CalSAWS

California Statewide Automated Welfare System

Design Document

CA-234773

Update Reports to Exclude LIHEAP/SUAS and WINS Issuances

CalSAWS	DOCUMENT APPROVAL HISTORY	
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DATE	DOCUMENT VERSION	REVISION DESCRIPTION	AUTHOR
10/15/2021	1.0	Initial Document	Sophia Fernandez
01/20/2022	1.5	Add additional minor requirement to the Integrated CalFresh Issuance Detail Claiming Report to add additional code logic to the Summary sheet.	Diana Bonilla, Thao Ta

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1 OVERVIEW

Low Income Home Energy Assistance Program (LIHEAP), State Utility Assistance Subsidy (SUAS) and Work Incentive Nutritional Supplement (WINS) issuances are cash EBT benefits issued under the CalFresh program. These issuances should only be displaying on the LIHEAP/SUAS specific reports. This SCR updates four CalSAWS reports to remove LIHEAP/SUAS and WINS issuances.

Los Angeles County had originally requested to add L1 and L2 pay codes to the Cash EBT Production Reconciliation Report. However, LIHEAP/SUAS and WINS payments should not be included in the Cash EBT Production Reconciliation Report. There are separate existing reports that are devoted specifically to LIHEAP/SUAS and WIN issuances (as listed in the Request below).

The changes outlined in this design document will have no impact on Los Angeles County.

1.1 Current Design

Issuances related to the Low Income Home Energy Assistance Program (LIHEAP), State Utility Assistance Subsidy (SUAS) and Work Incentive Nutritional Supplement (WINS) can be found in the following reports:

- CalFresh Supplemental Issuance Register
- CalFresh EBT Production Reconciliation Report
- Integrated CalFresh Issuance Detail Claiming Report
- Cash EBT Production Reconciliation Report

1.2 Requests

LIHEAP/SUAS issuances are cash EBT benefits issued under the CalFresh program. These issuances should only be displayed on the following LIHEAP/SUAS specific reports:

- LIHEAP/SUAS Benefit Issuance Register (Daily)
- LIHEAP/SUAS Benefit Issuance Register (Monthly)
- LIHEAP/SUAS Benefit Production Reconciliation Report

WINS issuances should only be displayed on the following WINS specific reports:

- WINS Benefit Issuance Register Daily
- WINS Benefit Production Reconciliation Report
- WINS Cert Report
- WINS 2

LIHEAP/SUAS and WINS payments should not be included on the following reports:

- CalFresh Supplemental Issuance Register
- CalFresh EBT Production Reconciliation Report

- Integrated CalFresh Issuance Detail Claiming report
- Supplemental Benefit Issuance EBT Register
- Cash EBT Production Reconciliation Report
- Integrated Payroll Benefit Issuance Detail Claiming Report

Note: By default, the following reports are excluding the CalFresh program and should not include the LIHEAP/SUAS and WINS payments:

- Supplemental Benefit Issuance EBT Register
- Cash EBT Production Reconciliation Report
- Integrated Payroll Benefit Issuance Detail Claiming Report

1.3 Overview of Recommendations

1. Update the following reports by excluding LIHEAP/SUAS and WINS issuances:
    a. CalFresh Supplemental Issuance Register
    b. CalFresh EBT Production Reconciliation Report
    c. Integrated CalFresh Issuance Detail Claiming Report
    d. Cash EBT Production Reconciliation Report
2. Update the Summary sheet reporting logic of the following report to use the latest EDBC record for a given program:
    a. the Integrated CalFresh Issuance Detail Claiming Report

1.4 Assumptions

1. The following reports listed in the request are either properly excluding or including LIHEAP/SUAS and WINS payments as requested. No changes will be needed for those reports.

- LIHEAP/SUAS Benefit Issuance Register (Daily)
- LIHEAP/SUAS Benefit Issuance Register (Monthly)
- LIHEAP/SUAS Benefit Production Reconciliation Report
- WINS Benefit Issuance Register Daily
- WINS Benefit Production Reconciliation Report
- WINS Cert Report
- WINS 2
- Supplemental Benefit Issuance EBT Register
- Integrated Payroll Benefit Issuance Detail Claiming Report

2 RECOMMENDATIONS

2.1 CalFresh Supplemental Issuance Register

2.1.1 Overview

The CalFresh Supplemental Issuance Register report provides all the supplemental CalFresh issuance transaction information, ordered by Control Number. The report also includes cancellations. It is a daily scheduled report. This section will update the report by excluding LIHEAP/SUAS and WINS issuances.

2.1.2 CalFresh Supplemental Issuance Register Mockup

CalSAWS **CalFresh Supplemental Issuance Register**

Los Angeles
Run Date: OCT-17-21 12:55 AM
Date: 10/16/2021

EBT Issuance Summary

	Person Count							
Details	Fed	Non Fed	FBU Count	Fed Amount	Non Fed Amount	Unclaimed Amount	Amount	Transaction Count
Current Totals:	2,793	42	1,629	$436,946.01	$14,077.92	$0.00	$451,023.93	2,247
Prior Totals:	1,070	15	631	$100,142.00	$1,227.00	$0.00	$101,369.00	760
Future Totals:	13	0	9	$2,918.00	$0.00	$0.00	$2,918.00	9
Overall Totals:	3,876	57	2,269	$540,006.01	$15,304.92	$0.00	$555,310.93	3,016

	Person Count							
Transaction Type	Fed	Non Fed	FBU Count	Fed Amount	Non Fed Amount	Unclaimed Amount	Amount	Transaction Count
Issuance	3,876	57	2,269	$540,006.01	$15,304.92	$0.00	$555,310.93	3,016
Cancellation	0	0	0	$0.00	$0.00	$0.00	$0.00	0

Manual Issuance Summary

	Person Count							
Details	Fed	Non Fed	FBU Count	Fed Amount	Non Fed Amount	Unclaimed Amount	Amount	Transaction Count
Current Totals:	0	0	0	$0.00	$0.00	$0.00	$0.00	0
Prior Totals:	0	0	0	$0.00	$0.00	$0.00	$0.00	0
Overall Totals:	0	0	0	$0.00	$0.00	$0.00	$0.00	0

	Person Count							
Transaction Type	Fed	Non Fed	FBU Count	Fed Amount	Non Fed Amount	Unclaimed Amount	Amount	Transaction Count
Issuance	0	0	0	$0.00	$0.00	$0.00	$0.00	0
Cancellation	0	0	0	$0.00	$0.00	$0.00	$0.00	0

External Issuance Summary

	Person Count							
Details	Fed	Non Fed	FBU Count	Fed Amount	Non Fed Amount	Unclaimed Amount	Amount	Transaction Count
Current Totals:	0	0	0	$0.00	$0.00	$0.00	$0.00	0
Prior Totals:	0	0	0	$0.00	$0.00	$0.00	$0.00	0
Overall Totals:	0	0	0	$0.00	$0.00	$0.00	$0.00	0

	Person Count							
Transaction Type	Fed	Non Fed	FBU Count	Fed Amount	Non Fed Amount	Unclaimed Amount	Amount	Transaction Count
Issuance	0	0	0	$0.00	$0.00	$0.00	$0.00	0
Cancellation	0	0	0	$0.00	$0.00	$0.00	$0.00	0

Expungement Summary

	Person Count							
Details	Fed	Non Fed	FBU Count	Fed Amount	Non Fed Amount	Unclaimed Amount	Amount	Transaction Count
Current Totals:	0	0	0	$0.00	$0.00	$0.00	$0.00	0
Prior Totals:	-172	0	-138	($24,189.27)	($1,590.48)	$0.00	($25,779.75)	783
Overall Totals:	-172	0	-138	($24,189.27)	($1,590.48)	$0.00	($25,779.75)	783

Figure 2.1.2.1 CalFresh Supplemental Issuance Register Mockup – Issuance Summary Sheet

CalSAWS	CalFresh Supplemental Issuance Register	
Los Angeles		
Run Date: OCT-17-21 12:55 AM		
Date: 10/16/2021		
EBT Availability Date Summary		
Availability Date	**Transaction Count**	**Total**
10/16/2021	3,020	$555,973.93

Figure 2.1.2.2 CalFresh Supplemental Issuance Register Mockup – EBT Availability Summary Sheet

CalSAWS CalFresh Supplemental Issuance Register
Los Angeles
Run Date: OCT-17-21 12:55 AM
Date: 10/16/2021
EBT
Summary

						Person Count														
					Transaction Count	0														
					Overall Totals	0	0	0										$0.00	$0.00	$0.00
Transaction Type	Control Number	Aid Code	Case Number	Case Name	Payee Name	Fed	Non Fed	FBU Count	Claimed	Benefit Month	Prior (Y/N)	Future (Y/N)	Availability Date	Issue Date	Auth. Worker ID	PA/NA	HH Type	Fed Amount	Non Fed Amount	Amount

Figure 2.1.2.3 CalFresh Supplemental Issuance Register Mockup – EBT Details Sheet

CalSAWS CalFresh Supplemental Issuance Register
Los Angeles
Run Date: OCT-17-21 12:55 AM
Date: 10/16/2021
Manually Issued
Summary

						Person Count													
					Transaction Count	0													
					Overall Totals	0	0	0									$0.00	$0.00	$0.00
Transaction Type	Control Number	Aid Code	Case Number	Case Name	Payee Name	Fed	Non Fed	FBU Count	Claimed	Benefit Month	Prior (Y/N)	Availability Date	Issue Date	Auth. Worker ID	PA/NA	HH Type	Fed Amount	Non Fed Amount	Amount

Figure 2.1.2.4 CalFresh Supplemental Issuance Register Mockup – Manual Details Sheet

CalSAWS CalFresh Supplemental Issuance Register
Los Angeles
Run Date: OCT-17-21 12:55 AM
Date: 10/16/2021
Externally Issued
Summary

						Person Count													
					Transaction Count	0													
					Overall Totals	0	0	0									$0.00	$0.00	$0.00
Transaction Type	Control Number	Aid Code	Case Number	Case Name	Payee Name	Fed	Non Fed	FBU Count	Claimed	Benefit Month	Prior (Y/N)	Availability Date	Issue Date	Auth. Worker ID	PA/NA	HH Type	Fed Amount	Non Fed Amount	Amount

Figure 2.1.2.5 CalFresh Supplemental Issuance Register Mockup – External Details Sheet

CalSAWS CalFresh Supplemental Issuance Register
Los Angeles
Run Date: OCT-17-21 12:55 AM
Date: 10/16/2021
Expungements
Summary

					Person Count													
				Transaction Count	0													
				Overall Totals	0	0	0								$0.00	$0.00	$0.00
Control Number	Aid Code	Case Numbe	Case Name	Payee Name	Fed	Non Fed	FBU Count	Claimed	Benefit Month	Prior (Y/N)	Availability Date	Expungement Date	Auth. Worker ID	PA/NA	HH Type	Fed Amount	Non Fed Amount	Amount

Figure 2.1.2.6 CalFresh Supplemental Issuance Register Mockup – Expungement Details Sheet

Note: No template changes are required at this time for the CalFresh Supplemental Issuance Register

2.1.3 Description of Change

1. Remove LIHEAP/ SUAS and WINS issuances which are represented by the following pay codes:

Code Detail Table Category ID	Pay Code	Code Value
CT 623	L1	LIHEAP
CT 623	L2	SUAS
CT 623	L3	SUAS/LIHEAP issued outside of CWD
CT 623	AA	WINS

Technical Note: The LIHEAP and SUAS pay codes can be excluded with either of the following conditions:

1. CLAIM_HIST.PAY_CODE NOT IN ('L1','L2','L3')
2. ISSUANCE_DETL.PAY_CODE NOT IN ('L1','L2','L3')

The WINS pay code can be excluded with either of the following conditions:

1. NVL(CLAIM_HIST.PAY_CODE, ' ') <> 'AA'
2. NVL(ISSUANCE_DETL.PAY_CODE, ' ') != 'AA'

2.1.4 Report Location

- **Global:** Reports
- **Local:** Scheduled
- **Task:** Fiscal

2.1.5 Counties Impacted

All CalSAWS counties will be impacted by the changes described in this SCR.

2.1.6 Security Updates

N/A

2.1.7 Report Usage/Performance

The changes introduced by this SCR will have negligible impact on the report's performance.

2.2 CalFresh EBT Production Reconciliation Report

2.2.1 Overview

The CalFresh EBT Production Reconciliation Report provides detailed issuance information for all Electronic Benefit Transfer transactions to reconcile with other systems. It is a daily scheduled report. This section will update the report by excluding LIHEAP/SUAS and WINS issuances.

2.2.2 CalFresh EBT Production Reconciliation Report Mockup

CalSAWS	CalFresh EBT Production Reconciliation Report			
San Bernardino				
Run Date: OCT-30-21 08:31 PM				
Date: 10/17/2021				
Cancelled Summary				Details
		Total:	0	$0.00
Category		-		
Aid Code	Pay Code	Availability Date	Transaction Count	Benefit Amount
-	-	-	0	$0.00
Subtotal			0	$0.00

Figure 2.2.2.1 CalFresh EBT Production Reconciliation Report Mockup – Category Summary Sheet

CalSAWS	CalFresh EBT Production Reconciliation Report					
San Bernardino						
Run Date: OCT-30-21 08:31 PM						
Date: 10/17/2021						
Availability Date Summary						
Total:	$0.00	0	$0.00	0	$0.00	0
Availability Date	Rushed Amount	Rushed Transactions	Routine Amount	Routine Transactions	Total Amount	Total Transactions
-	$0.00	0	$0.00	0	$0.00	0

Figure 2.2.2.2 CalFresh EBT Production Reconciliation Report Mockup – Availability Summary Sheet

CalSAWS	CalFresh EBT Production Reconciliation Report			
San Bernardino				
Run Date: OCT-30-21 08:31 PM				
Date: 10/17/2021				
EBT Summary				Details
	Total:		0	$0.00
	Batch Subtotal:		0	$0
	HtH Before Subtotal:		0	$0
	HtH After Subtotal:		0	$0
	Manual Subtotal:		0	$0
Aid Code	**Pay Code**	**Availability Date**	**Transaction Count**	**Benefit Amount**
-	-	-	0	$0.00

Figure 2.2.2.3 CalFresh EBT Production Reconciliation Report Mockup – EBT Summary Sheet

CalSAWS	CalFresh EBT Production Reconciliation Report												
San Bernardino													
Run Date: OCT-30-21 08:32 PM													
Date: 10/17/2021													
													Summary
EBT Detail												Total:	$0.00
Category	**Control Number**	**Office**	**Case Number**	**Case Name**	**Sep. Family**	**Payee Name**	**Pay Code**	**Type of Issuance**	**Aid Code**	**Benefit Month**	**Availability Date**	**Process Time**	**Amount**

Figure 2.2.2.4 CalFresh EBT Production Reconciliation Report Mockup – EBT Details Sheet

CalSAWS	CalFresh EBT Production Reconciliation Report			
San Bernardino				
Run Date: OCT-30-21 08:31 PM				
Date: 10/17/2021				
Cancelled Summary				Details
		Total:	0	$0.00
Category		-		
Aid Code	**Pay Code**	**Availability Date**	**Transaction Count**	**Benefit Amount**
-	-	-	0	$0.00
Subtotal			0	$0.00

Figure 2.2.2.5 CalFresh EBT Production Reconciliation Report Mockup – Cancelled Summary Sheet

CalSAWS	CalFresh EBT Production Reconciliation Report												
San Bernardino													
Run Date: OCT-30-21 08:31 PM													
Date: 10/17/2021													
													Summary
Cancelled												Total:	$0.00
Category	**Control Numbe**	**Office**	**Case Numbe**	**Case Name**	**Sep. Family**	**Payee Name**	**Pay Code**	**Type of Issuance**	**Aid Code**	**Benefit Month**	**Availability Date**	**Process Time**	**Amount**

Figure 2.2.2.6 CalFresh EBT Production Reconciliation Report Mockup – Cancelled Details Sheet

CalSAWS	CalFresh EBT Production Reconciliation Report			
San Bernardino				
Run Date: OCT-30-21 08:31 PM				
Date: 10/17/2021				
Expungement Summary				Details
		Total:	0	$0.00
Aid Code	Pay Code	Availability Date	Transaction Count	Benefit Amount
-	-	-	0	$0.00

Figure 2.2.2.7 CalFresh EBT Production Reconciliation Report Mockup – Expungement Summary Sheet

CalSAWS	CalFresh EBT Production Reconciliation Report												
San Bernardino													
Run Date: OCT-30-21 08:31 PM													
Date: 10/17/2021													
													Summary
Expungement Detail												Total:	$0.00
Category	Control Number	Office	Case Number	Case Name	Sep. Family	Payee Name	Pay Code	Type of Issuance	Aid Code	Benefit Month	Availability Month	Process Time	Amount

Figure 2.2.2.8 CalFresh EBT Production Reconciliation Report Mockup – Expungement Details Sheet

Note: No template changes are required at this time

2.2.3 Description of Change

1. Remove LIHEAP/ SUAS and WINS issuances which are represented by the following pay codes:

Code Detail Table Category ID	Pay Code	Code Value
CT 623	L1	LIHEAP
CT 623	L2	SUAS
CT 623	L3	SUAS/LIHEAP issued outside of CWD
CT 623	AA	WINS

Technical Note: The LIHEAP and SUAS pay codes can be excluded with either of the following conditions:

1. ISSUANCE_DETL.PAY_CODE NOT IN (‘L1’,’L2’,’L3’)

The WINS pay code can be excluded with either of the following conditions:

2. NVL(ISSUANCE_DETL.PAY_CODE, ' ') != 'AA'

2.2.4 Report Location

- **Global:** Reports

- **Local:** Scheduled
- **Task:** Fiscal

2.2.5 Counties Impacted

All CalSAWS counties will be impacted by the changes described in this SCR.

