ▾]

Begin Date: ✳   **End Date:**
[05/01/2020   ] 🗓   [06/01/2020   ] 🗓

                                                      [Save and Return]   [Cancel]

Figure 2.4.1 – Program Status Detail with Validation for an End-Dated Denied/Discontinued Status

Program Status Detail

✳ - Indicates required fields   [Save and Return]   [Cancel]

• **Program Status** - Cannot add an Approved status for a program which is currently Denied/Discontinued without re-application.

Primary: **Application Date:** ✳
PARENT NAME   05/01/2020 [Edit]
Funding Source: ✳   **Documents Provided Date:** ✳
[Stage 1   ▾]   07/15/2019

Status: ✳   **Retro Benefits?** ✳
[Active   ▾]   [No ▾]

Begin Date: ✳   **End Date:**
[05/01/2020   ] 🗓   [   ] 🗓

☐ **Applicants to Activate** ✳				
☐	**Name**	**DOB**	**Status**	**Begin Date**	**Role Reason**
☑	NAME, PARENT	01/01/2000	Discontinued	05/01/2020	Legal Guardian
☑	NAME, BOY	01/02/2019	Discontinued	05/01/2020	Child

                                                      [Save and Return]   [Cancel]

Figure 2.4.2 – Program Status Detail when Adding an Active Status After a Discontinued Status

Program Status Detail

* - Indicates required fields

[Save and Return] [Cancel]

• **Program Status** - **Cannot add a Denied status for a program which is currently Active.**

Primary:
PARENT NAME

Funding Source: *
[Stage 1 ▼]

Status: *
[Denied ▼]

Begin Date: *
[05/01/2020] 📅

Application Date: *
05/01/2020 [Edit]

Status Reason: *
[Child exceeded age ▼]

End Date:
[ ] 📅

[Save and Return] [Cancel]

Figure 2.4.3 – Program Status Detail when Adding a Denied Status After an Active Status

2.5.3 Description of Changes

1. Update the Program Status Detail page to log a 'Denial' event when a worker is adding a new high-dated program status and changes the default application by selecting a different application from the application dropdown and the default application is still pending. This information will be displayed on the Program History Detail and Person History Detail pages.
2. Add a new targeted validation message, "End Date – End Date cannot be entered when Denied/Discontinued program status.", to prevent a worker from adding an end date with a 'Discontinued' or 'Denied' as shown on Figure 2.4.1.
3. Update the Program Status Detail page to log a 'Denial Rescinded' event when a worker is adding a pending program status on a denied program status. This information will be displayed on the Program History Detail and Person History Detail pages.
4. Update the Program Status Detail page to log a 'Discontinuance Rescinded' event when a worker is adding a pending program status on a discontinued program status. This information will be displayed on the Program History Detail and Person History Detail pages.
5. Add a new targeted validation message, "Program Status – Cannot add an Approved status for a program which is currently Denied/Discontinued without re-application.", to prevent a worker from adding an active status on a discontinued or denied CC program as shown on Figure 2.4.2.
6. Add a new targeted validation message, "Program Status – Cannot add a Denied status for a program which is currently Active.", to prevent a worker from adding a denied status on an active CC program as shown on Figure 2.4.3.

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2.5.4 Page Location

- **Global: Child Care**
- **Local: Case Summary**
- **Task: Child Care Program Detail**

2.5.5 Security Updates

3. Security Rights

Security Right	Right Description	Right to Group Mapping

4. Security Groups

Security Group	Group Description	Group to Role Mapping

2.5.6 Page Mapping

No impact to this section.

2.5.7 Page Usage/Data Volume Impacts

No impact to this section.

2.6 [Automated Regression Test]

2.6.1 Overview

[Provide an overview of the automated regression test that needs to be updated.]

2.6.2 Description of Change

1. [Provide a detailed description of what needs to be updated in the automated regression test.]
   a. Sub point (if needed)
      i. additional sub point (if needed)
         1. Additional sub point (if needed)
2. Next Change (if needed)

3   SUPPORTING DOCUMENTS

Number	Functional Area	Description	Attachment

4 REQUIREMENTS

4.1 Project Requirements

REQ #	REQUIREMENT TEXT	How Requirement Met
2.28.2.18.1	The LRS shall include functionality to support child care services, for the following: a. Child care provider information; b. Referrals; c. Alert notices and NOA s; d. Tracking of activity and authorizations by child and case; e. Tracking of payments issued; f. Alternative Payment Program (APP) information; and g. Tracking and control of child care provider payment requests.	The Child Care status change process is updated to correct misaligned events logged on the program and person applications.

4.2 Migration Requirements

DDID #	REQUIREMENT TEXT	Contractor Assumptions	How Requirement Met

5 MIGRATION IMPACTS

SCR Number	Functional Area	Description	Impact	Priority	Address Prior to Migration?

6   OUTREACH

7   APPENDIX

CalSAWS

California Statewide Automated Welfare System

Design Document

CA-201435

DDCR 4007: Update Reception Log Detail
Worker ID Field

	DOCUMENT APPROVAL HISTORY	
CalSAWS	Prepared By	Erika Kusnadi-Cerezo
	Reviewed By	Long Nguyen, Christine Altavilla

DATE	DOCUMENT VERSION	REVISION DESCRIPTION	AUTHOR
12/13/2019	1.0	Initial	Erika Kusnadi-Cerezo
09/16/2020	2.0	All Mockups were updated so that 'Select' button is located right next to the text box	Erika Kusnadi-Cerezo
9/22/2020	3.0	Updated section 2.1.3.1.a.ii on how the list should be ordered.	Erika Kusnadi-Cerezo
9/28/2020	4.0	Added additional mockup to display what the Worker ID field will look like if using Chrome application. Added that the PGM code should also be display in the Worker ID field.	Erika Kusnadi-Cerezo

Table of Contents

1 OVERVIEW

The Reception Log Detail page is used by county workers in order to manage/track participants who are visiting the county offices. Through the Reception Log workers are able to send message(s) to the Message Center.

1.1 Current Design

Currently in the C-IV system, when users are adding or modifying a record in the Reception Log Detail page, the Worker ID field will autopopulate with a list of all workers associated to the case.

In LRS, users need to search for the worker they would like to have added to the Worker ID field. In order to find the correct worker, users need to reference the Case Summary page to obtain the worker information that is associated to the case.

1.2 Requests

Per DDCR 4007, migrate existing CIV functionality in the Reception Log Detail page where the Worker ID field will auto populate with a list of associated workers that are linked to the case.

1.3 Overview of Recommendations

1. Add the functionality of auto populating a list of workers associated to a case in the Worker ID field when users are adding or modifying a record in the Reception Log Detail page.

1.4 Assumptions

N/A

2 RECOMMENDATIONS

2.1 Reception Log Detail

2.1.1 Overview

The Reception Log Detail page is used by county workers in order to manage/track participants who are visiting the county offices. When users are adding or editing a record on the Reception Log Detail page, the Worker ID field should display an editable field that allows the users to manually enter a Worker ID or select a worker from a list that will auto populate a listing of workers that are associated to the case.

2.1.2 Reception Log Detail Mockup

Figure 2.1.1a – Reception Log Detail "Add" Mode Mockup (IE)

Figure 2.1.1b – Reception Log Detail "Add" Mode Mockup (Chrome)

Figure 2.1.1c – Reception Log Detail "Add" Mode Mockup (IE)

Figure 2.1.1d – Reception Log Detail "Add" Mode Mockup (Chrome)

Figure 2.1.2a – Reception Log Detail "Edit" Mode Mockup (IE)

Reception Log Detail

✱- Indicates required fields

[Save] [Remove] [Cancel]

Case Number:	Application Number:	Person Name: ✱	Office:	Date:	☐ Interpreter
L467977	00817369	PADDOCK, FLORETTA 70M ⌄	CalSAWS Project Office	09/28/2020	☐ Hide From Monitor

Description:

	Individual Type:	Emergency Requests:
	⌄	⌄
	Language:	Special Needs:
	⌄	⌄

Visit Information

☐ Initial Time	Purpose✱	Detail	Appt.Time	Program	Status	Number Assigned	Worker ID		Additional E-mail				
2:41 PM	Collections ⌄	⌄	10:30 AM ⌄	CW ⌄	Worker Notified		[▾]	[Select]			🔲 ❌ ⏺ ☑
	⌄	⌄	⌄	⌄	New ⌄			lect			[Add]

36LS08YF02
36LS08YF02 - Hesperia Ninth Cont, CWCF

36LS06ZC0A
36LS06ZC0A - Barstow Cont, MC

36LS48YJ00
36LS48YJ00 - Adelanto Cont, MCCF

36LS08YP03
36LS08YP03 - Hesperia Ninth Cont, MC

36LS48YJ02
36LS48YJ02 - Adelanto Cont, MCCF

[Remove]

[Save] [Remove] [Cancel]

Figure 2.1.2b – Reception Log Detail "Edit" Mode Mockup (Chrome)

Reception Log Detail

✱- Indicates required fields

[Save] [Remove] [Cancel]

Case Number:	Application Number:	Person Name: ✱	Office:	Date:	☐ Interpreter
B0KIN20		DOE, JOHN 14M ⌄	CalSAWS Project Office	09/16/2020	☐ Hide From Monitor

Description:

	Individual Type:	Emergency Requests:
	⌄	⌄
	Language:	Special Needs:
	⌄	⌄

Visit Information

☐ Initial Time	Purpose✱	Detail	Appt.Time	Program	Status	Number Assigned	Worker ID		Additional E-mail			
5:03 PM	Apply for Benefits ⌄	⌄	5:30 PM ⌄	CF ⌄	Worker Notified	A3	36LS08YF02	[Select]			🔲 ❌ ☑
☐	⌄	⌄	⌄	⌄	New ⌄		36LS08YF02 - Hesperia Ninth Cont, CWCF	[Select]		[Add]

[Remove]

[Save] [Remove] [Cancel]

Figure 2.1.2c – Reception Log Detail "Edit" Mode Mockup (IE)

Figure 2.1.2d – Reception Log Detail "Edit" Mode Mockup (Chrome)

2.1.3 Description of Changes

1. Add a field in the "Worker ID" column. This field will only be editable in Create and Edit mode.
   a. Editable field will allow user to enter a Worker ID, or they can click on the "Select" button to search for a Worker ID.
      i. When users click on the Editable field a dropdown box will display with a list of worker(s) associated to the case and linked cases.
         1. The worker will display on the list if they are currently assigned to a program (this includes all program statuses such as active, pending, discontinued etc).
         2. For program(s) that do not have a worker currently assigned to it, the system will display the most current worker that was associated to the program in the last 90 days.
         3. The list will not display worker(s) that have an inactive position, staff that's been end dated or staff that has a status of inactive or temp inactive.

            Note: Staff that's End dated with a future date will continue to display (as long as it meets the criteria listed on #1 and #2) until the date that's been assigned for the Staff to be End dated.

      ii. Workers will be displayed in an ascending order based on the Worker ID information. ~~order based on how their corresponding program is being listed on the Case Summary page.~~

Note: When users' click the "Select" button it should retain existing process flow.

2.1.4 Page Location

- **Reception Log Link on the LRS Home Page**

2.1.5 Security Updates

N/A

2.1.6 Page Mapping

N/A

2.1.7 Page Usage/Data Volume Impacts

N/A

3 REQUIREMENTS

3.1 Project Requirements

REQ #	REQUIREMENT TEXT	How Requirement Met
2.2.2.1	The LRS shall provide a method of tracking the following contacts via the traffic log: a. Face-to-face contacts; d. Inter-County transfer contacts; e. Traffic in the traditional office setting; f. Outreach User contacts in both fixed and non-fixed locations; g. Non-DPSS COUNTY Users; h. Non-COUNTY agencies;	Allows tracking of traffic in the traditional office setting.

	i. General public contacts, including e-Government; and j. Other contacts.	

CalSAWS

California Statewide Automated Welfare System

Design Document

CA-201446

DDCR 4052: Lobby Monitoring – Create a "Meeting Started" State

	DOCUMENT APPROVAL HISTORY	
CalSAWS	Prepared By	Erika Kusnadi-Cerezo
	Reviewed By	Long Nguyen, Christine Altavilla

DATE	DOCUMENT VERSION	REVISION DESCRIPTION	AUTHOR
4/7/2020	1.0	Initial	Erika Kusnadi-Cerezo
9/16/2020	2.0	Updated and added another mockup to match the update to the description of changes. Update the description of changes to have the Play button will display when reception log is in worker notified and worker acknowledged status. Added a note that no changes to message center on when the play icon should display.	Erika Kusnadi-Cerezo

Table of Contents

1 OVERVIEW

The Reception Log Detail page allows the county worker to record and edit the reception log entries for contact with a participant/beneficiary.

1.1 Current Design

Currently in the C-IV system, county workers are able to update the status for the reception log entries to "Meeting Started" from both message center and through the Reception Log Detail page. In the LRS/CalSAWS system the option to update the status to "Meeting Started" is only available through Message Center.

1.2 Requests

Update the LRS/CalSAWS system to allow county workers to update the reception log entries to "Meeting Started" from the Reception Log Detail page.

1.3 Overview of Recommendations

1. Update Reception Log Detail page to add a new button that will update the reception log entries status to "Meeting Started".

1.4 Assumptions

Existing functionality will continue to work unchanged.

2   RECOMMENDATIONS

Update the Reception Log Detail page so that county workers are able to update the status of the reception log entries to "Meeting Started" via Reception Log Detail page.

2.1   Reception Log Detail page

2.1.1   Overview

The Reception Log Detail page allows the county workers to record and edit the reception log entries for contact with a participant/beneficiary. With this change, county workers are able to update the status of the reception log entries to "Meeting Started" through the Reception Log Detail page as well as Message Center.

2.1.2   Reception Log Detail page Mockup

Figure 2.1.1 – Reception Log Detail Page "Edit" mode – Worker Acknowledged status

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Reception Log Detail

✱- Indicates required fields   [Save] [Remove] [Cancel]

Case Number:		Application Number:	Person Name: ✱	Office:	Date:	☐
B0KIN20			[DOE, JOHN 14M ▾]	CalSAWS Project Office	09/16/2020	Interpreter ☐Hide From Monitor

Description:
[   ]

Individual Type: [▾]
Language: [▾]

Emergency Requests: [▾]
Special Needs: [▾]

Visit Information

☐ Initial Time	Purpose✱	Detail	Appt.Time	Program	Status	Number Assigned	Worker ID	Additional E-mail	
5:03 PM	[Apply for Benefits ▾]	[▾]	[5:30 PM ▾]	[CF ▾]	Worker Notified	A3	19LS006500 [Select]	[ ]	🟧 ❎ ⏺ ☑
☐	[▾]	[▾]	[▾]	[▾]		[New ▾]	[Select]	[ ]	[Add]

[Remove]

[Save] [Remove] [Cancel]

Figure 2.1.2 – Reception Log Detail Page "Edit" mode – Worker Notified status

2.1.3 Description of Changes

1. Add a new 'Play' icon in Reception Log Detail page in "Edit" mode as shown in Figure 2.1.1
   a. Clicking the 'Play' icon will update the status of the reception log entry to "Meeting Started".
      i. The 'Play' icon will ~~only~~ display ~~if the~~ when the reception log entry is in 'Worker Notified' or 'Worker Acknowledged' status. ~~current status is in "Worker Acknowledged". It will also take the place of the 'Star' icon when the reception log entry is in "Worker Acknowledged" status.~~
      ii. After clicking the 'Play' icon, it will be grayed out and the worker will need to click the 'Save' button in order to start the meeting. At this time the status of the reception log entry will be updated to "Meeting Started".

   Note: The 'Play' icon added to the Reception Log Detail page will function the same way as the 'Play' icon in Message Center. 'Play' icon will continue to display in message center as it currently is.

2.1.4 Page Location

- **Reception Log Link on the LRS Home Page**

2.1.5 Security Updates

N/A

2.1.6 Page Mapping

N/A

2.1.7 Page Usage/Data Volume Impacts

N/A

3 REQUIREMENTS

3.1 Project Requirements

REQ #	REQUIREMENT TEXT	How Requirement Met
2.2.2.1	The LRS shall provide a method of tracking the following contacts via the traffic log: a. Face-to-face contacts; d. Inter-County transfer contacts; e. Traffic in the traditional office setting; f. Outreach User contacts in both fixed and non-fixed locations; g. Non-DPSS COUNTY Users; h. Non-COUNTY agencies; i. General public contacts, including e-Government; and j. Other contacts.	Allows tracking of traffic in the traditional office setting.

CalSAWS

California Statewide Automated Welfare System

Design Document

CA-208889 | CIV-104321

eICT III Updates

	DOCUMENT APPROVAL HISTORY	
CalSAWS	Prepared By	Steve Hancock, Connor O'Donnell, Gerald Limbrick
	Reviewed By	Howard Suksanti

DATE	DOCUMENT VERSION	REVISION DESCRIPTION	AUTHOR
	1.0	Initial Design for Approval	Steve Hancock, Connor O'Donnell, Gerald Limbrick
9/8/2020	1.2	Design clarification: Added notes and made cosmetic updates.	Jennifer Muna, Connor O'Donnell, Gerald Limbrick
9/8/2020	1.3	1. Added new batch requirement to include 2 new data elements for CitizenshipNumberTypes. 2. Added Deduction block page description.	Jennifer Muna, Connor O'Donnell, Gerald Limbrick
9/16/2020	1.4	1. Add ICT ABAWD Time Limit Month List Page 2. Changed ABAWD Effective Clock Date field to a link 3. Adjusted location of Foster Care State field and Was in Foster Care field 4. Adjusted logic for Spouse or Parent Served in the American Military field	Jennifer Muna, Connor O'Donnell, Gerald Limbrick

Table of Contents

1   OVERVIEW

The Electronic Inter County Transfer interface (E-ICT) allows county workers to electronically perform an Inter County Transfer (ICT) of a case and its clients from one county to another regardless of which consortium the participant resides.

The scope of this SCR is to modify the existing E-ICT Interface to include the information necessary for ongoing determination of programs.

1.1   Current Design

The eICT Interface transmits case, program, and person data to facilitate Inter County Transfers.

1.2   Requests

Update the eICT interface to incorporate data elements affected by ABAWD policy changes and EHIT Schema changes.

1.3   Overview of Recommendations

1. Update the EICT file to support new data elements in both the Outbound and Inbound file layouts for ABAWD policy changes and EHIT schema changes.
2. Update the ICT Detail page to display the new data elements being sent.