2.2.6 Security Updates

N/A

2.2.7 Report Usage/Performance

The changes introduced by this SCR will have negligible impact on the report's performance.

2.3 Integrated CalFresh Issuance Detail Claiming report

2.3.1 Overview

The Integrated CalFresh Issuance Detail Claiming report provides detail issuance information. This report only includes CalFresh transactions. It is a monthly scheduled report that is issued on the 2nd business day of the month. This section will update the report by excluding LIHEAP/SUAS and WINS issuances.

2.3.2 Integrated CalFresh Issuance Detail Claiming Report mockup

CalSAWS	Integrated CalFresh Issuance Detail Claiming Report
San Bernardino	
Run Date: DEC-02-21 03:33 AM	
Date: 11/2021	
Program: CalFresh	

Table of Contents

Summary
EBT
EBT Manually Issued
EBT Externally Issued
Cancelled - EBT
Adjustments
Expunged EBT

Figure 2.3.2.1 Integrated CalFresh Issuance Detail Claiming Report Mockup – Table of Contents Sheet

CalSAWS Integrated CalFresh Issuance Detail Claiming Report

San Bernardino
Run Date: DEC-02-21 03:33 AM
Date: 11/2021
Program: CalFresh

Table of Contents

Summary

Summary - Unduplicated Count

PA	Federal HH		Mixed HH			State HH	
	Cases	Persons	Cases	Fed Persons	Non-Fed Persons	Cases	Persons
	36,206	66,792	99	226	107	96	104

NA	Federal HH		Mixed HH			State HH	
	Cases	Persons	Cases	Fed Persons	Non-Fed Persons	Cases	Persons
	115,963	238,664	737	1,836	812	449	511

State Issuance Total:	$411,640.97	State NA Issuance Total:	$333,300.56	State PA Issuance Total:	$78,340.41
Federal Issuance Total:	$78,059,569.01	Federal NA Issuance Total:	$61,579,737.01	Federal PA Issuance Total:	############
Issuance Total:	$78,471,209.98	NA Total:	$61,913,037.57	PA Total:	############
Federal Only Issuance Total:	$77,771,806.72	Mixed Only Issuance Total:	$563,634.09	State Only Issuance Total:	$135,500.17
EBT Issuances:	330,893				

Figure 2.3.2.2 Integrated CalFresh Issuance Detail Claiming Report mockup – Summary Sheet

CalSAWS Integrated CalFresh Issuance Detail Claiming Report

San Bernardino
Run Date: DEC-02-21 03:37 AM
Date: 11/2021
Program: CalFresh

Table of Contents

Expunged EBT

Total:	-1,436	-3	Total Transactions:	3,566	Total Fed/Nfed:	($291,852.17)	($456.47)	Total Amount:	($292,308.64)
	0	0		0		$0.00	$0.00		$0.00

Case Number	Control Number	Case Name	Payee Name	Person Count Fed Pers	Person Count Non Fed Pers	Available Date	Expungement Date	Benefit Month	NA / PA	HH Type	Auth. Worker Id	Fed Amt.	Nfed Amt.	Amount	Aid Code	EDBC Type

Figure 2.3.2.3 Integrated CalFresh Issuance Detail Claiming Report mockup – Expunged EBT1 Sheet

CalSAWS Integrated CalFresh Issuance Detail Claiming Report

San Bernardino
Run Date: DEC-02-21 03:40 AM
Date: 11/2021
Program: CalFresh

Table of Contents

EBT

Total:	320,483	1,537	Total Transactions:	317,711	Total Fed/Nfed:	$78,063,120.01	$215,342.99	Total Amount:	$78,278,463.00
	0	0		0		$78,063,120.01	$215,342.99		$78,278,463.00

Case Number	Control Number	Case Name	Payee Name	Person Count Fed Pers	Person Count Non Fed Pers	Available Date	Benefit Month	NA / PA	HH Type	Auth. Worker Id	Fed Amt.	Nfed Amt.	Amount	Aid Code	EDBC Type

Figure 2.3.2.4 Integrated CalFresh Issuance Detail Claiming Report mockup – EBT Manually Issued Sheet

CalSAWS Integrated CalFresh Issuance Detail Claiming Report

San Bernardino
Run Date: DEC-02-21 03:33 AM
Date: 11/2021
Program: CalFresh

Table of Contents

EBT Externally Issued

Total:	0	0	Total Transactions:	0	Total Fed/Nfed:	$0.00	$0.00	Total Amount:	$0.00
	0	0		0		$0.00	$0.00		$0.00

Current / Prior Month	Case Number	Control Number	Case Name	Payee Name	Person Count Fed Pers	Person Count Non Fed Pers	Available Date	Benefit Month	NA / PA	HH Type	Auth. Worker Id	Fed Amt.	Nfed Amt.	Amount	Aid Code	EDBC Type

Figure 2.3.2.5 Integrated CalFresh Issuance Detail Claiming Report mockup – EBT Externally Issued Sheet

CalSAWS Integrated CalFresh Issuance Detail Claiming Report

San Bernardino
Run Date: DEC-02-21 03:33 AM
Date: 11/2021
Program: CalFresh
Table of Contents

Cancelled - EBT

Total:	-24	0 Total Transactions:	14 Total Fed/Nfed:	($4,296.00)	$0.00	Total Amount:	($4,296.00)
	0	0	0	$0.00	$0.00		$0.00

					Person Count												
Current / Prior Month	Case Number	Control Number	Case Name	Payee Name	Fed Pers	Non Fed Pers	Available Date	Benefit Month	NA / PA	HH Type	Auth. Worker Id	Fed Amt.	Nfed Amt.	Amount	Aid Code	EDBC Type

Figure 2.3.2.6 Integrated CalFresh Issuance Detail Claiming Report mockup – Cancelled – EBT Sheet

CalSAWS Integrated CalFresh Issuance Detail Claiming Report

San Bernardino
Run Date: DEC-02-21 03:33 AM
Date: 11/2021
Program: CalFresh
Table of Contents

Adjustments

Total:	-78	21 Total Transactions:	1,768 Total Fed/Nfed:	($288.00)	$288.00 Total Amount:		$0.00
	0	0	0	$0.00	$0.00		$0.00

Prior Period Adjustment Grand Totals

	Person Count						
	Fed Pers	Non Fed Pers	Total Transactions		Total Fed	Total NFed	Total Amount
	0	0		0	$0.00	$0.00	$0.00

					Person Count											
Current / Prior Month	Case Number	Control Number	Case Name	Payee Name	Fed Pers	Non Fed Pers	Available Date	Benefit Month	NA / PA	HH Type	Auth. Worker Id	Fed Amt.	Nfed Amt.	Amount	Aid Code	EDBC Type

Figure 2.3.2.7 Integrated CalFresh Issuance Detail Claiming Report mockup – Adjustments Sheet

CalSAWS Integrated CalFresh Issuance Detail Claiming Report

San Bernardino
Run Date: DEC-02-21 03:37 AM
Date: 11/2021
Program: CalFresh
Table of Contents

Expunged EBT

Total:	-1,436	-3	Total Transactions:	3,566	Total Fed/Nfed:	($291,852.17)	($456.47)	Total Amount:	($292,308.64)
	0	0		0		$0.00	$0.00		$0.00

				Person Count													
Case Number	Control Number	Case Name	Payee Name	Fed Pers	Non Fed Pers	Available Date	Expungement Date	Benefit Month	NA / PA	HH Type	Auth. Worker Id	Fed Amt.	Nfed Amt.	Amount	Aid Code	EDBC Type

Figure 2.3.2.8 Integrated CalFresh Issuance Detail Claiming Report mockup – Expunged EBT1 Sheet

Note: No template changes are required at this time

2.3.3 Description of Change

1. Remove LIHEAP/ SUAS and WINS issuances which are represented by the following pay codes:

Code Detail Table Category ID	Pay Code	Code Value
CT 623	L1	LIHEAP
CT 623	L2	SUAS
CT 623	L3	SUAS/LIHEAP issued outside of CWD
CT 623	AA	WINS

Technical Note: The LIHEAP and SUAS pay codes can be excluded with either of the following conditions:

   1. CLAIM_HIST.PAY_CODE NOT IN (‘L1’,’L2’,’L3’)
   2. ISSUANCE_DETL.PAY_CODE NOT IN (‘L1’,’L2’,’L3’)

   The WINS pay code can be excluded with either of the following conditions:

   1. NVL(CLAIM_HIST.PAY_CODE, ' ') <> 'AA'
   2. NVL(ISSUANCE_DETL.PAY_CODE, ' ') != 'AA'

2. Update the Summary sheet reporting logic of the Integrated CalFresh Issuance Detail Claiming Report to use the latest EDBC record for a given program. Use the existing logic that was previously found in the C-IV version of the Integrated CalFresh Issuance Detail Claiming Report. See Appendix 6.1 for code reference.

2.3.4 Report Location

- **Global:** Reports
- **Local:** Scheduled
- **Task:** Fiscal

2.3.5 Counties Impacted

All CalSAWS counties will be impacted by the changes described in this SCR.

2.3.6 Security Updates

N/A

2.3.7 Report Usage/Performance

The changes introduced by this SCR will have negligible impact on the report’s performance.

2.4 Cash EBT Production Reconciliation Report

2.4.1 Overview

The Cash EBT Production Reconciliation report provides detailed issuance information for all Electronic Benefit Transfer transactions to reconcile with other systems. It is a daily scheduled report. The report logic is currently excluding CalFresh but is still including LIHEAP and SUAS issuances. This section will update the report by removing LIHEAP and SUAS issuances from the report logic.

2.4.2 Cash EBT Production Reconciliation Report Mockup

CalSAWS **Cash EBT Production Reconciliation Report**

San Bernardino
Run Date: OCT-31-21 02:50 AM
Date: 10/30/2021

Category Summary — **Total: 99 $46,519.00**

Category	Type of Issuance	Program	Availability Date	Number of Issuances	Total Amount
Host to Host Before Daily Deadline	Supplemental Benefit	CW	10/30/2021	42	$24,502.00
Batch	Supplemental Benefit	CW	10/31/2021	49	$22,012.00
Batch	Reactivated Expungement	CW	10/31/2021	8	$5.00

2.4.2.1 Cash EBT Production Reconciliation Report – Category Summary Sheet

CalSAWS **Cash EBT Production Reconciliation Report**

San Bernardino
Run Date: OCT-31-21 02:50 AM
Date: 10/30/2021

Availability Date Summary

Total: $47,700.35 158

Availability Date	Total Amount	Total Transactions
10/30/2021	$24,962.23	65
10/31/2021	$22,738.12	93

2.4.2.2 Cash EBT Production Reconciliation Report – Availability Date Summary Sheet

CalSAWS **Cash EBT Production Reconciliation Report**

San Bernardino
Run Date: OCT-31-21 02:50 AM
Date: 10/30/2021

Availability Date Program Summary

Availability Date	Program	Rushed Amount	Rushed Transactions	Routine Amount	Routine Transactions	Total Amount	Total Transactions
	Total:	**$24,502.00**	**42**	**$23,198.35**	**116**	**$47,700.35**	**158**
10/30/2021	CW	$24,502.00	42	$0.00	-	$24,502.00	42
10/30/2021	FS	$0.00	-	$460.23	23	$460.23	23
10/31/2021	CW	$0.00	-	$22,017.76	57	$22,017.76	57
10/31/2021	FS	$0.00	-	$720.36	36	$720.36	36

2.4.2.3 Cash EBT Production Reconciliation Report – Availability Program Summary Sheet

CalSAWS **Cash EBT Production Reconciliation Report**

San Bernardino

Run Date: OCT-31-21 02:50 AM

Date: 10/30/2021

EBT Summary		
Totals:	**150**	**$47,694.59**
Batch Subtotal:	**108**	**$23,192.59**
HtH Before Subtotal:	**42**	**$24,502.00**
HtH After Subtotal:	**0**	**$0.00**
Manual Subtotal:	**0**	**$0.00**

Program	Aid Code	Pay Code	Availability Date	Total Transactions	Total Amount

2.4.2.4 Cash EBT Production Reconciliation Report – EBT Summary Sheet

CalSAWS **Cash EBT Production Reconciliation Report**

San Bernardino

Run Date: OCT-31-21 02:50 AM

Date: 10/30/2021

EBT Details

Total: $47,694.59

Category	Program	Control Number	Office	Case Number	Case Name	Sep. Family	Payee Name	Pay Code	Type of Issuance	Aid Code	Benefit Month	Availability Date	Process Time	Amount	eCAPS Object	Department Object	Document ID

2.4.2.5 Cash EBT Production Reconciliation Report – EBT Details Sheet

CalSAWS **Cash EBT Production Reconciliation Report**

San Bernardino

Run Date: OCT-31-21 02:50 AM

Date: 10/30/2021

Reactivation Summary — **Totals:** **8** **$5.76**

Program	Aid Code	Pay Code	Availability Date	Total Transactions	Total Amount
CW	30	-	10/31/2021	4	$3.26
CW	33	-	10/31/2021	2	$2.07
CW	35	-	10/31/2021	2	$0.43