1.4   Assumptions

1. There will be no impact or changes required to the E-ICT image writer and reader.
2. Fields not mentioned to be modified within the description of changes will retain their current functionality.
3. Various code values from the eICT and from The Systems will not have a matching code to map with. This is currently the case with prior codes implemented. Workers will continue to review the data and make updates to non-mapped codes to valid codes in The Systems when the eICT is received.

2   RECOMMENDATIONS

2.1   ICT External Person Detail (ICT Person Detail in C-IV)

2.1.1   Overview

Display the following fields that will be transferred with an ICT.

- Individual Demographics block
  - **Is this person eligible to get a service from the Indian Health Service, a tribal health program, urban Indian health programs or through a referral from one of these programs?**
  - **Has this person gotten a service from the Indian Health Service, a tribal health program, or through a referral from one of these programs?**
  - **Was in Foster Care**
  - **Foster Care State**
  - Optional Sexual Orientation and Gender Identity (SOGI) Information block
    - **Gender Identification**
    - **Birth Certificate Gender**
    - **Sexual Orientation**
- Citizenship Documents block
  - **Immigration Status**
  - **Additional Information**
  - **PRUCOL**
  - **PRUCOL -INS Acknowledgement**
  - **Has this person lived in the U.S. continuously since 1996?**
- Additional Information block
  - **Served in the American Military**
  - **Spouse or Parent Served in the American Military**
- Income block
  - Projected Annual Income block
    - **Projected Annual Amount** (Moved from the Income block into the Projected Annual Income block)
    - **Calendar Year**
    - **Begin Date**
    - **End Date**
  - **RDP Shared Column Header**
- Deduction block
  - **RDP Shared Column Header**
- Time Limits block
  - **ABAWD Clock Effective Date**
- Other Health Care block
  - **Offered ESI**
  - **Affordability Standards**

2.1.2 ICT External Person Detail Mockup

Individual Demographics			
Social Security Number: 110-24-0269	**Reason for No SSN:**	**ATIN:**	**ITIN:**
CIN: 410028281	**Gender:** Female	**Date of Birth:** 04/08/1957	**Birth Country:** United States
Language: English	**Marital Status:**	**Was in Foster Care:** No	**Foster Care State:** CA
Hispanic: Yes	**US Entry Date:**	**Tribe State:**	**Tribe Name:**

Has this person gotten a service from the Indian Health Service, a tribal health program, or through a referral from one of these programs?:
No

Is this person eligible to get a service from the Indian Health Service, a tribal health program,urban Indian health programs or through a referral from one of these programs?:
No

Figure 2.1.1- CalSAWS: Individual Demographics Block

Is this person eligible to get a service from the Indian Health Service, a tribal health program, urban Indian health programs or through a referral from one of these programs?:
No

Race/Ethnic Origin:

American Indian or Alaskan Native

Black or African American

Asian

Filipino	Chinese	Japanese
Cambodian	Korean	Vietnamese
Asian Indian	Laotian	Hmong

Hispanic (Latino or Spanish origin)

Cuban	Mexican	Puerto Rican
Salvadoran	Guatemalan	Other Hispanic

Native Hawaiian or Other Pacific Islander

Native Hawaiian	Guamanian	Samoan

Other

White

Unknown

▼ Optional Sexual Orientation and Gender Identity (SOGI) Information

Gender Identity:	**Birth Certificate Gender:**	**Sexual Orientation:**
Female	Female	Straight or Heterosexual

Figure 2.1.2- CalSAWS: Optional Sexual Orientation and Gender Identity (SOGI) Information Block

Citizenship Documents

US Citizen:	**Immigration Status:**	**Additional Information:**
No		
PRUCOL:	**PRUCOL - INS Acknowledgement:**	**Has this person lived in the U.S. continuously since 1996?:**
No	No	No

Figure 2.1.3- CalSAWS: Citizenship Documents Block

Citizenship Documents

US Citizen:	Eligible Immigrant:	Qualified Non-Citizen Attestation:
Yes	No	

Immigration Status:
Resident since before 01/01/1972, eligible for status adjustment to LPR

Additional Information:
Filed for a U visa

PRUCOL:	PRUCOL - INS Acknowledgement:	Has this person lived in the U.S. continuously since 1996?:
No	No	No

Name	Type	Number	Entry Date	Expiration Date
No Data Found				

▼ Additional Information

Household Status: In the Home	Full Time Student:	Deprivation:
MFG:	CalLearn:	
Primary Earner:	Requesting Aid: Yes	Other Health Care:
WTW: No	WTW Status Date:	WTW Registration Status:
WINS WEI:	WINS Hours:	
Served in the American Military: No	Spouse/Parent Served in the American Military: No	

Figure 2.1.4- CalSAWS: Additional Information Block

▼ Income

Projected Annual Income

Projected Annual Amount: $0.00

Calendar Year: 2020	Begin Date: 01/01/2020	End Date: 02/01/2020

Source	Employer	Amount	Hire Date	Frequency	Begin Date - End Date	RDP Shared
Social Security Retirement		$1,014.00		Monthly	01/01/2020	

Figure 2.1.5- CalSAWS: Income Block

▾ Deductions				
Type	**Amount**	**Frequency**	**Begin Date - End Date**	**RDP Shared**
Other	$1,200.00	Annually	01/01/2018-01/01/2020	No

Figure 2.1.6- C-IV: Deduction Block

▾ Time Limits

ABAWD Clock Effective Date:
01/01/2020

Clocks	**Months Used**	**Months Remaining**	**Exemptions Count**	**Extenders Count**	**Exceptions Count**	**Current Status**	**End Date**
TANF	0	60	0	0	0	Not Ticking	
CalWORKs	0	48	0	0	0	Not Ticking	
WTW	0	24	0	0	0		

Figure 2.1.7- CalSAWS: Time Limits Block

Other Health Care

Enrolled:	**Current or Offered Health Program:**	
Employer Sponsored Insurance Premium:	**ESI Premium Frequency:**	**Offered ESI:** No
Minimum Standard Value:	**Expected Changes To Current Coverage:**	**Term Date Of Current Or Offered Coverage:**
Received Medicare Benefits:	**Employer Name:**	
Free Medicare Part A:	**Affordability Standards:** No	

Figure 2.1.9- CalSAWS: Other Health Care Block

2.1.3 Description of Changes

1. Add new fields to the Individual Demographics block:
    a. **Is this person eligible to get a service from the Indian Health Service, a tribal health program, urban Indian health programs or through a referral from one of these programs?** - Display as shown on the Individual Demographics Detail page.
    b. **Has this person gotten a service from the Indian Health Service, a tribal health program, or through a referral from one of these programs?** - Display as shown on the Individual Demographics Detail page.
    c. **C-IV Only: Was in Foster Care –** Display as shown in the MAGI Person Detail page.
    d. **C-IV Only: Foster Care State** - Display the two character state abbreviation.
    e. Add a new sub-block titled **Optional Sexual Orientation and Gender Identity (SOGI) Information** to the bottom of the Individual Demographics block. Display the following fields as shown in the Individual Demographics Detail page:
        i. **Gender Identification**
        ii. **Birth Certificate Gender**
        iii. **Sexual Orientation**
2. Add new fields to the Citizenship Documents block:
    a. **C-IV only:** Display the following fields as shown on the MAGI Person Detail page:
        i. **Immigration Status**
        ii. **Additional Information**
    b. Display the following fields as shown in the MAGI Determination Detail page**:**
        i. **PRUCOL**
        ii. **PRUCOL- INS Acknowledgement**
    c. Display the following field as shown on the Citizenship Status Detail page:
        i. **Has this person lived in the U.S. continuously since 1996?**
3. Add new fields to the Additional Information block:
    a. **Served in the American Military**
        i. **C-IV Only:** Display as "Yes" if Relationship to Military Veteran = "Self" and blank otherwise.
        ii. **LRS/CalSAWS Only:** Display as "Yes" if relationship to Military Veteran = "Military/Veteran" and blank otherwise.
    b. **Spouse or Parent Served in the American Military –**
        i. **C-IV Only:** Display as "Yes" if Relationship to Military Veteran = "Child" or "Spouse" and blank otherwise.
        ii. **LRS/CalSAWS Only:** Display as "Yes" if Relationship to Person = "Spouse", "Common Law", "Registered Domestic Partner", "Child", or "Step Child" and blank otherwise.

4. Add a sub-block titled **Projected Annual Income** to the Income block containing the following fields:
    a. Move the **Projected Annual Amount** field from the Income block to the Projected Annual Income block
    b. Add the following fields:
        i. **Calendar Year** – Display the year to which the Projected annual income is applicable, as a four-digit year
        ii. **Begin Date** – Display the begin date of the projected annual income formatted as 'MM/DD/YYYY'
        iii. **End Date** – Display the end date of the projected annual income formatted as 'MM/DD/YYYY'
5. **C-IV Only:** Add a new **RDP Shared** column header to the table in the Income Block
    a. The field under this header will be populated as either 'Y' or 'N' based on the inbound file.
6. **C-IV Only:** Add a new **RDP Shared** column header to the table in the Deduction block
    a. The field under this header will be populated as either 'Y' or 'N' based on the inbound file.
7. Add a new **ABAWD Effective Clock Date** field to the Time Limits block. Display the ABAWD Effective Clock Date Formatted as 'MM/DD/YYYY'. This field is a link leading to the new ICT ABAWD Time Limit Month List (described below).

   Note: This field will be displayed when the ICT Date is between the Start Date and End Date of the ABAWD Time Limit.

   Note: For LRS/CalSAWS only, these dates all begin on the 1st of the month. For C-IV, the dates may start at any time.

8. Add new fields to the Other Health Care block:
    a. **Offered ESI** – Display as shown on the MAGI Person Detail page
        i. **For LRS/CalSAWS:** Display as shown on the field **Offered ESI**
        ii. **For C-IV:** Display as shown on the field **Offered Employee Sponsored Insurance**
       Note: For both systems the new field will be labelled **Offered ESI**
    b. **Affordability Standards** – Display as shown on the MAGI Person Detail page
   Note: SCR CA-213468/CIV-106351 added new rows to the table in the Verification block: Medicare, MAGI Current Monthly income, MAGI Projected Annual income. These rows will be added to the eICT Interface.

2.1.4 Page Location

- **Global**: Case Info
- **Local**: e-Tools
- **Task**: Incoming ICT/Outgoing ICT

2.1.5 Security Updates

1. Security Rights

Security Right	Right Description	Right to Group Mapping
N/A		

2. Security Groups

Security Group	Group Description	Group to Role Mapping
N/A		

2.1.6 Page Mapping

Update the page mapping to include the new fields.

2.1.7 Page Usage/Data Volume Impacts

No impact to this section.

2.2.1 Overview

This new page will display a table in order to show the status and status reason of the ABAWD Time Limit Month List that will be transferred with an ICT.

2.2.2 ICT ABAWD Time Limit Month List Mockup

ICT ABAWD Time Limit Month List

				Close

Month/Year	Status	Status Reason	
01/2020	Geographically Waived		
02/2020	Geographically Waived		
03/2020	Geographically Waived		
04/2020	Geographically Waived		
05/2020	Exempted	Disability	
06/2020	Exempted	Disability	
07/2020	Geographically Waived		
08/2020	Geographically Waived		

			Close

Figure 2.2.1- CalSAWS: ICT ABAWD Time Limit Month List

2.2.3 Description of Changes

1. Create the new 'ICT ABAWD Time Limit Month List' page available via the ABAWB Effective Clock Date link on the ICT External Person Detail page (ICT Person Detail page in C-IV).
2. Add a new table with the following column headers. This table should display as shown on the ABAWD Time Limit Month List page.
   a. Month/Year
   b. Status
   c. Status Reason
   d. Empty/Blank header; this column is added for visual consistency with the previously existing ABAWD Time Limit Month List page
3. Add a 'Close' button (top and bottom of the table); this button will return the user to the ICT External Person Detail page (ICT Person Detail page in C-IV).

2.2.4 Page Location

- **Global**: Case Info
- **Local**: e-Tools
- **Task**: Incoming ICT/Outgoing ICT

2.2.5 Security Updates

3. Security Rights

Security Right	Right Description	Right to Group Mapping
N/A		

4. Security Groups

Security Group	Group Description	Group to Role Mapping
N/A		

2.2.6 Page Mapping

Update the page mapping to include the new fields.

2.2.7 Page Usage/Data Volume Impacts

2.3 Add New Data Elements to be Processed by The Systems (Inbound and Outbound)

2.3.1 Overview

Update the EICT file to support the new data elements detailed in the following sections. The current XSD file has already been modified to

include the updates. These new elements need to be added into the Systems processing of the inbound and outbound data.

2.3.2 Outbound - Description of Change

1. Add the following data elements to the EICT file processing:

Note: The Systems are currently not configured to send any 'Deductions' information in the interface. The Systems will not send the 'RDPDeductionInd' through eICT. The 'RDPDeductionInd' will be received by The Systems but will not be able to be transferred from the eICT table to the actual tables.

#	R	XSD Node	Online ICT Detail Page Program Block\Field	Data Item Name	Tag Name	Format	Length	Description
11.1		ACA Application		CalHEERS Application Id	CalHEERSApplicationID	String	30	CalHEERS Application Identifier corresponding to the application date.
29.1		Persons > Person Occurs		Individual – Gender Identification	GenderIdentification	String	1	Gender Identification of the person. See GENDER IDENTIFICATION table
29.2		Persons > Person Occurs		Individual – Birth Certificate Gender	BirthCertificateGenderCode	String	1	Gender of the person on their birth certificate. See BIRTH CERTIFICATE GENDER table.
29.3		Persons > Person Occurs		Individual – Sexual Orientation	SexualOrientationCode	String	1	Sexual Orientation of the person if reported. See Sexual Orientation table.

37.1	Persons > Person Occurs		Immigration Status	ImmigrationStatus	String	2	Field represents a consumer attested or County Eligibility Worker SAVE/USCIS Interface verified immigration status of the person. See IMMIGRATION STATUS table.
37.2	Persons > Person Occurs		Additional Immigration Status	AdditionalImmigrationStatusCode	String	2	Field represents a consumer attested or County Eligibility Worker SAVE/USCIS Interface verified immigration status of the person. See ADDITIONAL IMMIGRATION STATUS table.
37.3	Persons > Person Occurs		PRUCOL Ind	PRUCOLInd	String	1	The value corresponding to the individuals PRUCOL status based on the individuals attestation of immigration status.

37.4	Persons > Person Occurs		PRUCOL Last Category Ind	PRUCOLLastCate goryInd	String	1	The value corresponding to PRUCOL Last Category based SAWS Admin Verification.
40.1	Persons > Person Occurs		BeforeAug1996Ind	BeforeAug1996Ind	String	1	Indicates whether or not EDR states that consumer has lived in the United States since August 1996.
40.2	Persons > Person Occurs		Have Served in the American Military Indicator	HaveServedAmeri canMilitaryInd	String	1	Indicates if the person has served in the US Military.
40.3	Persons > Person Occurs		Spouse or Parent has Served in the American Military	SpouseorParentSe rvedAmericanMilit aryInd	String	1	Indicates if the person's spouse of parents served in the US Military.
53.3	Persons > Person Occurs > Documents > ACA Document Occurs		Document Date of Birth	DocumentDOB	Date	8	Date of Birth of Individual as shown on the Document (YYYYMMDD)

66.1		Persons > Person Occurs		Received Indian Health Service	ReceivedIndianHealthServiceInd	String	1	Indicates if the person has received Indian Health Services
66.2		Persons > Person Occurs		Eligible For Indian Health Service	EligibleForIndianHealthServiceInd	String	1	Indicates if the person is eligible for Indian Health Services.
127.1		Persons > Person Occurs > ACA Person > Non-MAGI Referrals		Former Foster Person Location Code	FormerFosterPersonLocationCode	String	2	Indicates person's location code when in Foster care. See FORMER FOSTER PERSON LOCATION table.
130.1		Persons > Person Occurs > ACA Person > Other Health Care		FreeMedicarePartAInd	FreeMedicarePartAInd	String	1	Indicates if this person is eligible for free Medicare Part A (Y/N). Will be either Entitled or Enrolled for Medicare Part A.
130.2		Persons > Person Occurs > ACA Person > Other Health Care		OfferedESIInd	OfferedESIInd	String	1	Indicates if this person has been offered insurance through any employer including an employer of spouse or parent, excluding

							COBRA and retiree
130.3		Persons > Person Occurs > ACA Person > Other Health Care		AffordabilityStandardsInd	AffordabilityStandardsInd	String	1	Indicates the plan meets the affordability standards (Y/N)
149.6		Persons > Person Occurs > ACA Person > ACA Verification		Was In Foster Care Admin Verification (WFC)	WasInFosterCareAdminVerifiedInd	String	1	Individual's Former Foster Youth status has been verified.
149.7		Persons > Person Occurs > ACA Person > ACA Verification		Projected Annual Income Electronic Verification (PAI)	ProjectedAnnualIncomeEVerifiedInd	String	1	Projected Annual Income has been electronically verified for reasonable compatibility.
149.8		Persons > Person Occurs > ACA Person > ACA Verification		Projected Annual Income Admin Verification (PAI)	ProjectedAnnualIncomeAdminVerifiedInd	String	1	Projected Annual Income has been verified for reasonable compatibility.

149.9		Persons > Person Occurs > ACA Person > ACA Verification		Current Monthly Income Electronic Verification (INC)	CurrentMonthlyIncomeEVerifiedInd	String	1	Current Monthly Income has been e-verified.
149.10		Persons > Person Occurs > ACA Person > ACA Verification		Current Monthly Income Admin Verification (INC)	CurrentMonthlyIncomeAdminVerifiedInd	String	1	Income has been verified.
149.11		Persons > Person Occurs > ACA Person > ACA Verification		Entitled to Medicare Electronic Verification (MED)	EntitledtoMedicareEVerifiedInd	String	1	Individual has been electronically verified as entitled to Medicare benefits.
149.12		Persons > Person Occurs > ACA Person > ACA Verification		Entitled to Medicare Admin Verification (MED)	EntitledtoMedicareAdminVerifiedInd	String	1	Individual has been verified as entitled to Medicare benefits.
149.13		Persons > Person Occurs > ACA Person > ACA Verification		Immigration Status Electronic Verification (IMM)	ImmigrationStatusAdminVerifiedInd	String	1	The corresponding value of Immigration Status and/or proxy Immigration

							Status derived from Document Type as verified by the County Eligibility Worker.
149. 14		Persons > Person Occurs > ACA Person > ACA Verification		PRUCOL Verification (PRU)	PRUCOLEVerified	String	1	The individuals Immigration Status is Electronically verified as PRUCOL.
149. 15		Persons > Person Occurs > ACA Person > ACA Verification		PRUCOL Verification (PCL)	PRUCOLAdminVer ified	String	1	The individuals Immigration Status is Admin verified as PRUCOL.
150. 1		Persons > Person Occurs > Incomes > PAI Info ('PAI Info' is a new node to be added into the processing of the inbound and outbound data.)		PAI Calendar Year	PAICalendarYear	String	8	(YYYY), The year to which a PAI value is being applied.