2.4.2.6 Cash EBT Production Reconciliation Report – Reactivation Summary Sheet

CalSAWS **Cash EBT Production Reconciliation Report**

San Bernardino

Run Date: OCT-31-21 02:50 AM

Date: 10/30/2021

Reactivation Details

Total: $5.76

Category	Program	Control Number	Office	Case Number	Case Name	Sep. Family	Payee Name	Pay Code	Type of Issuance	Aid Code	Benefit Month	Availability Date	Process Time	Amount	eCAPS Object	Department Object	Document ID

2.4.2.7 Cash EBT Production Reconciliation Report – Reactivation Details Sheet

CalSAWS **Cash EBT Production Reconciliation Report**

San Bernardino

Run Date: OCT-31-21 02:50 AM

Date: 10/30/2021

Cancelled Summary — **Totals:** **-** **$0.00**

Program	Aid Code	Pay Code	Availability Date	Total Transactions	Total Amount
-	-	-	-	-	$0.00

2.4.2.8 Cash EBT Production Reconciliation Report – Cancelled Summary Sheet

CalSAWS Cash EBT Production Reconciliation Report

San Bernardino

Run Date: OCT-31-21 02:50 AM

Date: 10/30/2021

Cancelled Details — Total: $0.00

Category	Program	Control Number	Office	Case Number	Case Name	Sep. Family	Payee Name	Pay Code	Type of Issuance	Aid Code	Benefit Month	Availability Date	Process Time	Amount	eCAPS Object	Department Object	Document ID

2.4.2.9 Cash EBT Production Reconciliation Report – Cancelled Details Sheet

CalSAWS Cash EBT Production Reconciliation Report

San Bernardino

Run Date: OCT-31-21 02:50 AM

Date: 10/30/2021

Expungement Summary

			Totals:	-	$0.00
Program	**Aid Code**	**Pay Code**	**Availability Date**	**Total Transactions**	**Total Amount**
-	-	-	-	-	$0.00

2.4.2.10 Cash EBT Production Reconciliation Report – Expungement Summary Sheet

CalSAWS Cash EBT Production Reconciliation Report

San Bernardino

Run Date: OCT-31-21 02:50 AM

Date: 10/30/2021

Expungement Details — Total: $0.00

Category	Program	Control Number	Office	Case Number	Case Name	Sep. Family	Payee Name	Pay Code	Type of Issuance	Aid Code	Benefit Month	Availability Date	Process Time	Expungement Amount	eCAPS Object	Department Object	Document ID

2.4.2.11 Cash EBT Production Reconciliation Report – Expungement Details Sheet

CalSAWS Cash EBT Production Reconciliation Report

San Bernardino

Run Date: OCT-31-21 02:50 AM

Date: 10/30/2021

Category EBT Summary

Total:	$47,694.59	150
Category	**Total Amount**	**Total Transactions**
Batch	$23,192.59	108
Host to Host Before Daily Deadline	$24,502.00	42

2.4.2.12 Cash EBT Production Reconciliation Report Mockup – Category EBT Sheet

Note: No template changes are required at this time

2.4.3 Description of Change

1. Remove LIHEAP/ SUAS issuances which are represented by the following pay codes:

Code Detail Table Category ID	Pay Code	Code Value
CT 623	L1	LIHEAP
CT 623	L2	SUAS
CT 623	L3	SUAS/LIHEAP issued outside of CWD

Technical Note: The LIHEAP and SUAS pay codes can be excluded by removing the following conditions:

1. where (CASE WHEN data_table.PAY_CODE IN ('L1','L2') THEN 1
2. WHEN ISSDTL.PAY_CODE IN ('L1','L2')

The report should not include L3. However, no change is necessary since L3 is not being picked up in the current design.

2.4.4 Report Location

- **Global:** Reports
- **Local:** Scheduled
- **Task:** Fiscal

2.4.5 Counties Impacted

All CalSAWS counties will be impacted by the changes described in this SCR.

2.4.6 Security Updates

N/A

2.4.7 Report Usage/Performance

The changes introduced by this SCR will have negligible impact on the report's performance.

3 SUPPORTING DOCUMENTS

Number	Functional Area	Description	Attachment
1	Reports	CalFresh Supplemental Issuance Register Report Mockup	CalFresh Supplemental Issuanc
2	Reports	CalFresh EBT Production Reconciliation Report Mockup	CalFresh EBT Production Reconcilia
3	Reports	Integrated CalFresh Issuance Detail Claiming Report Mockup	Integrated CalFresh Issuance Detail Claimi
4	Reports	Cash EBT Production Reconciliation Report Mockup	Cash EBT Production Reconciliation Report

4 REQUIREMENTS

4.1 Project Requirements

REQ #	REQUIREMENT TEXT	How Requirement Met
2.24.2.2	The LRS shall produce reports that provide the detail LRS Data that will be used to complete the reports required by federal, State, and local laws, rules, regulations, ordinances, guidelines, directives, policies, and procedures.	The reports shall be updated to properly report on correct issuance types and corresponding data.

4.2 Migration Requirements

N/A

5 MIGRATION IMPACTS

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

6 APPENDIX

6.1 Additional C-IV Logic for the Integrated CalFresh Issuance Detail Claiming Report

```
SELECT DISTINCT MAX(EDBC.ID) OVER (PARTITION BY ISSUANCES.PGM_ID ORDER
BY (CASE WHEN EXISTS
                                        (SELECT 'x'
                                            FROM EDBC_PERS
                                          WHERE EDBC_PERS.EDBC_ID = EDBC.ID
                                             AND EDBC_PERS.CLAIM_CODE IS NOT NULL
                                             AND EDBC_PERS.STAT_CODE IN ('AC','IN')
                                             AND EDBC_PERS.ROLE_CODE = 'ME'
                                             AND EDBC_PERS.CLASS_CODE = '04'
                                             )
                               THEN 1
                               ELSE 0 END)DESC ) AS MAX_EDBC
```

CalSAWS

California Statewide Automated Welfare System

Design Document

CA-226838 CSC: Telephonic Signatures

DDID 2211, 2217, 2218, 2220, 2729, 2730, 2731, 2046, 2732

CalSAWS	DOCUMENT APPROVAL HISTORY	
	Prepared By	Gerald Limbrick; Jared Kuester, Eduardo Santos
	Reviewed By	Connor Gory; Michael Wu; Long Nguyen; Eric Delaney; Kenneth Lerch

DATE	DOCUMENT VERSION	REVISION DESCRIPTION	AUTHOR
10/27/2021	1.0	Initial Draft	G. Limbrick; J. Kuester
11/15/2021	1.1	"eSign/Telephonic" was changed/reverted to "eSign" in all button text & the Document Detail page section/changes were removed ; Rights and Responsibilities indicator (checkbox) added; Distributed Documents Search and Distributed Documents Select pages are now described in the same section (section 2.1); 'Document Name' field with hyperlink added to 'Signature History' section; timestamp/Worker info. is now shown, if the transcript was edited; The language and the Rights and Responsibilities indicator are now sent with the Telephonic Signature Call request (to Amazon Connect/IVR Application); The 'Incorrect Response' & 'Save and Mark Received' buttons now allow the Worker to change the Status of the Person's Telephonic Signature record; an Auto Journal is now added if a Worker cancels a Signature Request; An Automated task will now be created if a signature is not successfully captured after the request is sent to Amazon Connect; Auto Journals were added for: Successful signature verification, Signature call was attempted but not answered & Signature call was answered but not successful ;	G. Limbrick; J. Kuester

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1 OVERVIEW

1.1 Current Design

CalSAWS does not include functionality to capture an audio recording of a Telephonic Signature.

1.2 Requests

Add functionality to capture an audio voice recording of a Telephonic Signature for CalSAWS forms and documents signed by a customer.

1.3 Overview of Recommendations

1. The Distributed Documents Search page:
    a. The Distributed Documents Search page allows users to search for and view documents that have been generated for a Case. This page also allows access to the Document Detail page.
    b. Update the page label/name to Distributed Documents Select when it is accessed via the Electronic Signature page.
    c. Add a checkbox column, to the Search Results Summary table, to select a document row or rows to be added for a Telephonic Signature (see figure 2.2.2.1).
2. The Document Detail page:
    a. The Document Detail page allows users to view details associated to a document or mark the document as signed; the page also allows access to the Electronic Signature page or to the Electronic Signature Document Detail page if the document has been signed.
    b. Update the 'eSign' and 'View eSign' buttons to 'eSign / Telephonic' and 'View eSign / Telephonic'.
3. The Electronic Signature page:
    a. This page allows users to create, view and cancel requests for Electronic Signatures. The page offers a Check to Sign option and CW/CF eSign options but does not offer an option to make an audio recording of a Telephonic Signature
    b. Add an option to record audio of a Telephonic Signature, and to select additional documents that the Telephonic Signature will apply to. Add the ability to listen to, download, and edit a transcript of the Telephonic Signature audio. Add an additional 'Signature History' section for each additional document associated to the signature
4. Electronic Signature Document Detail page:
    a. This page allows users to view details about an Electronic Signature for a particular document, including the time/date of a Signature, the name(s) of the Person(s) who signed a document, as well as Signature History for the document
    b. Update the page to show names and history for multiple documents associated to a Telephonic Signature
5. IVR Application:

a. Create a new Amazon Connect call flow to record the Telephonic Signature and play Rights and Responsibilities when required.
b. Record a unique Telephonic Signature recording for each customer's voice.
c. Transcribe the customer's telephonic signature.
d. Associate the Telephonic Signature recording to the signed document(s) using the Capture Code.
e. Create a new API to request that the IVR initiate an outbound call and capture a "Telephonic Signature".
f. Validate if the customer successfully completed the telephonic signature.
g. Utilize the Task API to create a Task if the customer failed to record their telephonic signature.
h. Utilize the Journal API to create a journal entry for Telephonic Signatures.

6. Call Control Panel (CCP):
    a. Add "Start", "Stop", and "Reset" buttons to the CCP
    b. Capture the call recording time stamp when the Start button is pressed
    c. Capture the call recording time stamp when the Stop button is pressed
    d. Update the call recording time stamp used for the start time when the reset button is pressed.
    e. Upon completion of the call, capture the call recording segment for the telephonic signature.
7. Task API:
    a. The Task API allows external applications to create tasks in CalSAWS. The API does not have any data element thru which a specific Telephonic Signature recording can be referenced
    b. Add a data element to the Task API to hold a reference to a specific Telephonic Signature recording
8. Task Detail page:
    a. The Task Detail page allows users to view and edit Tasks. There is no Task Type "Telephonic Signature Quality" and no link added on the page for Tasks of this Type.
    b. Add a "Telephonic Signature Quality" Task Type and add a link on the page, when this is the Task Type, navigating to the Electronic Signature page for the associated Case and documents.

1.4 Assumptions

1. The phrase that will be used by CalSAWS as a Telephonic Signature will be standardized across all counties for analysis purposes.
2. The recording will be less than 30 seconds in length.
3. AWS Transcribe only supports the languages English, Spanish, Farsi, Mandarin, Russian, Korean, Arabic. All other languages will not be transcribed automatically. **Note**: Unsupported languages will display the message "Language not supported by Transcription"

4. Existing CalSAWS application fields and functionality will remain unchanged unless it is mentioned in the Description of Changes section below.
5. AWS will enable 4-way calling functionality in Amazon Connect by end of 2021.
    a. Custom CCP will need to be updated to support this.
    b. Default CCP will support it as soon as it's released.
    c. Enhanced CCP will support this when released.
6. If the Telephonic Signature call is started from a county phone system (i.e., started by a Worker in an Office), 4-way calling must be supported by the county phone system in order to have the language line, customer, Telephonic Signature application, and the Worker on the phone at the same time.

2 RECOMMENDATIONS

2.1 Distributed Documents Search page

2.1.1 Overview

The Distributed Document Search page allows users to search for and view documents that have been generated for a Case. This page also allows access to the Document Detail page.

Update the page label/name to Distributed Documents Select when it is accessed via the Electronic Signature page.

Add a checkbox column, to the Search Results Summary table, to check/select a document row or rows to be added for a Telephonic Signature (see figure 2.2.2.1).

2.1.2 Distributed Documents Search Mockup

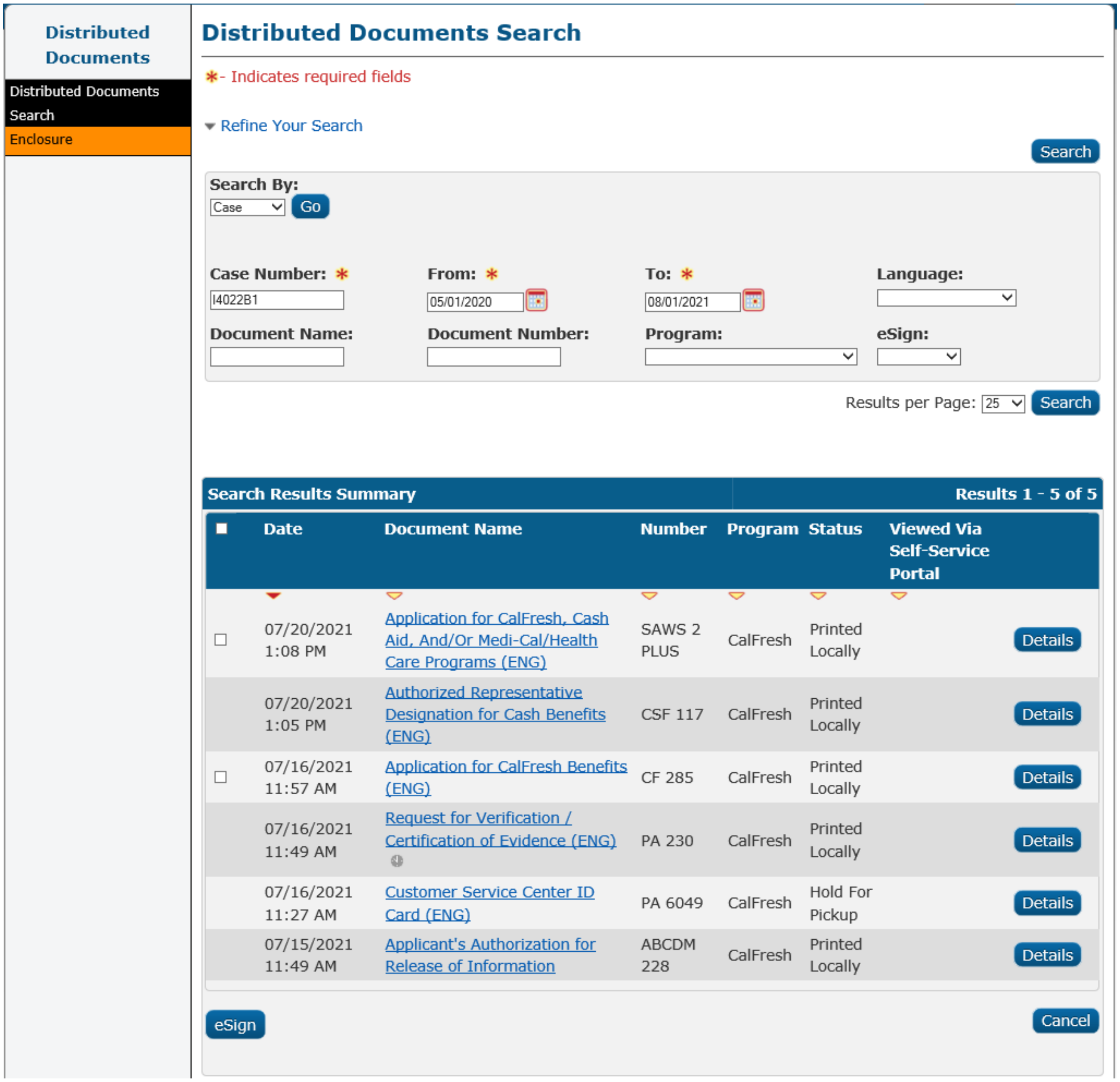


Figure 2.1.2.1 - Distributed Documents Search page

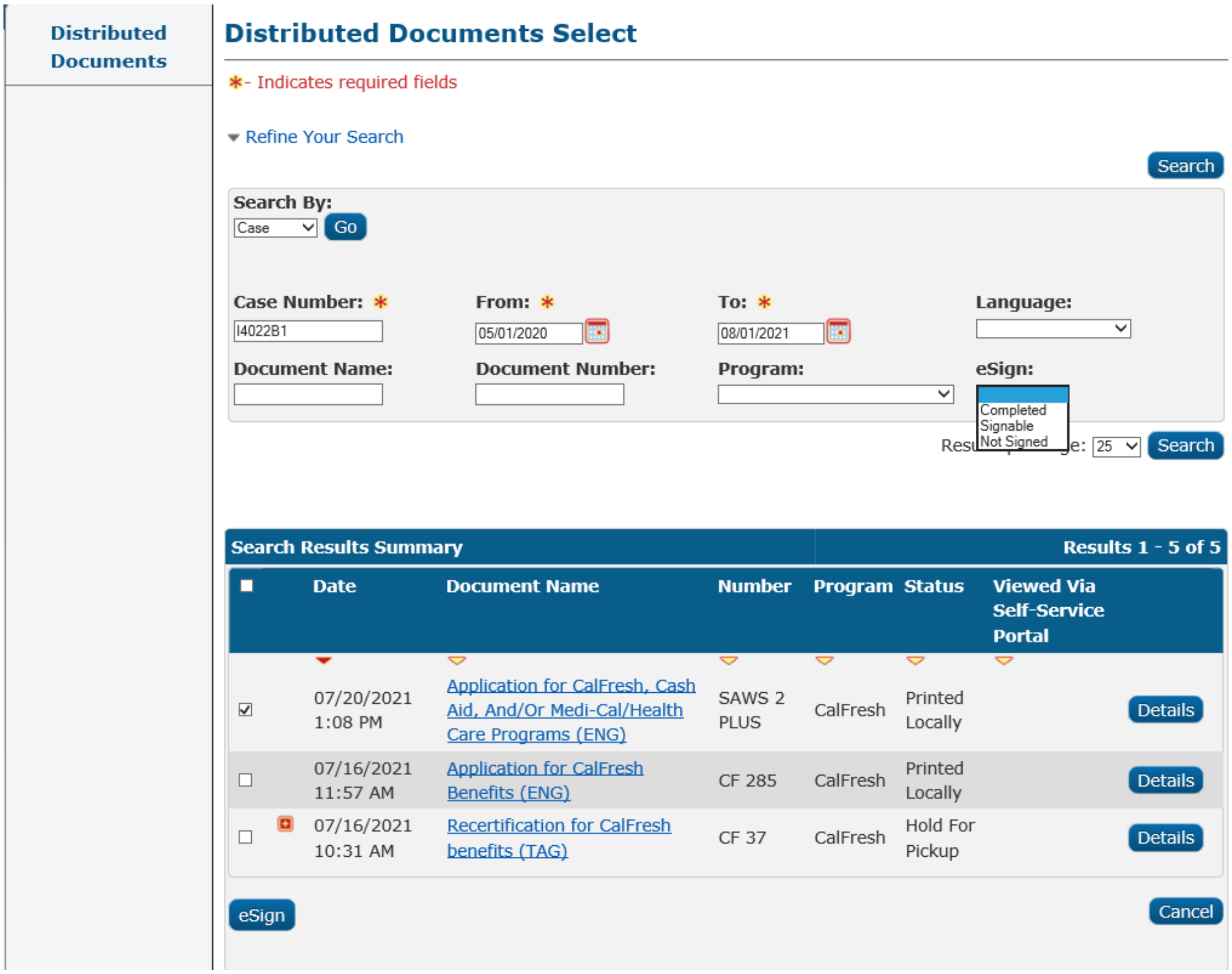


Figure 2.1.2.2 - Distributed Documents Select page

2.1.3 Description of Changes

1. Update the Distributed Documents Search page so that, when the page is opened via the ‘Add Document’ button on the Electronic Signature page:
    a. The page is labeled as ‘Distributed Documents Select’
    b. The Task navigation is empty and
    c. The Search Results Summary displays only documents that are Telephonically signable, i.e., the document type can be signed electronically and an Electronic Signature for the specific generated document has not yet been completed for all signers
2. In the ‘Refine Your Search’ expandable section:
    a. Add new ‘eSign’ label and dropdown, with options for:
        i. BLANK: when this option is selected do not limit the search

ii. "Completed": When this option is selected limit the search to only documents that have a completed eSignature (including Telephonic Signatures)
iii. "Signable": When this option is selected limit the search to only documents that are electronically signable, whether or not they have been signed i.e., the document type can be signed
iv. "Not Signed": When this option is selected limit the search to only documents that have not been signed electronically

b. Add space/padding between the left column of labels / text fields and the edge of the panel

3. Update CalSAWS so that forms that currently have either (or both) of the existing Electronic Signature capabilities enabled, CW/CF eSign or Check to Sign, also have the new Telephonic Signature capability enabled. A list can be found with Supporting Document 'CA-226838 Forms for Telephonic Signature.xlxs'
4. Add a checkbox column to the Search Results Summary table:
   a. Add a main checkbox to the header column to select or de-select all checkboxes in the table
   b. The checkbox in the results row(s) will select or deselect for the specific row; show a checkbox only for document rows that are Telephonically signable, and not yet signed
   c. Default document row(s) that are currently associated to the signature as checked, when this page is reached via the Electronic Signature page
5. Add an 'eSign' button below the Search Results Summary table. This button will:
   a. Hide this button if none of the returned documents are Telephonically signable, i.e., the document type can be signed electronically and an Electronic Signature for the specific generated document has not yet been completed for all signers
   b. If the user's selection(s) would result in more than 25 documents being associated to a Telephonic Signature request, show a validation message as: "A maximum of 25 documents may be associated to a Telephonic Signature. Please remove one or more documents."
   c. Navigate to the Electronic Signature page
   d. If no documents are selected, show a validation message as: "Please select one or more documents."
   e. If the user adds/re-adds a document that is already associated to the Telephonic Signature, only display it in the Electronic Signature page's Documents table once

2.1.4 Page Location

- **Global: Client Corresp.**
- **Local: Distributed Documents**
- **Task: Distributed Documents Search**

2.1.5 Security Updates

N/A

2.1.6 Page Mapping

1. Update page mapping with new and updated fields.
2. Add page mapping for all fields under the 'Distributed Documents Select' page name.

2.1.7 Page Usage/Data Volume Impacts

N/A

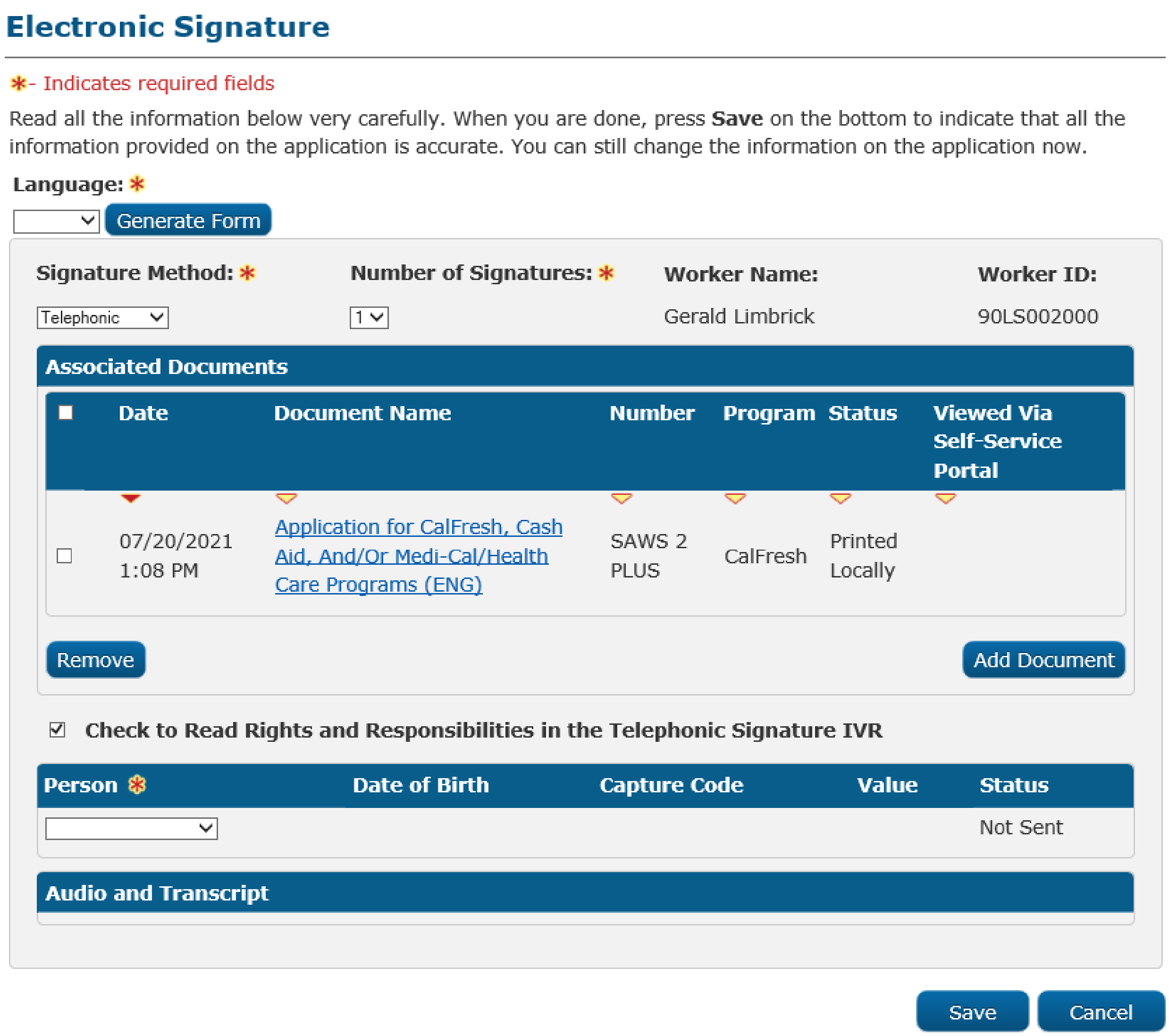
2.2 Electronic Signature page

2.2.1 Overview

The Electronic Signature page allows users to create, view and cancel requests for Electronic Signatures. The page offers a Check to Sign option and CW/CF eSign options but does not offer an option to make an audio recording of a Telephonic Signature.

Add an option to record audio of a Telephonic Signature and to select additional documents that the Telephonic Signature will apply to. Add the ability to listen to, download, and edit a transcript of the Telephonic Signature audio. Add an, additional, Signature History section for each document associated to the signature.

2.2.2 Electronic Signature Mockup



Electronic Signature

*- Indicates required fields

Read all the information below very carefully. When you are done, press **Save** on the bottom to indicate that all the information provided on the application is accurate. You can still change the information on the application now.

Language: *

Generate Form

Signature Method: * Telephonic

Number of Signatures: * 1

Worker Name: Gerald Limbrick

Worker ID: 90LS002000

Associated Documents

	Date	Document Name	Number	Program	Status	Viewed Via Self-Service Portal
☐	07/20/2021 1:08 PM	Application for CalFresh, Cash Aid, And/Or Medi-Cal/Health Care Programs (ENG)	SAWS 2 PLUS	CalFresh	Printed Locally	

Remove Add Document

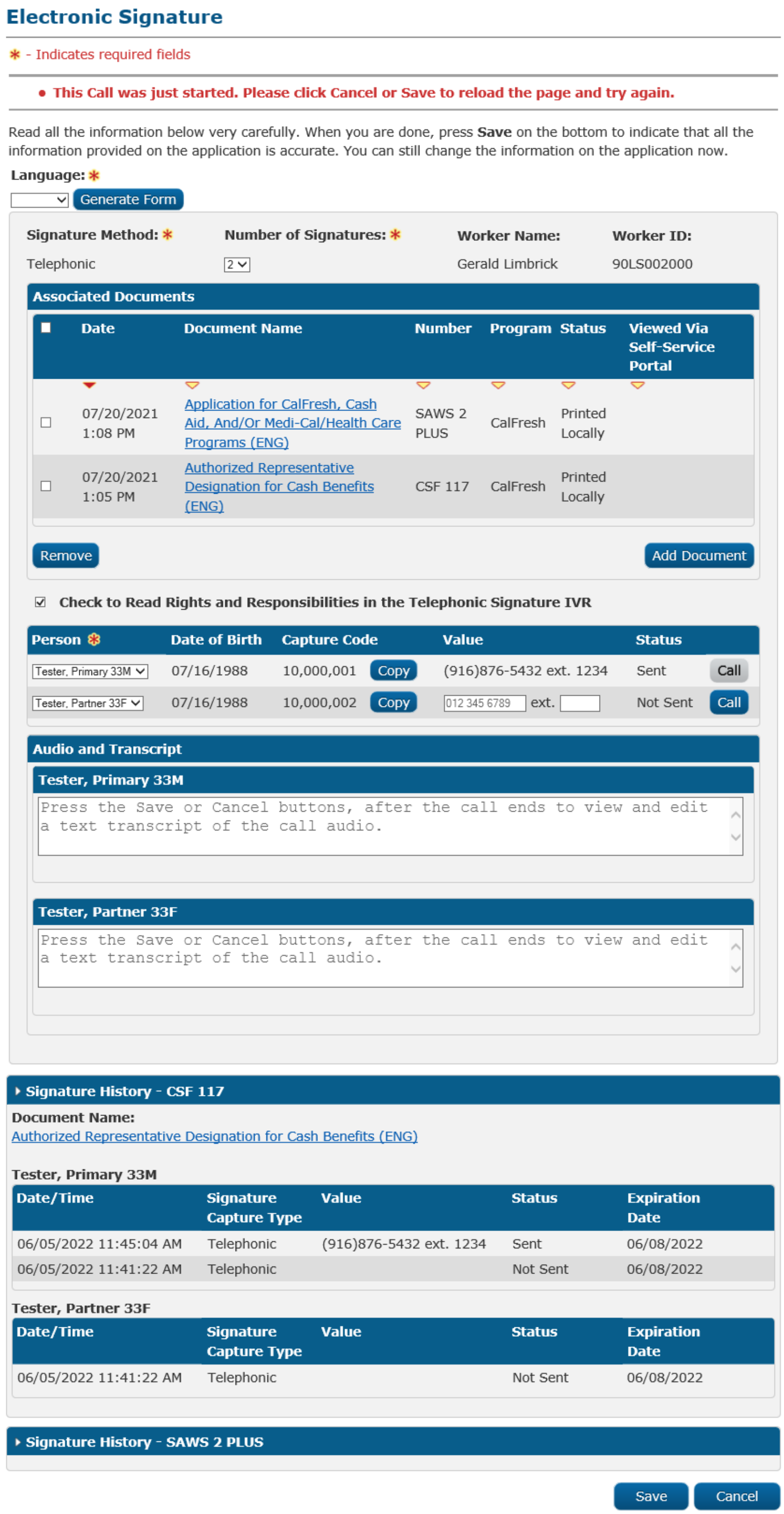
☑ **Check to Read Rights and Responsibilities in the Telephonic Signature IVR**

Person *	Date of Birth	Capture Code	Value	Status
				Not Sent

Audio and Transcript

Save Cancel

Figure 2.2.2.1 – Electronic Signature page (not yet saved)



Electronic Signature

* - Indicates required fields

• **This Call was just started. Please click Cancel or Save to reload the page and try again.**

Read all the information below very carefully. When you are done, press **Save** on the bottom to indicate that all the information provided on the application is accurate. You can still change the information on the application now.