150.2	Persons > Person Occurs > Incomes > PAI Info > PAI Date Range ('PAI Date Range' is a new node to be added into the processing of the inbound and outbound data.)		Begin Date	BeginDate	Date	8	(YYYYMMDD), Beginning Date of the Projected Annual Income
150.3	Persons > Person Occurs > Incomes > PAI Info > PAI Date Range ('PAI Date Range' is a new node to be added into the processing of the		End Date	EndDate	Date	8	(YYYYMMDD), Ending Date of the Projected Annual Income

		inbound and outbound data.)					
152. 1		Persons > Person Occurs > Incomes > Income Occurs		Registered Domestic Partner Income Indicator	RDPIncomeInd	String	1	Indicates that income is for a Registered Domestic Partner. Y= The income is shared income between the RDPs. N = The income is not shared income between the RDPs.
160. 1		Persons > Person Occurs > Deductions > Deduction Occurs		Registered Domestic Partner Deduction Indicator	RDPDeductionInd	String	1	Indicates that deduction is for a Registered Domestic Partner and will be treated as such for Eligibility Determinations. Y= The deduction is a shared

							deduction between the RDPs. N = The deduction is not a shared deduction between the RDPs.
194. 1		Person > Person Occurs > TimeLimits > ABAWD		Individual - ABAWD Clock Effective Date (attribute)	EffectiveDate	String	6	This data element is used on MEDS to identify the beginning month and year a recipient became eligible for the ABAWD program (YYYYMM).
		Person > Person Occurs > TimeLimits > ABAWD > ABAWD Exemptions ('ABAWD Exemptions' is a new node to be added into the		NODE START				<ABAWDExemp tions>, </ABAWDExempt ions>

| 196 | | Person >
Person
Occurs >
TimeLimits >
ABAWD >
ABAWD
Exemptions | | Year Occurs (attribute):
jan="27" feb="27" mar="27"
apr="27" may="37" jun="37"
jul="27" aug="37" sep="86"
oct="86" nov="86" dec="86") | Year | | Integer | 4 | Months in the
year that have
an ABAWD
exemption. Only
include months
that have an
ABAWD
exemption. The
exemption
reason for the
specific month is
used in the
month attribute
(i.e. jan="27").
See ABAWD
EXEMPTION
REASON for the
exemption
reason for each
month. Years
should be in
occurs. |

processing
of the
inbound
and
outbound
data.)

#	R	XSD Node		Data Item Name			
		Person > Person Occurs > TimeLimits > ABAWD > ABAWD Exemptions ('ABAWD Exemptions' is a new node to be added into the processing of the inbound and outbound data.)	NODE END				

2. Update the following data elements to the EICT file processing:
   a. Before Update:

#	R	XSD Node	Online ICT Detail Page Program Block\Field	Data Item Name	Tag Name	Format	Length	Description
195		Person > Person Occurs >		Year **Occurs** (attribute): jan="X" feb="X" mar="X" apr="X" may="X" jun="X"	Year	Integer	4	Months in the year that has counts. Only include months

#	R	XSD Node	Online ICT Detail Page Program Block\Field	Data Item Name	Tag Name	Format	Length	Description
		TimeLimits > ABAWD		jul="X" aug="X" sep="X" oct="X" nov="X" dec="X")				that have counts. 'X' is used in the month attribute (i.e. jan="X"). Years should be in occurs.

b. After Update:

#	R	XSD Node	Online ICT Detail Page Program Block\Field	Data Item Name	Tag Name	Format	Length	Description
195		Person > Person Occurs > TimeLimits > ABAWD		Year **Occurs** (attribute): jan="P" feb="E" mar="E" apr="Z" may="W" jun="W" jul="W" aug="9" sep="9" oct="9" nov="9" dec="9")	Year	Integer	4	Months in the year that have an ABAWD clock status. Only include months that have a clock status. The status of the clock for the specific month is used in the month attribute (i.e. jan="P"). See ABAWD CLOCK STATUS for the status of the clock for each month. Years should be in occurs.

3. Update EICT Outbound Writer job to send the following Certificate Number Types:
   a. Naturalization Certificate Number
   b. Citizenship Certificate Number

2.3.3 Inbound - Description of Change

1. Update the EICT Inbound Reader to read the new elements outlined in the 'Outbound – Description of Change' section of this document to populate the ICT data tables with the new data elements.

2.3.4 File Transaction Table Values

The following table values will be sent and received through the EICT file. These tables correspond with EICT data elements.

1. ABAWD Clock Status

This Data Mapping is used for the following Data Item listed in this design:

- Data Item # = 195
- Data Item Name = Year
- The Systems Code = 842 (Time Limit Status Code
  - Reference Table = 5 (MEDS ABAWD Code)
- Mapping Note:
  - The Systems currently has the 'M' code expired. The Systems will not send this code through eICT. The code will be received by The Systems but will not be able to be transferred from the eICT table to the actual tables. The worker will need to resolve this code before accepting the eICT data.

EICT Code	EICT Code Description	Mapping Direction	The Systems Code	The Systems Code Description
F	15% ABAWD Exemption	←→	F	15% ABAWD Exemption
Z	ABAWD County Waiver	←→	Z	ABAWD County Waiver
M	ABAWD Moved from Non-Exempt County	→	{n/a}	{n/a}
A	Beneficiary has Appealed	←→	A	Beneficiary has Appealed
N	Did not Meet the Work Requirement	←→	N	Did not Meet the Work Requirement
E	Exempt from Work Requirement	←→	E	Exempt from Work Requirement
G	Good Cause	←→	G	Good Cause

9	Inactive or Ineligible	←——→	9	Inactive or Ineligible
W	Met the Work Requirement	←——→	W	Met the Work Requirement
P	Partial Month Clock	←——→	P	Partial Month Clock
C	Wk Rq 2ndConsSetMosNotMet	←——→	C	Wk Rq 2ndConsSetMosNotMet

2. ABAWD Exemption Reason

This Data Mapping is used for the following Data Item listed in this design:

- Data Item # = 196
- Data Item Name = Year
- The System Code = 863
- Mapping Note:
  - The Systems currently has codes that do not map to eICT codes. The Systems will send these codes through eICT. The code will be received by CalWIN where workers will resolve the codes before accepting the eICT data.
  - The eICT will be sending codes to The Systems that do not map to codes in The Systems. The codes will be received by The Systems but will not be able to be transferred from the eICT table to the actual tables. The worker will need to resolve this code before accepting the eICT data.

EICT Code	EICT Code Description	Mapping Direction	The Systems Code	The Systems Code Description
27	Disabled	←——→	DB	Disability
31	Pregnant and Cannot Work	←——→	PG	Pregnant
37	Incapable of Working	——→	{n/a}	{n/a}
41	Domestic Violence	——→	{n/a}	{n/a}
42	Dependent Child Under 18 in FS Household	←——→	CD	Child in the Home
43	Individual Living in an Area with	——→	{n/a}	{n/a}

	an ABAWD Waiver				
65	County Wide ABAWD Waiver	———▶	{n/a}		{n/a}
66	Individual is Exempt from Work Registration	◀——▶	WE		Work Registration Exempted
86	Chronically Homeless	———▶	{n/a}		{n/a}
87	15% ABAWD Exemption	———▶	{n/a}		{n/a}
88	Unfit for Work	◀——▶	UF		Unfit for Employment
{n/a}	{n/a}	◀——	BM		Backfill Month
{n/a}	{n/a}	◀——	NA		Not Aided
{n/a}	{n/a}	◀——	PR		Prorated Month
{n/a}	{n/a}	◀——	AE		Age

3. Birth Certificate Gender

This Data Mapping is used for the following Data Item listed in this design:

- Data Item # = 29.2
- Data Item Name = Individual – Birth Certificate Gender
- The Systems Code Table = 230 (Gender Code)
  - Reference Table = 1 (MEDS Gender Code)
- Mapping Note: There are no differences between the eICT codes and The Systems codes so codes will import and export as-is.

EICT Code	EICT Code Description	Mapping Direction	The Systems Code	The Systems Code Description
F	Female	◀——▶	F	Female
M	Male	◀——▶	M	Male

4. Additional Immigration Status

This Data Mapping is used for the following Data Item listed in this design:

- Data Item # = 37.2
- Data Item Name = Additional Immigration Status
- The Systems Code Table = 596 (CalHEERS Additional Immigration Status List Codes)
- Mapping Note: There are no differences between the eICT codes and The Systems codes so codes will import and export as-is.