Language: *

Generate Form

Signature Method: *	**Number of Signatures:** *	**Worker Name:**	**Worker ID:**
Telephonic	2	Gerald Limbrick	90LS002000

Associated Documents

	Date	Document Name	Number	Program	Status	Viewed Via Self-Service Portal
☐	07/20/2021 1:08 PM	Application for CalFresh, Cash Aid, And/Or Medi-Cal/Health Care Programs (ENG)	SAWS 2 PLUS	CalFresh	Printed Locally	
☐	07/20/2021 1:05 PM	Authorized Representative Designation for Cash Benefits (ENG)	CSF 117	CalFresh	Printed Locally	

Remove | Add Document

☑ **Check to Read Rights and Responsibilities in the Telephonic Signature IVR**

Person *	Date of Birth	Capture Code		Value	Status	
Tester, Primary 33M	07/16/1988	10,000,001	Copy	(916)876-5432 ext. 1234	Sent	Call
Tester, Partner 33F	07/16/1988	10,000,002	Copy	012 345 6789 ext.	Not Sent	Call

Audio and Transcript

Tester, Primary 33M

Press the Save or Cancel buttons, after the call ends to view and edit a text transcript of the call audio.

Tester, Partner 33F

Press the Save or Cancel buttons, after the call ends to view and edit a text transcript of the call audio.

Signature History - CSF 117

Document Name:
Authorized Representative Designation for Cash Benefits (ENG)

Tester, Primary 33M

Date/Time	Signature Capture Type	Value	Status	Expiration Date
06/05/2022 11:45:04 AM	Telephonic	(916)876-5432 ext. 1234	Sent	06/08/2022
06/05/2022 11:41:22 AM	Telephonic		Not Sent	06/08/2022

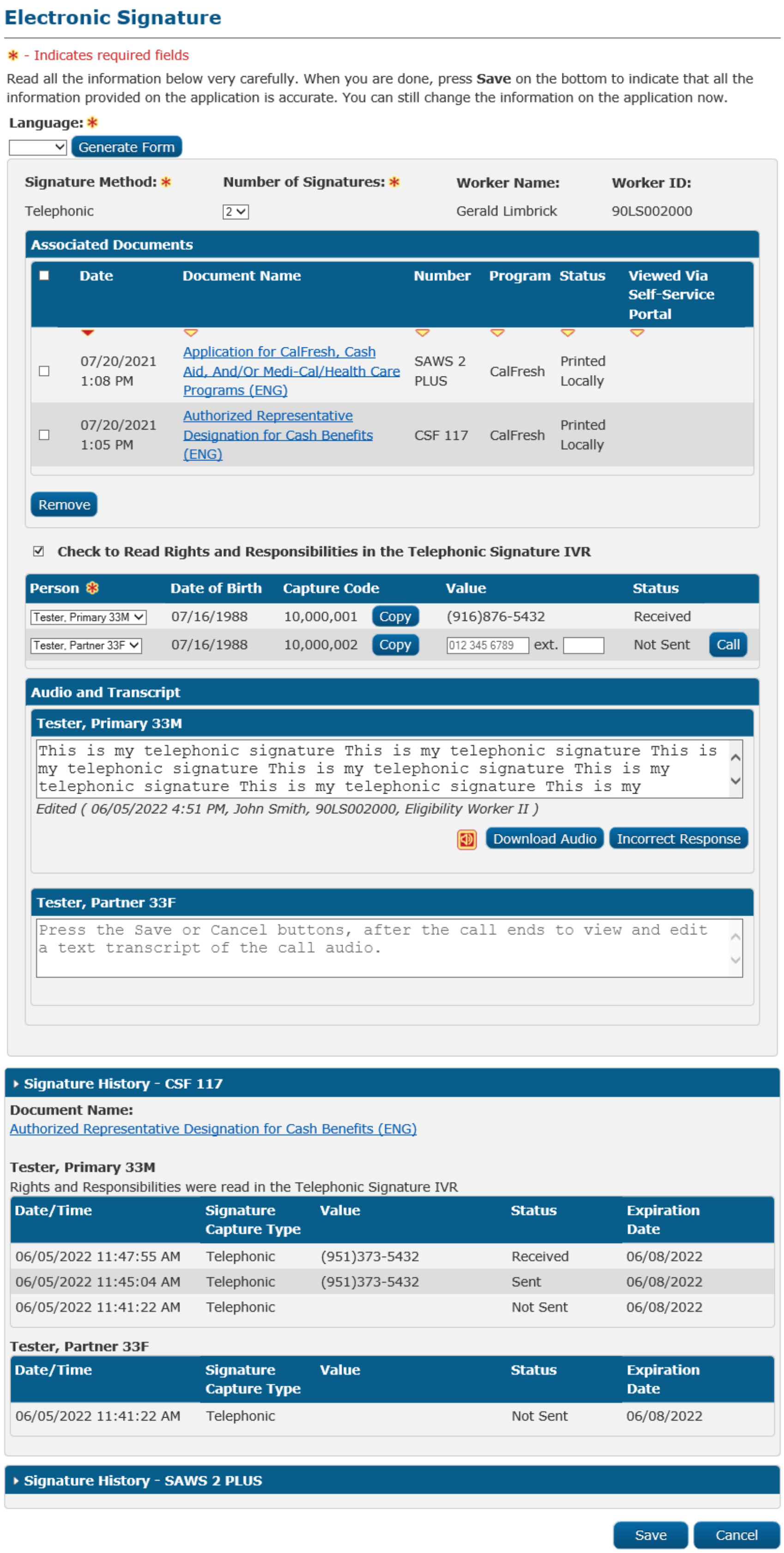
Tester, Partner 33F

Date/Time	Signature Capture Type	Value	Status	Expiration Date
06/05/2022 11:41:22 AM	Telephonic		Not Sent	06/08/2022

Signature History - SAWS 2 PLUS

Save | Cancel

Figure 2.2.2.2 – Electronic Signature page (Call Button Just Pressed)



Electronic Signature

* - Indicates required fields

Read all the information below very carefully. When you are done, press **Save** on the bottom to indicate that all the information provided on the application is accurate. You can still change the information on the application now.

Language: *

Generate Form

Signature Method: *	Number of Signatures: *	Worker Name:	Worker ID:
Telephonic	2	Gerald Limbrick	90LS002000

Associated Documents

	Date	Document Name	Number	Program	Status	Viewed Via Self-Service Portal
☐	07/20/2021 1:08 PM	Application for CalFresh, Cash Aid, And/Or Medi-Cal/Health Care Programs (ENG)	SAWS 2 PLUS	CalFresh	Printed Locally	
☐	07/20/2021 1:05 PM	Authorized Representative Designation for Cash Benefits (ENG)	CSF 117	CalFresh	Printed Locally	

Remove

☑ Check to Read Rights and Responsibilities in the Telephonic Signature IVR

Person *	Date of Birth	Capture Code		Value		Status	
Tester, Primary 33M	07/16/1988	10,000,001	Copy	(916)876-5432		Received	
Tester, Partner 33F	07/16/1988	10,000,002	Copy	012 345 6789	ext.	Not Sent	Call

Audio and Transcript

Tester, Primary 33M

This is my telephonic signature This is my telephonic signature This is my telephonic signature This is my telephonic signature This is my telephonic signature This is my telephonic signature This is my

Edited (06/05/2022 4:51 PM, John Smith, 90LS002000, Eligibility Worker II)

Download Audio | Incorrect Response

Tester, Partner 33F

Press the Save or Cancel buttons, after the call ends to view and edit a text transcript of the call audio.

Signature History - CSF 117

Document Name:
Authorized Representative Designation for Cash Benefits (ENG)

Tester, Primary 33M
Rights and Responsibilities were read in the Telephonic Signature IVR

Date/Time	Signature Capture Type	Value	Status	Expiration Date
06/05/2022 11:47:55 AM	Telephonic	(951)373-5432	Received	06/08/2022
06/05/2022 11:45:04 AM	Telephonic	(951)373-5432	Sent	06/08/2022
06/05/2022 11:41:22 AM	Telephonic		Not Sent	06/08/2022

Tester, Partner 33F

Date/Time	Signature Capture Type	Value	Status	Expiration Date
06/05/2022 11:41:22 AM	Telephonic		Not Sent	06/08/2022

Signature History - SAWS 2 PLUS

Save | Cancel

Figure 2.2.2.3 – Electronic Signature page (with a Received Transcript)

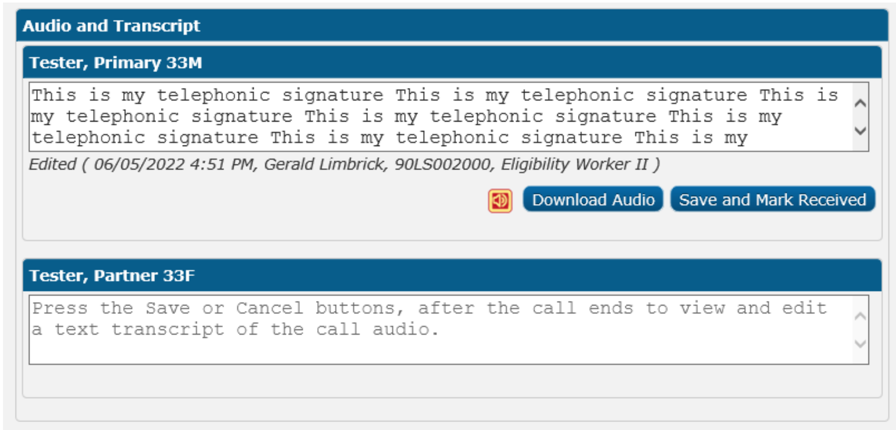


Figure 2.2.2.4 - 'Save and Mark Received' button

2.2.3 Description of Changes

1. Update the 'Signature Method' dropdown:
    a. Add "Telephonic" as a new option in the 'Signature Method' dropdown, when this option is selected, display:
        i. The Associated Documents section (described below)
        ii. The Person table, and
        iii. The 'Audio and Transcript' section (described below)
    b. Display the 'Signature Method' dropdown as a static text field if there are more than one Associated Documents; when removing the second to last document the field will remain static text until the page is reloaded
2. Add an Associated Documents section:
    a. Hide this section until/unless "Telephonic" is the selected Signature Method
    b. Add an unlabeled, sortable, Documents table, populated the same as on the Distributed Documents Search page:
        i. Table Columns
            1. Checkbox: used to select document(s) for removal from the eSignature request
            2. 'Date'
            3. 'Document Name'
            4. 'Number'
            5. 'Program'
            6. 'Status' **Note**: this is the print status as shown on the Distributed Document Search page
            7. 'Viewed Via Self-Service Portal'
        ii. Populate the Documents table with any documents currently associated by Capture Code to the selected document:
            1. Add the association when a Signature request is saved with multiple documents

2. Remove the association when a Signature request is saved after removing a document
3. Order the rows alphanumerically by Document Number, by default
4. Expand the table vertically to display additional documents, as they are added, without a separate scroll bar being added to the table

c. Add a 'Remove' button: When this button is pressed:
   i. If the Telephonic Signature is in Received Status for one of the Persons:
      1. Remove the selected document(s), and on saving, remove the document's association to the signature request
      2. Add a message to the top of the page advising the user that the previously received signature will be discarded, as: "Changing the documents after one of the signatures is Received will cancel and re-create the request; this will delete the Received signature."

      Note: The page is not accessible when the signature is complete (signed by 2 Persons)

   ii. If no signature has been received:
      1. Remove the selected document(s) from the signature request and
      2. On saving, remove the document's association to the signature request
   iii. If a document is removed after a Capture Code has been assigned (it is assigned after saving):
      1. Cancel the previous request and
      2. Create a new Capture Code, when the 'Save' button is pressed.

      Note: Do not create a new Capture Code when the same document(s) are re-added before saving, undoing the change(s)

d. Add an 'Add Document' button. This button will:
   i. If 25 documents are already associated to the Telephonic Signature request, show a validation message as: "A maximum of 25 documents may be associated to a Telephonic Signature."
   ii. If 25 documents have not already been associated by Capture Code, navigate to the Distributed Documents Search page, relabeled as 'Distributed Documents Select'

        iii. Hide this button when a Telephonic Signature is in Received Status for one of the Persons
        iv. If a document is added after a Capture Code has been assigned (it is assigned after saving):
            1. Cancel the previous request and
            2. Create a new Signature request record with a new Capture Code, when the 'Save' button is pressed.

            Note: Do not create a new Capture Code when the same document(s) are removed again before saving, undoing the change(s)

3. Add logic so that the user's selections for Signature Method, Number of Signatures and Associated Documents are re-added when the user returns to this page from the Distributed Documents Select page. **Note**: Selections will not be saved or readded when the user navigates to other pages unless the 'Save' button is pressed and the Rights and Responsibilities checkbox will revert to its default based on the Associated Document Types (see below).
4. Add a checkbox and label "Check to Read Rights and Responsibilities in the Telephonic Signature IVR", when "Telephonic" is selected as the Signature Method.
    a. When the checkbox is checked the IVR will read the Rights and Responsibilities during the Telephonic Signature Call
    b. Default to checked when any Associated Document has Rights and Responsibilities according to the Supporting Document 'CA-226838 Forms for Telephonic Signature.xlxs'
    c. Default to not checked when none of the Associated Documents have Rights and Responsibilities according to Supporting Document 'CA-226838 Forms for Telephonic Signature.xlxs'
5. Update the Person table, when "Telephonic" is selected as the Signature Method:
    a. Add a 'Capture Code' column:
        i. This column, after saving, will hold a unique Capture Code used to associate the Telephonic Signature, for the Person, in CalSAWS to the IVR application's recording, and used to associate multiple documents to the Telephonic Signature
        ii. Add a 'Copy' button after the Capture Code: This button will add the Capture Code to the computer's clipboard for pasting into another application
    b. Update the 'Value' column:
        i. When the Telephonic Signature record has not yet been saved, show this field as BLANK
        ii. After the initial save of a Telephonic type signature record, show two input fields:
            1. An unlabeled, Phone Number, text input field:

a. Add placeholder text: “012 345 6789”
b. When the page is saved (or the ‘Call” button is pressed), format the number as “(” + DDD + “)” + DDD + “-” + DDDD e.g. (916)123-1234 ; if the number starts with “0” or is unable to be properly formatted, because of an incorrect number of digits entered, display a message in the validation section of the page as: “The phone number must be in the form (999)999-9999 and cannot start with a zero.”