EICT Code	EICT Code Description	Mapping Direction	The Systems Code	The Systems Code Description
FU	Filed for a U Visa	←→	FU	Filed for a U Visa
RR	Taking steps to apply for a T visa or for certification by the Office of Refugee Resettlement	←→	RR	Taking steps to apply for a T visa or for certification by the Office of Refugee Resettlement
BS	Battered non-citizen, or parent or child of battered non-citizen	←→	BS	Battered non-citizen, or parent or child of battered non-citizen

5. Former Foster Youth Location

This Data Mapping is used for the following Data Item listed in this design:

- Data Item # = 127.1
- Data Item Name = Former Foster Person Location Code
- The Systems Code Table = 241 (State Code)
  - Reference Table = 5 (Former Foster Youth Location Code)
- Mapping Note:
  - The eICT will be sending codes to The Systems that do not map to codes in The Systems. The codes will be received by The Systems but will not be able to be transferred from the eICT table to the actual tables. The worker will need to resolve this code before accepting the eICT data.

EICT Code	EICT Code Description	Mapping Direction	The System Code	The Systems Code Description
AL	Alabama	←→	AL	Alabama

AK	Alaska	←——→	AK	Alaska
AZ	Arizona	←——→	AZ	Arizona
AR	Arkansas	←——→	AR	Arkansas
CA	California	←——→	CA	California
CO	Colorado	←——→	CO	Colorado
CT	Connecticut	←——→	CT	Connecticut
DE	Delaware	←——→	DE	Delaware
DC	District of Columbia	←——→	DC	District of Columbia
FL	Florida	←——→	FL	Florida
GA	Georgia	←——→	GA	Georgia
HI	Hawaii	←——→	HI	Hawaii
ID	Idaho	←——→	ID	Idaho
IL	Illinois	←——→	IL	Illinois
IN	Indiana	←——→	IN	Indiana
IA	Iowa	←——→	IA	Iowa
KS	Kansas	←——→	KS	Kansas
KY	Kentucky	←——→	KY	Kentucky
LA	Louisiana	←——→	LA	Louisiana
ME	Maine	←——→	ME	Maine
MD	Maryland	←——→	MD	Maryland
MA	Massachusetts	←——→	MA	Massachusetts

MI	Michigan	←——→	MI	Michigan
MN	Minnesota	←——→	MN	Minnesota
MS	Mississippi	←——→	MS	Mississippi
MO	Missouri	←——→	MO	Missouri
MT	Montana	←——→	MT	Montana
NE	Nebraska	←——→	NE	Nebraska
NV	Nevada	←——→	NV	Nevada
NH	New Hampshire	←——→	NH	New Hampshire
NJ	New Jersey	←——→	NJ	New Jersey
NM	New Mexico	←——→	NM	New Mexico
NY	New York	←——→	NY	New York
NC	North Carolina	←——→	NC	North Carolina
ND	North Dakota	←——→	ND	North Dakota
OH	Ohio	←——→	OH	Ohio
OK	Oklahoma	←——→	OK	Oklahoma
OR	Oregon	←——→	OR	Oregon
PA	Pennsylvania	←——→	PA	Pennsylvania
RI	Rhode Island	←——→	RI	Rhode Island
SC	South Carolina	←——→	SC	South Carolina
SD	South Dakota	←——→	SD	South Dakota
TN	Tennessee	←——→	TN	Tennessee

TX	Texas	← →	TX	Texas
UT	Utah	← →	UT	Utah
VT	Vermont	← →	VT	Vermont
VA	Virginia	← →	VA	Virginia
WA	Washington	← →	WA	Washington
WV	West Virginia	← →	WV	West Virginia
WI	Wisconsin	← →	WI	Wisconsin
WY	Wyoming	← →	WY	Wyoming
AT	An American Indian or Alaska Native Tribe	→	{n/a}	{n/a}
US	US Territories	←	US	Armed Forces (Americas)
US	US Territories	←	US	Armed Forces (Africa, Canada, Europe, Middle East)
US	US Territories	←	US	Armed Forces (Pacific)
US	US Territories	←	US	American Samoa
US	US Territories	←	US	Federated States of Micronesia
US	US Territories	←	US	Guam
US	US Territories	←	US	Marshall Islands
US	US Territories	←	US	Northern Mariana Islands
US	US Territories	←	US	Puerto Rico
US	US Territories	←	US	Virgin Islands
US	US Territories	→	{n/a}	{n/a}

| DK | I Don't Know | ⟶ | {n/a} | {n/a} |

6. Immigration Status

This Data Mapping is used for the following Data Item listed in this design:

- Data Item # = 37.1
- Data Item Name = Immigration Status
- The Systems Code Table = 10519 (CalHEERS Immigration Status Codes)
- Mapping Note: There are no differences between the eICT codes and The Systems codes so codes will import and export as-is.

EICT Code	EICT Code Description	Mapping Direction	The System Code	The Systems Code Description
AB	Paroled into the United States for less than one year	⟷	AB	Paroled into the United States for less than one year
AC	Paroled into the United States for one year or more	⟷	AC	Paroled into the United States for one year or more
AD	Granted Deferred Action (but not under Deferred Action for Childhood Arrivals - DACA)	⟷	AD	Granted Deferred Action (but not under Deferred Action for Childhood Arrivals - DACA)
AE	Pending application for asylum with Employment Authorization or is under the age of 14 and has had a pending application for asylum for at least 180 days	⟷	AE	Pending application for asylum with Employment Authorization or is under the age of 14 and has had a pending application for asylum for at least 180 days
AI	Amerasian Immigrant	⟷	AI	Amerasian Immigrant
AP	Cuban/Haitian Entrant	⟷	AP	Cuban/Haitian Entrant

AS	Resident of American Samoa	←→	AS	Resident of American Samoa
BS	Battered non-citizen, or parent or child of battered non-citizen	←→	BS	Battered non-citizen, or parent or child of battered non-citizen
CE	Conditional Entrant granted before 1980	←→	CE	Conditional Entrant granted before 1980
CI	An immigrant who entered and has continuously resided in the United States since before January 1, 1972, who would be eligible for an adjustment of status to lawful permanent resident (eligible as a Registry immigrant)	←→	CI	An immigrant who entered and has continuously resided in the United States since before January 1, 1972, who would be eligible for an adjustment of status to lawful permanent resident (eligible as a Registry immigrant)
CM	Citizens of Micronesia, the Marshall Islands, and Palau	←→	CM	Citizens of Micronesia, the Marshall Islands, and Palau
CQ	Pending application for Creation of Record of Lawful Admission for Permanent Residence, with Employment Authorization	←→	CQ	Pending application for Creation of Record of Lawful Admission for Permanent Residence, with Employment Authorization
CR	Registry applicant, with Employment Authorization	←→	CR	Registry applicant, with Employment Authorization

DA	Pending application for suspension of deportation, or cancellation of removal or special rule cancellation of removal, with Employment Authorization	←——→	DA	Pending application for suspension of deportation, or cancellation of removal or special rule cancellation of removal, with Employment Authorization
DC	Granted Deferred Action for Childhood Arrivals – (DACA)	←——→	DC	Granted Deferred Action for Childhood Arrivals – (DACA)
DE	Granted Deferred Enforced Departure	←——→	DE	Granted Deferred Enforced Departure
DS	Administrative order staying removal issued by the Department of Homeland Security	←——→	DS	Administrative order staying removal issued by the Department of Homeland Security
FB	Family Unity Beneficiary	←——→	FB	Family Unity Beneficiary
FU	Filed for a U visa	←——→	FU	Filed for a U visa
GA	Asylee	←——→	GA	Asylee
GD	Granted withholding of deportation or removal	←——→	GD	Granted withholding of deportation or removal
GS	Granted suspension of deportation whose departure USCIS does not contemplate enforcing	←——→	GS	Granted suspension of deportation whose departure USCIS does not contemplate enforcing

GT	Granted Temporary Protected Status (TPS), or pending applicants for TPS (pending applicants must have Employment Authorization)	←→	GT	Granted Temporary Protected Status (TPS), or pending applicants for TPS (pending applicants must have Employment Authorization)
GU	Granted U non-immigrant visa	←→	GU	Granted U non-immigrant visa
GV	Granted a Victim of Trafficking visa (T visa), or spouse, child, sibling, or parent	←→	GV	Granted a Victim of Trafficking visa (T visa), or spouse, child, sibling, or parent
GW	Granted withholding of removal under the Convention against Torture – CAT	←→	GW	Granted withholding of removal under the Convention against Torture – CAT
IC	Pending application for legalization under Immigration Reform and Control Act - IRCA, with Employment Authorization	←→	IC	Pending application for legalization under Immigration Reform and Control Act - IRCA, with Employment Authorization
IS	Granted a stay of deportation	←→	IS	Granted a stay of deportation
JS	Pending application for Special Immigrant Juvenile Status	←→	JS	Pending application for Special Immigrant Juvenile Status
LA	Pending application for legalization under the LIFE Act, with Employment Authorization	←→	LA	Pending application for legalization under the LIFE Act, with