Note: Non-numeric characters can be pasted into the Phone Number field but will be removed before the number is formatted for saving

2. An Extension field, labeled “ext.”, with entry limited to a maximum of 4 numeric digits; hide the label and field, when the record is in Received Status unless an extension was entered

iii. Show the Phone Number and Extension as text only, when:
1. When the Status is Received or
2. When the current load of the page was initiated by the ‘Call’ button (described below) i.e., when the ‘Call’ button is gray

c. For the ‘Status’ field, show the Status of the Signature request:
i. Not Sent: This is the initial Status; the signature request has not been sent to Amazon Connect or the Signature/call request has been edited since it was last sent to Amazon Connect **Note**: If the Signature request record is edited after the call request is sent to Amazon Connect, the IVR application will be able to update the record which would revert/overwrite the edits.
ii. Sent: The signature request has been sent, to initiate a call to the provided Phone Number
iii. Sending Error: An error occurred while communicating the signature/call request to Amazon Connect
iv. Incorrect Response: The IVR application has reported either an error or that the Telephonic Signature was attempted but NOT successfully captured e.g., the recording did not meet quality standards

v. Canceled: The signature request can no longer be completed **Note**: A new signature request can be created
vi. Received: The Telephonic Signature has been completed, for the Person

d. Update the 'Send'/'Resend' button to 'Call' for Telephonic Type signature requests
e. Update the 'Call' button logic; this button will:
    i. This button will be hidden when a Telephonic type of signature record is not yet saved, or when the Person's Telephonic Signature is in Received Status
    ii. Format and validate the Value field, as described above
    iii. Send the Telephonic Signature request, initiating a call from the IVR application to the phone number entered in the 'Value' column:
        1. Request the call in the Person's preferred Spoken Language, if supported, as selected on the Individual Demographics Detail page. Supported languages for the outbound call are:
            a. English
            b. Spanish
            c. Farsi
            d. Vietnamese
            e. Mandarin
            f. Armenian
            g. Tagalog
            h. Russian
            i. Korean
            j. Cambodian
            k. Hmong
            l. Cantonese
            m. Arabic
            n. Lao
        2. If the customer's preferred Spoken Language is not supported call the customer in English
        3. Send the Case#, County, Phone Number, preferred Spoken Language, Rights and Responsibilities Indicator, Extension, and Capture Code with the request, for use by the IVR application
    iv. Save the signature request in Sent Status
    v. If an error occurs in sending to Amazon Connect, save the signature request in Sending Error status **Note**: Any new Status will not display until the page is reloaded

   vi. Reload the page, updating this button to gray with black text, when this button initiated the current load of the page i.e., the button was just pressed; when gray, show a validation message, if pressed, as: "This Call was just started. Please click Cancel or Save to reload the page and try again."

   Note: The CalSAWS application or the IVR application will update the record's Status, if needed, but the Status will not show on the page until it is reloaded.

6. Add an 'Audio and Transcript' section:
   a. Hide this section until/unless "Telephonic" is the selected Signature Method
   b. Add, inner, Person sections for each Person associated to the signature request:
      i. Order the sections in the same order as the Person table's rows
      ii. Label each Person section with the text from the associated 'Person' dropdown in the Person table e.g., "Smith, John 33M"
      iii. Hide/unhide the section for each Person when their name is unselected/ selected in one of the Person dropdowns
      iv. Add a text input area, 3 rows tall and spanning the width of the Person section:
         1. Add a scroll bar to view additional rows of text
         2. Add placeholder text: "Press the Save or Cancel buttons, after the call ends to view and edit a text transcript of the call audio."
         3. Each time the page is reloaded check for any saved updates to the transcript text
         4. Save any edits when the page is saved, or revert to the last saved text, if the 'Cancel' button is pressed

         Technical Note: Remove, programming language, special characters from the edited Transcript before saving.

      v. If the saved transcript was edited, show italicized wording: "Edited (" + Date_Time_stamp + " , " + First_Name + " " + Last_Name + ", " + WorkerNum + ", " + Title + ")" e.g., "Edited (06/05/2022 4:51 PM, John Smith, 90LS002000, Eligibility Worker II)"
      vi. Add a Speaker icon:
         1. Clicking this icon will play the recorded Telephonic Signature audio
         2. Hovering over this icon will display tooltip text as: "Play Audio"
         3. Set image alternate text as: "Play Audio"

4. Hide this icon when no Telephonic Signature audio was available at the time the page loaded
vii. Add a 'Download Audio' button:
1. This button will initiate a download of the Telephonic Signature audio using the browser's file download functionality
2. Name the file as: "TelephonicSignature_" + {capture_code} e.g., "TelephonicSignature_10,000,001"
3. Hide this button when no Telephonic Signature audio is available
4. When this button is pressed, disable it, and show it as gray with black text, until/unless the page is reloaded
viii. Add an 'Incorrect Response' button:
1. Hide this button unless the Status is Received
2. This button will change the Status of Person's Signature to Incorrect Response, on saving the page
3. Update the button to gray with black text when pressed
ix. Add a 'Save and Mark Received' button:
1. Hide this button unless the Status is Incorrect Response
2. This button will save the page and change the Status of Person's Signature to Received
3. If this is the last Signature required i.e., there was only 1 Signature required or the other Signature is already in Received Status, navigate to the Electronic Signature Document Detail page

7. Update the 'Save' button logic, when "Telephonic" is the selected Signature Method:
   a. Create and display a unique Capture Code for each, new, Person row; Capture Codes will start at 10,000,000 and increment by 1 each time a new code is created
   b. Add the 'Copy' button right of the unique code, as described above
   c. Add/unhide or format/validate the text input fields, in the Value column, for Phone Number and Extension
   d. Save the Signature request; if the Phone Number or Extension has been edited but the Signature request has not been sent (i.e., the 'Call' button was not pressed), save the Signature request in Not Sent Status
   e. Display/unhide the 'Call' button; show the button as a blue color until the 'Call' button is pressed, then gray until the

'Save' or 'Cancel' buttons are pressed, or until the page is reloaded

f. Reload the text Transcript of the Telephonic Signature audio, saving any edits
g. Reload the page, or, if a Person was removed from a 2 Person Signature request and the Signature is in Received Status for the remaining Person, update the Telephonic Signature as complete, and navigate to the Electronic Signature Document Detail page
h. If no documents are associated to a Telephonic Signature, show a validation message as: "Please add one or more Associated Documents."
i. Create an auto journal when a worker cancels a Signature Request e.g., if a document is removed after a Capture Code has been assigned:
    i. Category – All
    ii. Type – Narrative
    iii. Short Description – Telephonic Signature Request Canceled.
    iv. Long Description – A signature request has been canceled for {Person Name} to complete the Telephonic Signature for one or more documents including the {document_1_number}.
j. Create an auto journal when the Worker initiates an Incorrect Response Status using the 'Incorrect Response' button and saves the page.
    i. Category – All
    ii. Type – Narrative
    iii. Short Description – Telephonic Signature Incorrect Response.
    iv. Long Description – An Incorrect Response was given for a Telephonic Signature request call sent to {Phone Number} for {Person Name} to complete the eSignature for one or more documents including the {document_1_number}.

8. Update the Signature History section (this section is hidden until the request record is first saved):
    a. Display history for Telephonic type Electronic Signatures
        i. For Telephonic type Electronic Signatures, display a separate expandable Signature History section (default as collapsed) for each associated document
            1. Label each section as: "Signature History" + " – " + {document_number} e.g., "Signature History – CSF 117".
            2. Order the sections alphanumerically by Document Number
    b. Add a 'Document Name' label and field:

        i. Show the Document Name as a link formatted the same as the 'Document Name' column of the 'Associated Documents' table
        ii. This link will open the document PDF in a new tab
    c. When a Signature is Received, if the Rights and Responsibilities indicator was sent to the IVR, indicating to read Rights and Responsibilities, add text "Rights and Responsibilities were read in the Telephonic Signature IVR" after the Person label
    d. For the Signature Method "Telephonic", set and display the Signature Capture Type as "Telephonic"
    e. Display the formatted 'Value' that was entered in the Person table; hide the 'ext.' label and field, unless an extension was entered

Note: The Expiration Date will be 3 calendar days from the date the request is created.

2.2.4 Page Location

- **Global: Client Corresp.**
- **Local: Distributed Documents**
- **Task: Distributed Documents Search**

2.2.5 Security Updates

NA

2.2.6 Page Mapping

Update Page Mapping with new and updated fields.

2.2.7 Page Usage/Data Volume Impacts

NA

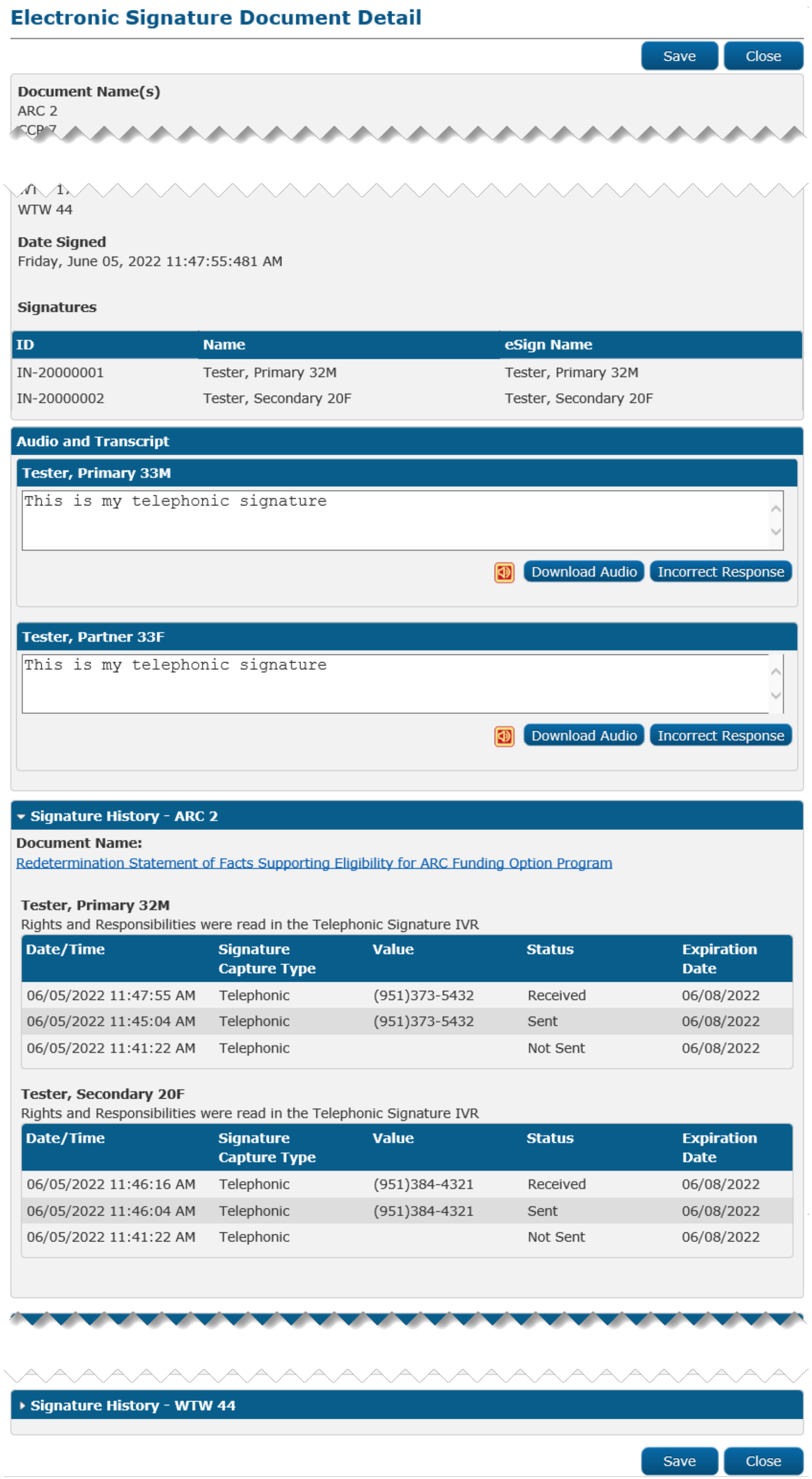
2.3 Electronic Signature Document Detail page

2.3.1 Overview

The Electronic Signature Document Detail page allows users to view details about the Electronic Signature for a particular document, including the time/date of a Signature, the name(s) of the Person(s) who signed a document, and Signature History for the document.

Update the page to show names and history for multiple documents associated to a Telephonic Signature and to allow editing of the Telephonic Signature text transcript.

2.3.2 Electronic Signature Document Detail Mockup



Electronic Signature Document Detail

Save | Close

Document Name(s)
ARC 2

WTW 44

Date Signed
Friday, June 05, 2022 11:47:55:481 AM

Signatures

ID	Name	eSign Name
IN-20000001	Tester, Primary 32M	Tester, Primary 32M
IN-20000002	Tester, Secondary 20F	Tester, Secondary 20F

Audio and Transcript

Tester, Primary 33M
This is my telephonic signature
Download Audio | Incorrect Response

Tester, Partner 33F
This is my telephonic signature
Download Audio | Incorrect Response

Signature History - ARC 2
Document Name:
Redetermination Statement of Facts Supporting Eligibility for ARC Funding Option Program

Tester, Primary 32M
Rights and Responsibilities were read in the Telephonic Signature IVR

Date/Time	Signature Capture Type	Value	Status	Expiration Date
06/05/2022 11:47:55 AM	Telephonic	(951)373-5432	Received	06/08/2022
06/05/2022 11:45:04 AM	Telephonic	(951)373-5432	Sent	06/08/2022
06/05/2022 11:41:22 AM	Telephonic		Not Sent	06/08/2022

Tester, Secondary 20F
Rights and Responsibilities were read in the Telephonic Signature IVR

Date/Time	Signature Capture Type	Value	Status	Expiration Date
06/05/2022 11:46:16 AM	Telephonic	(951)384-4321	Received	06/08/2022
06/05/2022 11:46:04 AM	Telephonic	(951)384-4321	Sent	06/08/2022
06/05/2022 11:41:22 AM	Telephonic		Not Sent	06/08/2022

Signature History - WTW 44

Save | Close

Figure 2.3.2.1 Electronic Signature Document Detail

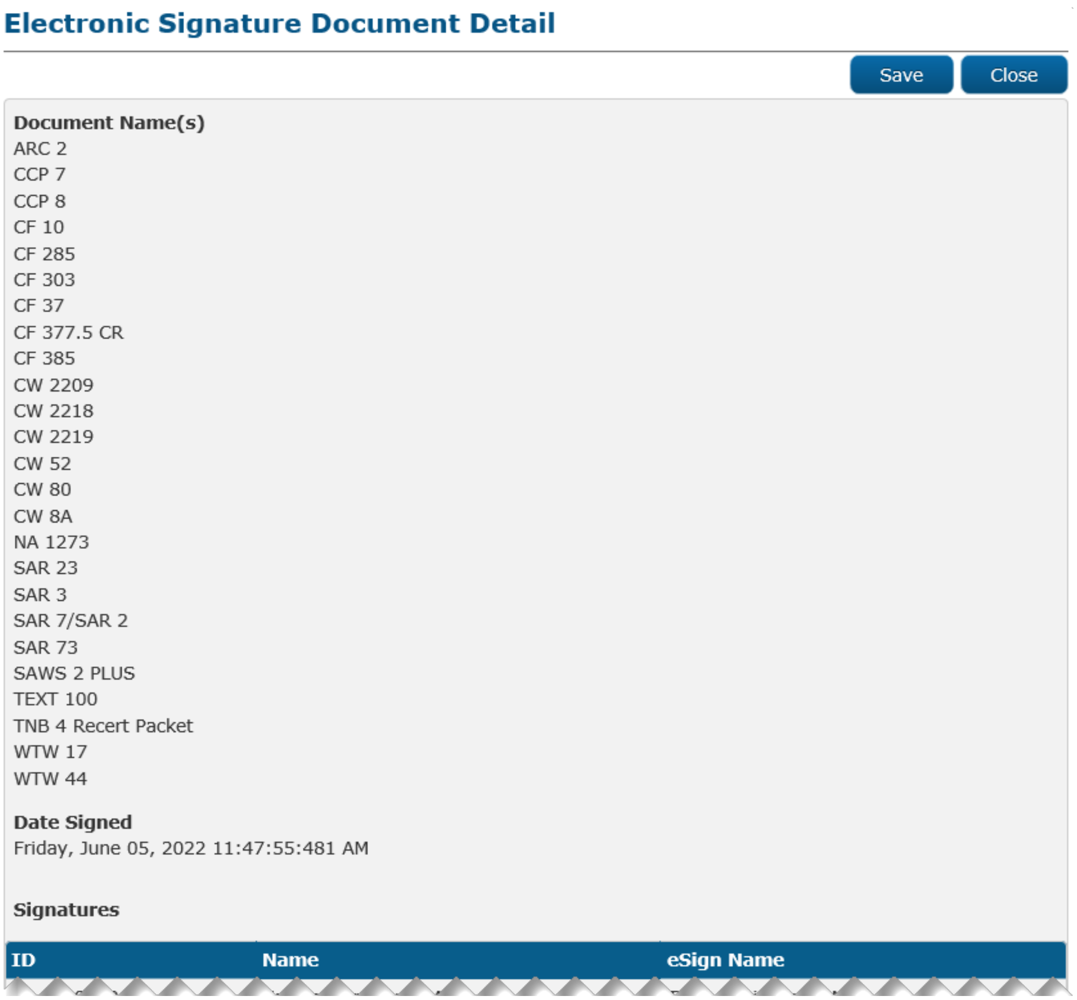


Figure 2.3.2.2 - Document Name(s) section

Signature History - ARC 2

Document Name:
Redetermination Statement of Facts Supporting Eligibility for ARC Funding Option Program

Tester, Primary 32M
Rights and Responsibilities were read in the Telephonic Signature IVR

Date/Time	Signature Capture Type	Value	Status	Expiration Date
06/05/2022 11:47:55 AM	Telephonic	(951)373-5432	Received	06/08/2022
06/05/2022 11:45:04 AM	Telephonic	(951)373-5432	Sent	06/08/2022
06/05/2022 11:41:22 AM	Telephonic		Not Sent	06/08/2022

Tester, Secondary 20F
Rights and Responsibilities were read in the Telephonic Signature IVR

Date/Time	Signature Capture Type	Value	Status	Expiration Date
06/05/2022 11:46:16 AM	Telephonic	(951)384-4321	Received	06/08/2022
06/05/2022 11:46:04 AM	Telephonic	(951)384-4321	Sent	06/08/2022
06/05/2022 11:41:22 AM	Telephonic		Not Sent	06/08/2022

Signature History - CCP 7

Signature History - CCP 8

Signature History - CF 10

Signature History - CF 285

Signature History - CF 303

Signature History - CF 37

Signature History - CF 377.5 CR

Signature History - CF 385

Signature History - CW 2209

Signature History - CW 2218

Signature History - CW 2219

Signature History - CW 52

Signature History - CW 80

Signature History - CW 8A

Signature History - NA 1273

Signature History - SAR 23

Signature History - SAR 3

Signature History - SAR 7/SAR 2

Signature History - SAR 73

Signature History - SAWS 2 PLUS

Signature History - TEXT 100

Signature History - TNB 4 Recert Packet

Signature History - WTW 17

Signature History - WTW 44

Save Close

Figure 2.3.2.3 - Signature History section

2.3.3 Description of Changes

1. Update the 'Document Name' field:
    a. Re-label the field to 'Document Name(s)' and
    b. Update it to show all documents associated to the same Capture Code, formatted as an alphanumeric list
2. Add the 'Audio and Transcript' section (see the Electronic Signature page section of this document). Protect the transcript text from edits with the ElectronicSignatureEdit security rights; set the transcript text as un-editable/read only unless the user has these rights.
3. Update the Signature History display: Add an expandable section for each document, modified as done for the Electronic Signature page (see the Electronic Signature page section of this document).
4. Add a 'Save' button to the top and bottom button rows, when the transcript text is available and editable i.e., the Signature Method is Telephonic, and the user has the needed security rights:
    a. This button will save any edits to the text transcript(s) of the Telephonic Signature audio and reload the page
    b. If the 'Incorrect Response' button was pressed, update the Person's Signature record to Incorrect Response and navigate to the Electronic Signature page
    c. Protect this button with the ElectronicSignatureEdit security rights; hide the button if the user does not have these security rights

2.3.4 Page Location

- **Global: Client Corresp.**
- **Local: Distributed Documents**
- **Task: N/A**

2.3.5 Security Updates

N/A

2.3.6 Page Mapping

Update the page mapping for new and updated fields.

2.3.7 Page Usage/Data Volume Impacts

N/A

2.4 IVR Application

2.4.1 Overview

The IVR Application receives requests from the CalSAWS application to place an outbound call to a customer to record their telephonic signature. It also captures the time stamp of an ongoing recorded conversation to be used as the customer's telephonic signature.

2.4.2 Description of Changes

1. Create a new Telephonic Signature IVR application that will place an outbound call, record the customer's telephonic signature, and optionally read aloud the rights and responsibilities.
    a. This is accessible through the Call button in CalSAWS (see the section labeled Electronic Signature page for details on the optional reading of the Rights and Responsibilities)
    b. Update the Telephonic Signature request record in CalSAWS to Received if the Telephonic Signature is successful
    c. Update the Telephonic Signature request record in CalSAWS to the Status Incorrect Response, if the IVR application receives the request to place the Telephonic Signature request Call and the Signature is not successful e.g.:
        i. If there was no answer after 3 attempts
        ii. or if there was an error,
        iii. or if the customer answers the call and the call ends without a successful signature
    d. For more information see the attached call flow, CA-226838 – Telephonic Signature Call Flow.
2. Create a new Rights and Responsibility Transfer flow to read the Rights and Responsibilities to the customer at the conclusion of a call.
    a. This is accessible through the CCP quick connects only.
    b. For more information see the attached call flow, CA-226838 – Telephonic Signature Call Flow.
3. Create a new Transcribe service to automatically transcribe the text of the customer's Telephonic Signature.
    a. Automatic transcription is only supported for the following languages.
        i. English
        ii. Spanish
        iii. Farsi
        iv. Mandarin
        v. Russian
        vi. Korean
        vii. Arabic
    b. For unsupported languages, send the message "Language not supported by Transcription"

    c. This functionality will be added in as Amazon Transcribe supports additional languages.
4. Create a new Amazon Simple Queue Service to validate whether the customer successfully signed the documents or not after the outbound call is placed.
    a. This only applies to the Non-Contact Center signature capture (e.g., using the Call button from CalSAWS).
    b. Twenty minutes after the outbound calls are attempted, validate if the signature was completed.
        i. Twenty-minute timeframe is to allow for three attempts with a ten-minute delay between calls.
    c. Create a new lambda to create a task when a customer fails to successfully sign with the Task Type "Telephonic Signature Not Complete" (See the section labeled Task Detail page for details on this Task Type).
5. Create a new Amazon Comprehend service to analyze the telephonic signature and transcription.
    a. Create a new lambda to create a task when a customer's recording doesn't meet quality standards with the Task Type "Telephonic Signature Quality". (See the section labeled Task Detail page for details on this Task Type).
    b. If the telephonic Signature does not meet quality standards update the Telephonic Signature Request Status in CalSAWS to Incorrect Response.
6. Create an auto journal at successful verification of the signature:
    a. Category – All
    b. Type – Narrative
    c. Short Description – Telephonic Signature Received.
    d. Long Description – A Telephonic Signature has been Received for {Person Name} for one or more documents including the {document_1_number}.
7. Create an auto journal when a Telephonic Signature call is attempted but not answered:
    a. Category – All
    b. Type – Narrative
    c. Short Description – Telephonic Signature Request Call Not Answered.
    d. Long Description – A Telephonic Signature request call sent to {Phone Number} was Not Answered for {Person Name} to complete the eSignature for one or more documents including the {document_1_number}.
8. Create an auto journal when a Telephonic Signature call was answered but a valid response was not received during the call:
    a. Category – All
    b. Type – Narrative
    c. Short Description – Telephonic Signature Incorrect Response.
    d. Long Description – An Incorrect Response was given for a Telephonic Signature request call sent to {Phone Number} for

{Person Name} to complete the eSignature for one or more documents including the {document_1_number}.

2.4.3 Page Location

N/A

2.4.4 Security Updates

N/A

2.4.5 Page Mapping

N/A

2.4.6 Page Usage/Data Volume Impacts

N/A

2.5 Call Control Panel

2.5.1 Overview

The Call Control Panel (CCP) allows contact center agents to receive and handle calls. The call between the agent and customer is being recorded.

Add in "Start", "Stop", and "Reset" buttons to the CCP to capture the segment of the call recording to be used as the Telephonic Signature.

2.5.2 Call Control Panel Mockup

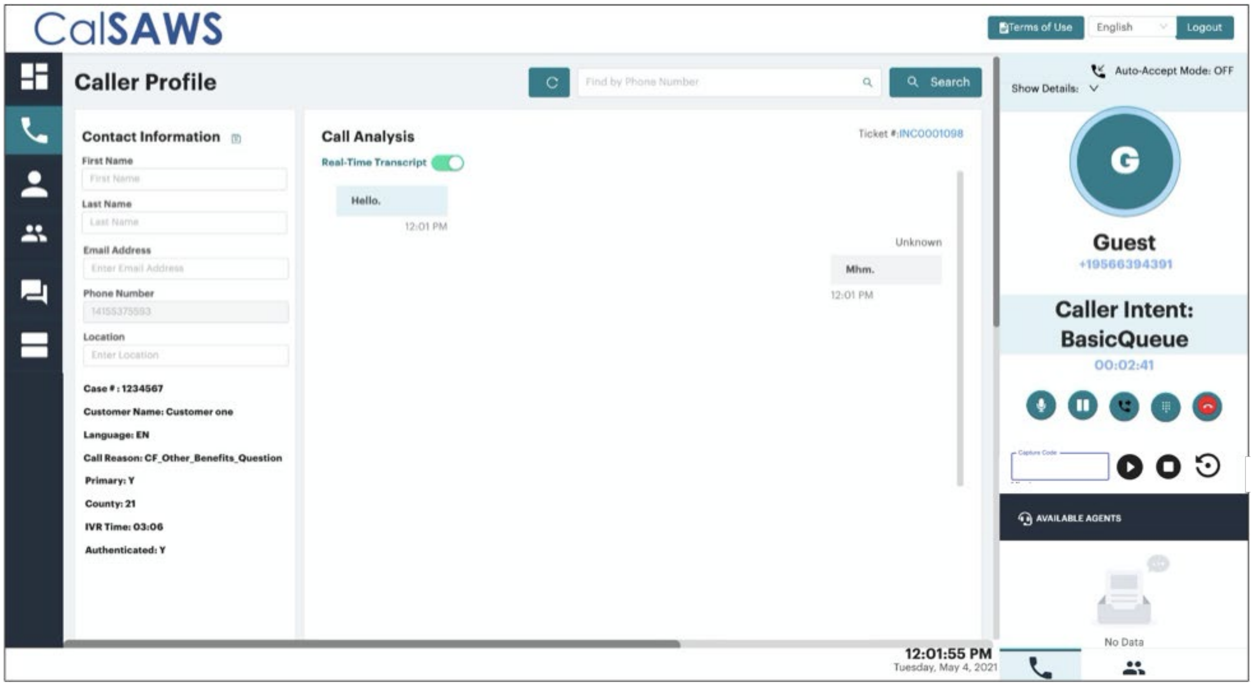


Figure 2.5.2.1 Call Control Panel Call in Progress

2.5.1 Description of Changes

1. Add a Capture Code input field. This input field will:
    a. Only allow numeric (0-9) characters to be entered
    b. Only allow a maximum of 8 characters to be entered
2. Add a Start recording button. This button will:
    a. Enable once an 8-digit capture code has been entered into the capture code input field
    b. Update to a recording icon after pressed
    c. Save the capture code
    d. Save the time stamp of when the Start recording button was pressed
    e. Save the Contact ID of the current call
3. Add a Stop recording button. This button will:
    a. Revert the Start button back to its original icon
    b. Enable once the Start recording button has been pressed
    c. Save the time stamp of when the Stop recording button was pressed
4. Add a Reset recording button. This button will:
    a. Enable after the Start recording button has been pressed
    b. Save the Start recording time stamp to the time that the reset button was pressed

2.5.2 Page Location

- **Global: Admin Tools**
- **Local: Office Admin**
- **Task: Call Control Panel**

2.5.3 Security Updates

N/A

2.5.4 Page Mapping

N/A

2.5.5 Page Usage/Data Volume Impacts

N/A

2.6 Task API – Create Task

2.6.1 Overview

The Task API allows external applications to create tasks in CalSAWS. The API does not have any data element through which a specific Telephonic Signature recording can be referenced.

Add a data element to the Task API to hold a reference to a specific Telephonic Signature recording.

2.6.2 Description of Changes

1. Add a Capture Code field to the Task API on the POST and GET endpoints to hold a Capture Code (see attached YAML & HTML files). The Capture Code sent in the request must be associated to the Case that is also sent in the request.
2. Allow a Capture Code to be passed and stored when creating a task.

2.7 Task Detail page

2.7.1 Overview

The Task Detail page allows users to view and edit Tasks. Currently there is no Task Type "Telephonic Signature Quality" or "Telephonic Signature Not Complete" and no link added on the page for Tasks of either Type.

Add Task Types “Telephonic Signature Quality” and “Telephonic Signature Not Complete”. Add a link on the Task Detail page, when the Task Type is Telephonic Signature Quality or Telephonic Signature Not Complete, that will navigate to the Electronic Signature page for the associated Case and documents.

2.7.2 Task Detail page Mockup

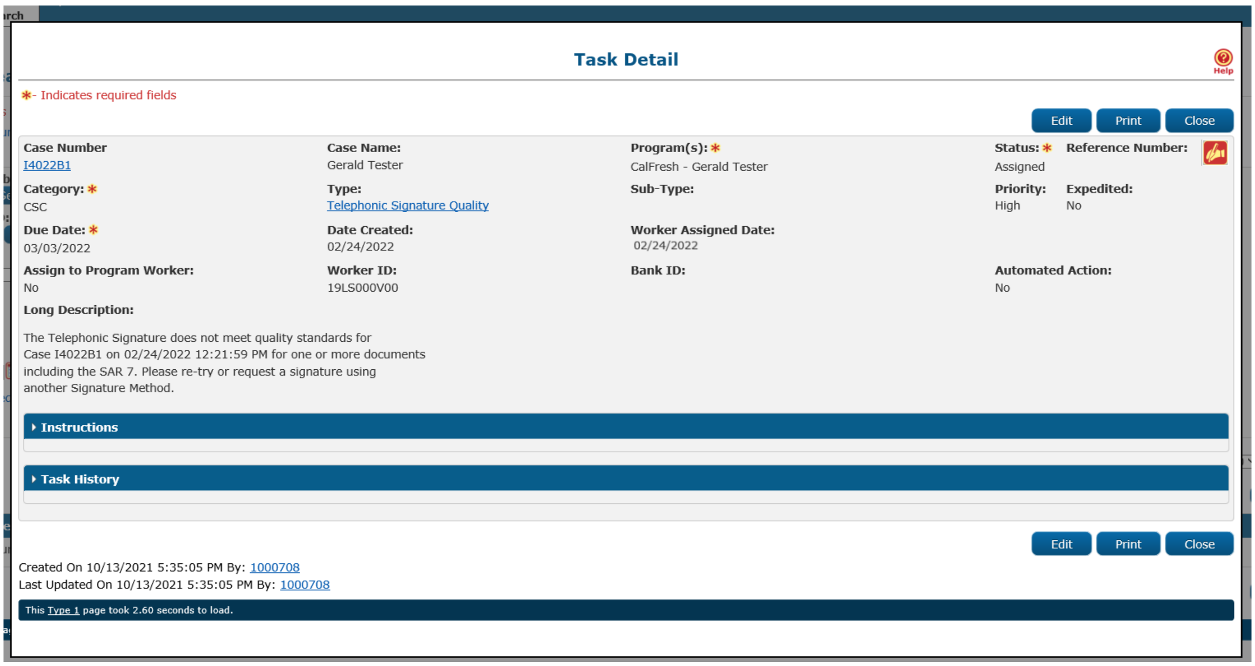


Figure 2.7.2.1 - Task Detail page with New Icon

2.7.3 Description of Changes

1. Create a System Task Type for each of the 58 counties that will be created when a recording does not meet quality standards. The Task Type will have the following elements:
    a. Name: Telephonic Signature Quality
    b. Category: CSC
    c. Priority: High
    d. Available Online: No
    e. Available for Automation: No
    f. Expire Tasks: Yes
    g. Expiration Period: 30 calendar days
    h. Expiration Type: After Task Creation
    i. Newly Assigned Indicator: 5 calendar days
    j. The Long Description of the Task will be formatted as: “The Telephonic Signature does not meet quality standards for Case {case number} on {date} {time} for one or more documents

including the {document_1_number}. Please re-try or request a signature using another Signature Method."