				Employment Authorization
LP	Lawful Permanent Resident (LPR/Green Card holder)	←→	LP	Lawful Permanent Resident (LPR/Green Card holder)
LT	Lawful Temporary Resident (special agricultural workers, or certain immigrants admitted into the U.S. before 1982)	←→	LT	Lawful Temporary Resident (special agricultural workers, or certain immigrants admitted into the U.S. before 1982)
NS	Document or Status Not Listed	←→	NS	Document or Status Not Listed
OA	Granted Order of Supervision, without Employment Authorization	←→	OA	Granted Order of Supervision, without Employment Authorization
OS	Granted Order of Supervision, with Employment Authorization	←→	OS	Granted Order of Supervision, with Employment Authorization
PD	Pending application for withholding of removal with Employment Authorization, or is under the age of 14 and has had a pending application for withholding of removal for at least 180 days	←→	PD	Pending application for withholding of removal with Employment Authorization, or is under the age of 14 and has had a pending application for withholding of removal for at least 180 days
PP	A non-citizen, without a visa petition, who has a pending application for adjustment to LPR Status, with Employment Authorization	←→	PP	A non-citizen, without a visa petition, who has a pending application for adjustment to LPR

				Status, with Employment Authorization
PQ	A non-citizen who has a pending application for adjustment to LPR status, without Employment Authorization	←→	PQ	A non-citizen who has a pending application for adjustment to LPR status, without Employment Authorization
PR	A non-citizen with an approved visa petition, who has a pending application for adjustment to LPR status	←→	PR	A non-citizen with an approved visa petition, who has a pending application for adjustment to LPR status
RA	Refugee	←→	RA	Refugee
RP	A non-citizen on whose behalf an immediate relative petition (I-130) has been approved and who is entitled to voluntary departure	←→	RP	A non-citizen on whose behalf an immediate relative petition (I-130) has been approved and who is entitled to voluntary departure
RR	Taking steps to apply for a T visa or for certification by the Office of Refugee Resettlement	←→	RR	Taking steps to apply for a T visa or for certification by the Office of Refugee Resettlement
SV	Student Visa – Granted a student visa (e.g. F or M visa)	←→	SV	Student Visa – Granted a student visa (e.g. F or M visa)
VD	Granted voluntary departure and awaiting issuance of a visa	←→	VD	Granted voluntary departure and awaiting issuance of a visa

VT	Pending application for a Victim of Trafficking visa (T visa), or spouse, child, sibling, or parent	←——→	VT	Pending application for a Victim of Trafficking visa (T visa), or spouse, child, sibling, or parent
VV	Visitor Visa – Granted a visitor visa (e.g. B visa)	←——→	VV	Visitor Visa – Granted a visitor visa (e.g. B visa)
WV	Work Visa – Granted a work visa (e.g. H-1, J-1, O, R, P visa)	←——→	WV	Work Visa – Granted a work visa (e.g. H-1, J-1, O, R, P visa)

7. Sexual Orientation

This Data Mapping is used for the following Data Item listed in this design:

- Data Item # = 29.3
- Data Item Name = Individual – Sexual Orientation
- The Systems Code Table = 524 (Sexual Orientation Code)
  - Reference Table = 1 (CalHEERS)
- Mapping Note: There are no differences between the eICT codes and The Systems codes so codes will import and export as-is.

EICT Code	EICT Code Description	Mapping Direction	The Systems Code	The Systems Code Description
S	Straight or Heterosexual	←——→	S	Straight or Heterosexual
G	Gay or Lesbian	←——→	G	Gay or Lesbian
B	Bisexual	←——→	B	Bisexual
A	Another Sexual Orientation	←——→	A	Another Sexual Orientation
U	Unknown	←——→	U	Unknown
Q	Queer	←——→	Q	Queer

8. Gender Identification

This Data Mapping is used for the following Data Item listed in this design:
- Data Item # = 29.1
- Data Item Name = Individual – Gender Identification
- The Systems Code Table = 523 (Gender Identity Code)
  - Reference Table = 4 (CalHEERS)
- Mapping Note: There are no differences between the eICT codes and The Systems codes so codes will import and export as-is.

EICT Code	EICT Code Description	Mapping Direction	The Systems Code	The Systems Code Description
F	Female	←→	F	Female
M	Male	←→	M	Male
A	Another Gender Identity	←→	A	Another Gender Identity
T	Transgender: Male to Female	←→	T	Transgender: Male to Female
G	Transgender: Female to Male	←→	G	Transgender: Female to Male
B	Non Binary (neither male nor female)	←→	B	Non Binary (neither male nor female)

2.3.5 Execution Frequency

No changes to the current frequency.

2.3.6 Key Scheduling Dependencies

No changes to the current dependencies.

2.3.7 Counties Impacted

All Counties.

2.3.8 Data Volume/Performance

No change in the data volume and performance.

2.3.9 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

3.1 Project Requirements

REQ #	REQUIREMENT TEXT	How Requirement Met
2.20.1.18	The LRS shall include in the design methods where interfaces to the LRS are simple to make additions, deletions and modifications for the import and export of data.	Add the new fields to the ICT online pages and new elements to the EICT Interface file.

CalSAWS

California Statewide Automated Welfare System

DRAFT

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
  - o The use of envelopes as separators will be implemented in CA-214048 (Categorize by OCR)
  - o 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)
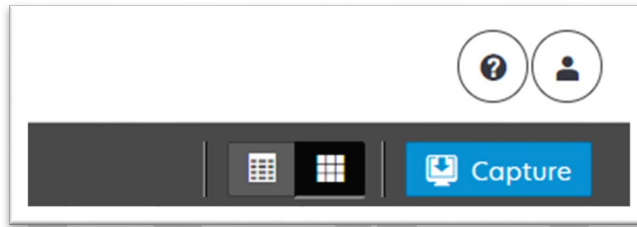
DRAFT

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"
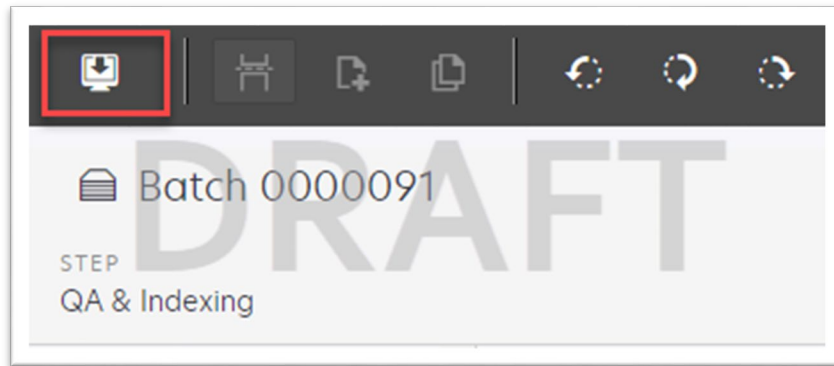
Figure 2.1.5.1 – Rescan/Capture Mockup
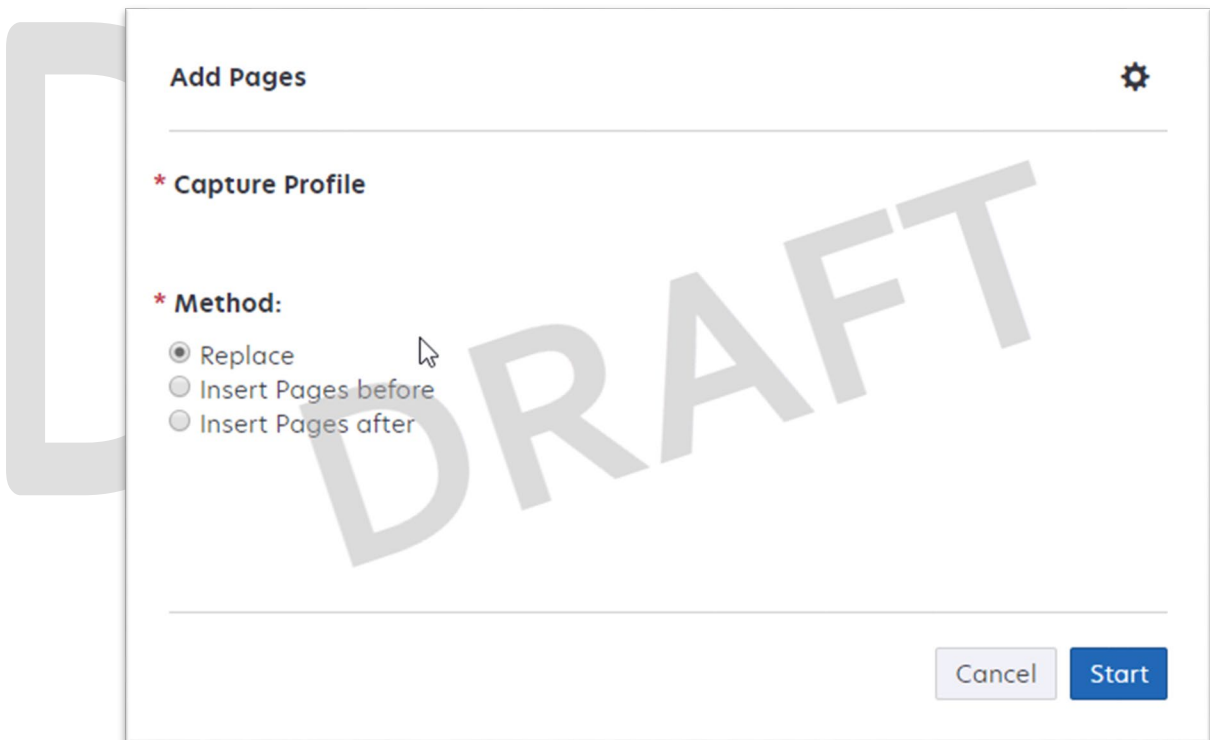
Figure 2.1.5.2 – Add Pages Mockup

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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.
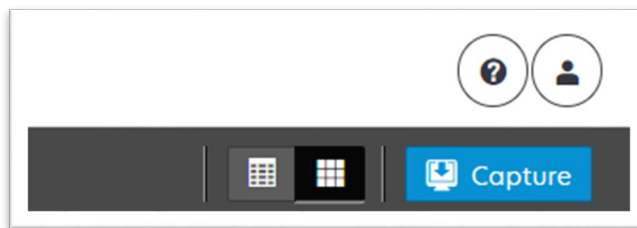
Figure 2.4.1.1 – Capture Mockup

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"
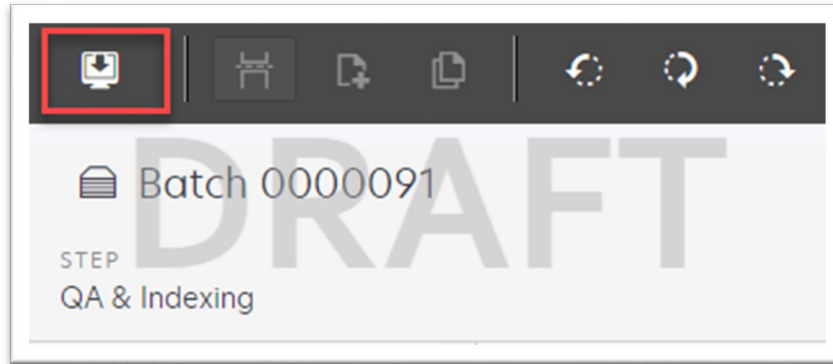
Figure 2.4.5.1 – Rescan/Capture Mockup
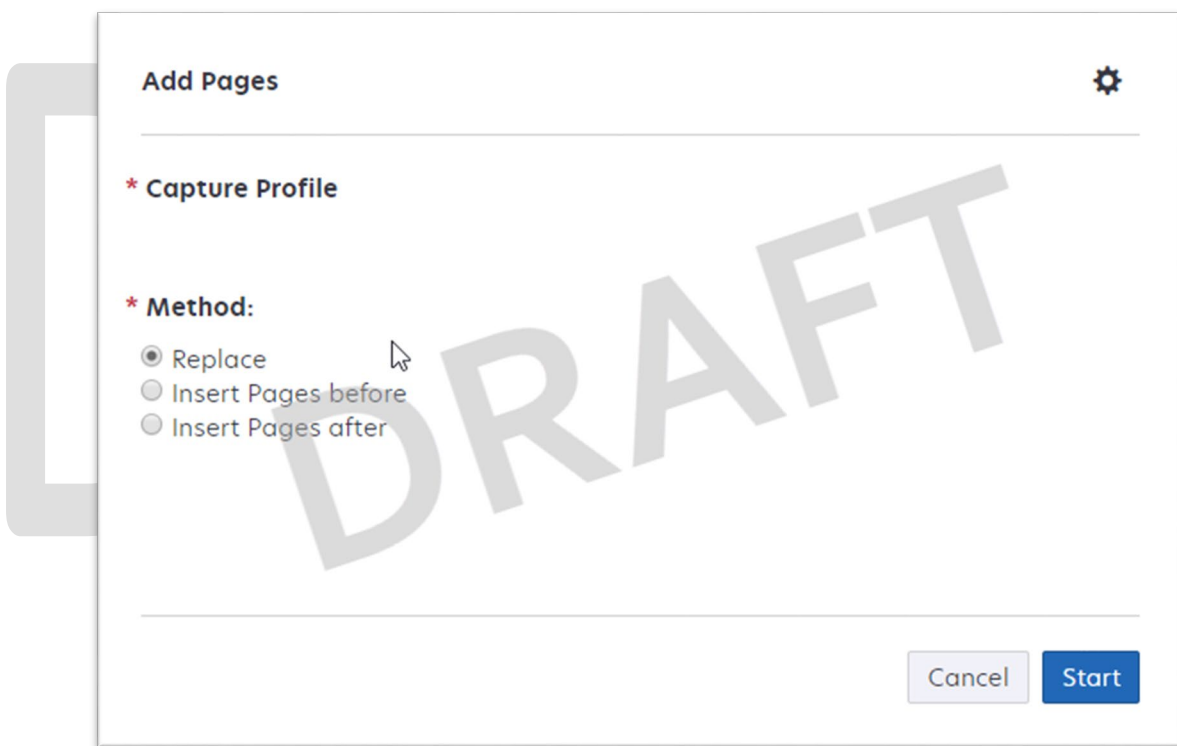
Figure 2.4.5.2 – Add Pages Mockup

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.
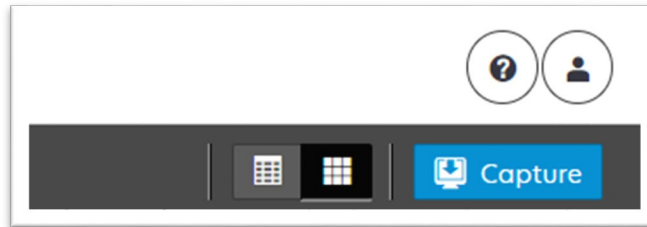

Figure 2.5.1.1 – Capture Mockup

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"
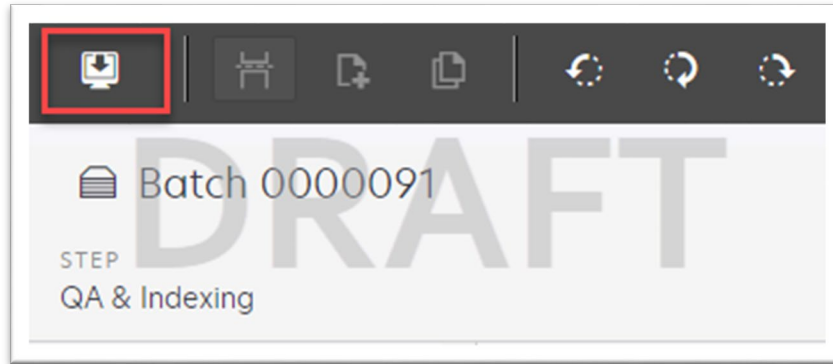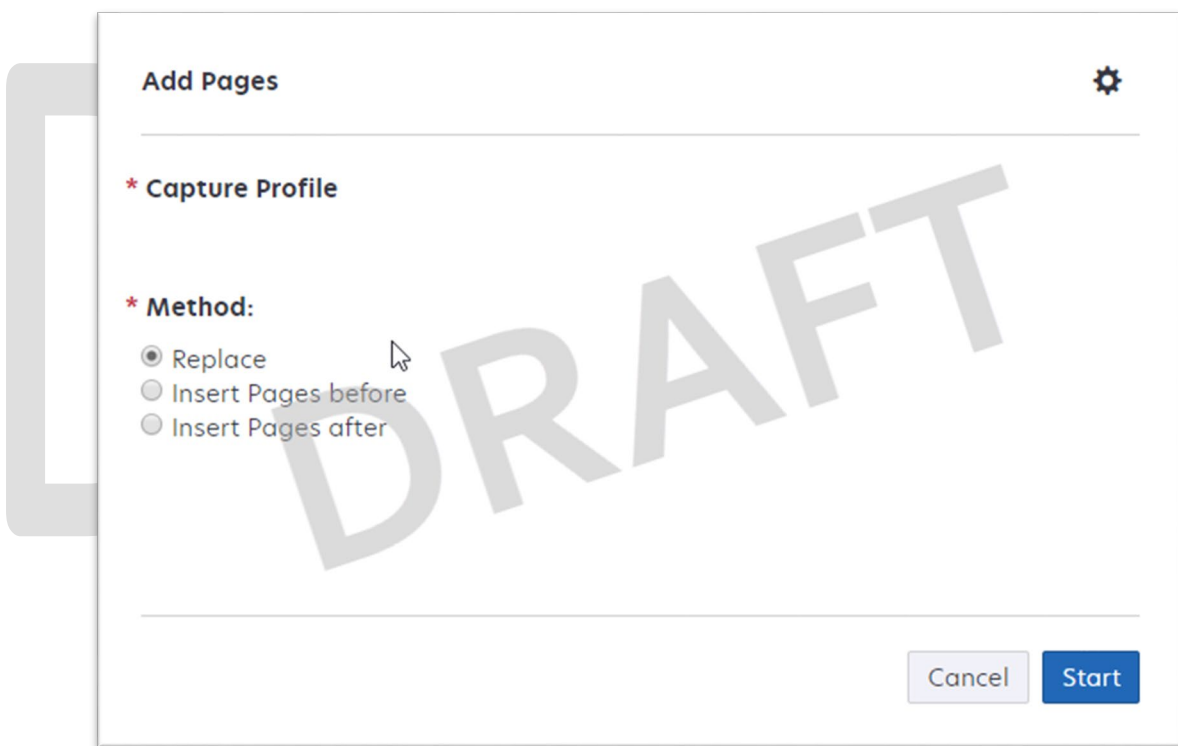
Figure 2.5.5.1 – Rescan/Capture Mockup

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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