Note: This Task Type is considered a "System Task" and will not be editable on the Task Type Detail page.

2. Create a System Task Type for each of the 58 counties that will be created when a customer fails to record their Telephonic Signature. The Task Type will have the following elements:
    a. Name: Telephonic Signature Not Complete
    b. Category: CSC
    c. Priority: High
    d. Available Online: No
    e. Available for Automation: No
    f. Expire Tasks: Yes
    g. Expiration Period: 30 days
    h. Expiration Type: After Task Creation
    i. Newly Assigned Indicator: 5 days
    j. The Long Description of the Task will be formatted as: "The requested Telephonic Signature was not completed for Case {case number} on {date} {time} for one or more documents including the {document_1_number}. Please re-try or request a signature using another Signature Method."

    Note: This Task Type is considered a "System Task" and will not be editable on the Task Type Detail page.
3. Update the Task Detail page to display a link to the Electronic Signature page, for the associated Case and document(s), when the Task Type is Telephonic Signature Quality, or Telephonic Signature Not Complete:
    a. Add a Signature icon (see the section titled Supporting Documents) linking to the Electronic Signature page for the Case and the document(s) that are associated to the Task via Capture Code, to the right of the 'Reference Number' field label
    b. Protect this link with the ElectronicSignatureEdit security rights; hide the link if the user does not have these security rights

2.7.4 Page Location

- **Access this page via the 'Tasks' link on the Utility Navigation Bar.**

2.7.5 Security Updates

N/A

2.7.6 Page Mapping

N/A

2.7.7 Page Usage/Data Volume Impacts

N/A

3 SUPPORTING DOCUMENTS

Number	Functional Area	Description	Attachment
1	Client Correspondence	Tracks Forms that will have Telephonic Signature functionality enabled with this SCR's release.	CA-226838 Forms for Telephonic Sign.
2	Tasks	Signature icon that will link to the Electronic Signature page	
3	IVR Application	Call Flow for the Telephonic Signature Application	CA-226838 - Telephonic Signatu
4	IVR Application	Rights and Responsibilities	CA-226838_RightsandResponsibilities.pdf

4 REQUIREMENTS

4.1 Project Requirements

REQ #	REQUIREMENT TEXT	Contractor Assumptions	How Requirement Met
DDID 2211	The CONTRACTOR shall configure the Telephonic Signature solution to allow designated County staff to update a transcript of attestations and fill out metadata fields while they are recording the telephonic signature of a customer. The solution will analyze the transcript for quality standards and generate a task for recordings that do not meet quality standards with a link to the telephonic signature recording.		Options chosen on the Electronic Signature page will be saved and associated to the Telephonic Signature as metadata. The same page will allow users to update the transcript of the Telephonic Signature call; users may also edit the transcript on the Electronic Signature Document Detail page. Only users with appropriate security rights will be able to access these features.
DDID 2217	The CONTRACTOR shall configure the Telephonic Signature solution to interface with the CalSAWS Software to retrieve relevant case and customer data to associate with the digital signature file as metadata in the recording repository.		The Telephonic Signature Call API sends a Capture Code to the IVR application and the IVR application is configured to retrieve and edit the related customer data in the CalSAWS database associating the Telephonic Signature audio to the Capture Code
DDID 2218	The CONTRACTOR shall configure the Telephonic Signature solution to create an auto-journal when a telephonic signature has been captured and interface with the CalSAWS Task Management solution to create a task.		The IVR application uses the Journal API to Create CalSAWS application journal entries. The IVR application uses the Task API to create CalSAWS application Tasks, when a Telephonic Signature does not meet quality standards.

DDID 2220	The CONTRACTOR shall configure the Customer Service Center and Telephonic Signature solutions to allow Customer Service Center agents to press a button in the CalSAWS Application or the Call Control Panel to indicate the start of a telephonic signature and again to indicate the end. The recording is stored as an individual file and associated with the case and specific forms that were signed. This recording can be accessed, listened to, and downloaded from the case in the CalSAWS Application.		The IVR application has 'Start' and 'Stop' buttons to designate a portion of call audio as a "Telephonic Signature". The IVR application stores the audio and is configured to accepts a Capture Code used to associate the Telephonic Signature with the Case and specific forms. In CalSAWS, the Electronic Signature page and the Electronic Signature Document Detail page allow users, with the appropriate security rights, to listen to and download the Telephonic Signature audio.
DDID 2729	The CONTRACTOR shall configure the Telephonic Signature solution to allow designated County staff to select a single generated document or multiple documents to associate the signature to.		The Electronic Signature page has an 'Add Document' button which accesses the new 'Distributed Documents Select' page where multiple documents may be selected.
DDID 2730	The CONTRACTOR shall configure the Telephonic Signature solution to call the Non-Customer Service Center worker after entering their phone number into CalSAWS, and extension if applicable.		The Electronic Signature page allows users to enter their phone number and extension then press a 'Call' button which uses the Telephonic Signature Call API to request an outbound call from the IVR application.

DDID 2731	The CONTRACTOR shall configure the Telephonic Signature solution to support 4-way calling. This allows the agent, customer, Language Line interpreter and Telephonic Signature solution to be connected concurrently.		Amazon Connect CCP will allow the agent to initiate a 4-way call as needed by the end of 2021
DDID 2046	The CONTRACTOR shall configure the ability to play a pre-recorded message of the Rights and Responsibilities based on the documents the customer will be signing. The forms which require Rights and Responsibilities include redetermination, recertification, and application. The following languages will be supported through this functionality: - English - Spanish - Farsi - Vietnamese - Mandarin - Armenian - Tagalog - Russian - Korean - Cambodian - Hmong - Cantonese - Arabic - Lao		The IVR application is configured to play audio in the required languages based on document(s) and the person's spoken language.
DDID 2732	The CONTRACTOR shall update the existing CalSAWS Electronic Signature solution to incorporate the new Telephonic Signature solution. All parts of the Electronic Signature solution will remain as is, and in addition, will include Telephonic Signature. This includes: - Page - Security - Navigation		"Telephonic" was added as an additional Signature Method on the existing Electronic Signature page; security for and navigation to the Electronic Signature page remain unchanged. The same security rights protecting edits on the Electronic Signature page also now protect edits to the transcript of the

			Telephonic Signature audio, on the Electronic Signature Document Detail page.

5 APPENDIX

N/A

CalSAWS

California Statewide Automated Welfare System

Design Document

CA-226839

External Party Access IVR

CalSAWS	DOCUMENT APPROVAL HISTORY	
	Prepared By	Farhat Ulain
	Reviewed By	Matthew Lower

DATE	DOCUMENT VERSION	REVISION DESCRIPTION	AUTHOR
05/03/2021	1.0	Initial Revision	Farhat Ulain

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1 OVERVIEW

The Interactive Voice Response (IVR) PIN is used to authenticate a person in the IVR system. IVR allows Organizations/Resources to interact with callers through a series of automated menus and enabling the customer to self-serve for faster resolution. Through IVR flow, the customer may choose to record their voices for future authentication. This voice authentication can be used instead of a password, or Personal Identification Number (PIN).

1.1 Current Design

In the CalSAWS, only the Case Person has access to Interactive Voice Response (IVR) and they can call in using their voice as a password or the Personal Identification Number (PIN). Therefore, IVR PIN is only being displayed in Contact Detail page with the case person's information.

This functionality does not currently exist in the IVR. External parties currently do not have a separate phone number to call to be connected to the correct county IVR.

1.2 Requests

Add 'IVR PIN' field and a 'Reset PIN' button next to it in Resource Detail page, Foster Care Resource Detail page, and Money Management Resource Detail page.

Add the new PIN Letter for External Party Access.

Create call flow in Amazon Connect platform for customer Service Center solution to allow authorized external parties (CBO's, other Providers, County Agencies) to call a specific phone number, authenticate with a PIN, and be transferred to the call's destination County agent.

1.3 Overview of Recommendations

1. Modify Resource Detail page, Foster Care Resource Detail page and Money Management Resource Detail page to add 'IVR PIN' filed and a 'Reset PIN' button next to it.
2. Add 'IVR PIN Access' field and a checkbox to the Approved for County Use List page.
3. Add the new CSF 181 – PIN Letter for External Party Access to CalSAWS.
    a. A new form/noa header will be implemented to be used for the CSF 181.
4. Configure External Party Access call flow in the AWS connect platform.

1.4 Assumptions

1. Fields not modified within the description of changes will retain their current functionality.
2. The CSF 181 will not be implemented into the Template Repository.

3. CBO's that do not enter their PIN will show as "Unauthenticated" in the CCP Screen pop.
4. All counties will have one common phone number for External party to call into the IVR.
5. Each county will have separate queues for calls transferred from EPA.
6. EPA will only support English language.
7. EPA calls will be prioritized over regular IVR calls to the county, prioritization will be added at the contact flow level.

2 RECOMMENDATIONS

2.1 Resource Detail

2.1.1 Overview

Modify Resource Detail page to add ‘IVR PIN’ field to display the IVR PIN field and a ‘Create PIN’/‘Reset PIN’ button next to it.

2.1.2 Resource Detail Page – Mockups

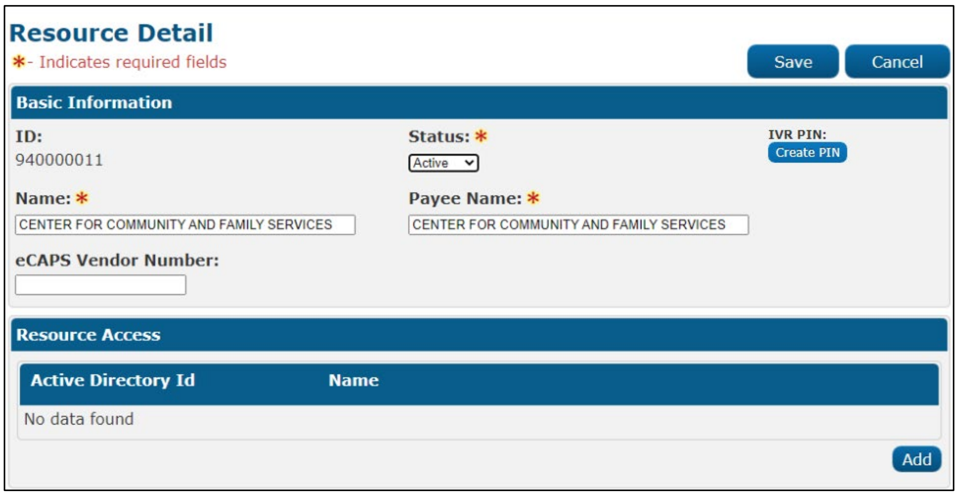


Figure 2.1.2-1 – Resource Detail Page-Create PIN

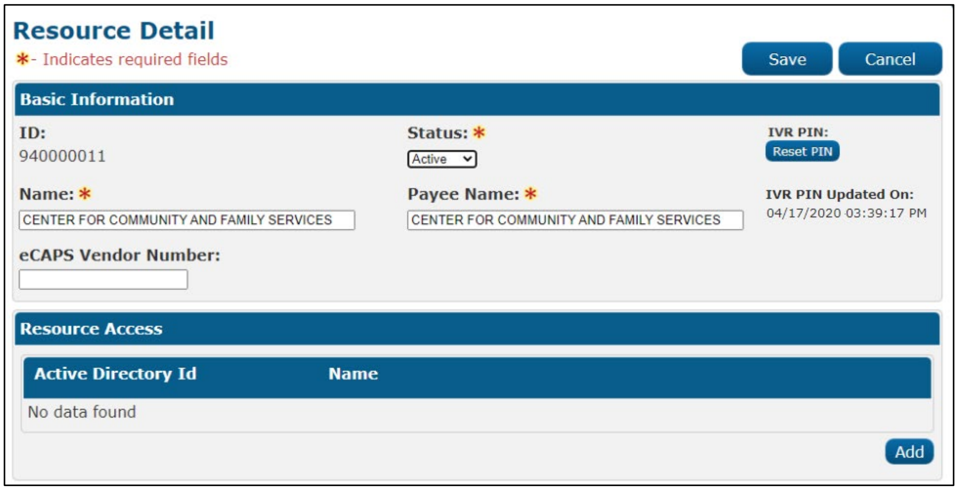


Figure 2.1.2-2 – Resource Detail Page-Reset PIN

2.1.3 Description of Change

1. Add 'IVR PIN' field to Resource Detail page.
2. Add a 'Create PIN' button underneath the 'IVR PIN' field.
   a. When a new case is created and the Resource Detail page doesn't have an IVR pin, a 'Create PIN' button will be displayed right underneath the 'IVR PIN' field.
      i. Once user clicks on 'Create PIN' button and saves the record, a random 6-digit unique PIN number will be generated, and the 'Create PIN' button will be replaced with 'Reset PIN' button.
   b. When the Resource Detail page has an IVR pin number generated, a 'Reset PIN' button will be displayed underneath the 'IVR PIN' field.
      i. Clicking on 'Reset PIN' button will reset the previously generated IVR pin with a new set of random 6-digit number.
3. The 'IVR PIN' field, 'Create PIN' button and the 'Reset PIN' button will be displayed only in Edit mode.
4. IVR PIN number will not be displayed in the Resource Detail page.
5. Add the 'IVR PIN Updated On' field in the Resource Detail page as displayed in the figure 2.1.2.-2.
   a. This field will be dynamic and displayed once the IVR PIN is created.
   b. This field will display the date and time the IVR PIN was updated, formatted as <DD/MM/YYYY HH:MM:SS AM/PM>.

2.1.4 Page Location

- **Global:** Resource Databank
- **Local:** Resources
- **Task:** Resource Detail

2.1.5 Security

N/A

2.1.6 Page Mapping

Update page mapping for the new field.

2.1.7 Page Usage/Data Volume Impact

N/A

2.2 Foster Care Resource Detail

2.2.1 Overview

Modify Foster Care Resource Detail page to add 'IVR PIN' field and a 'Create PIN'/'Reset PIN' button next to it.

2.2.2 Foster Care Resource Detail Page – Mockups

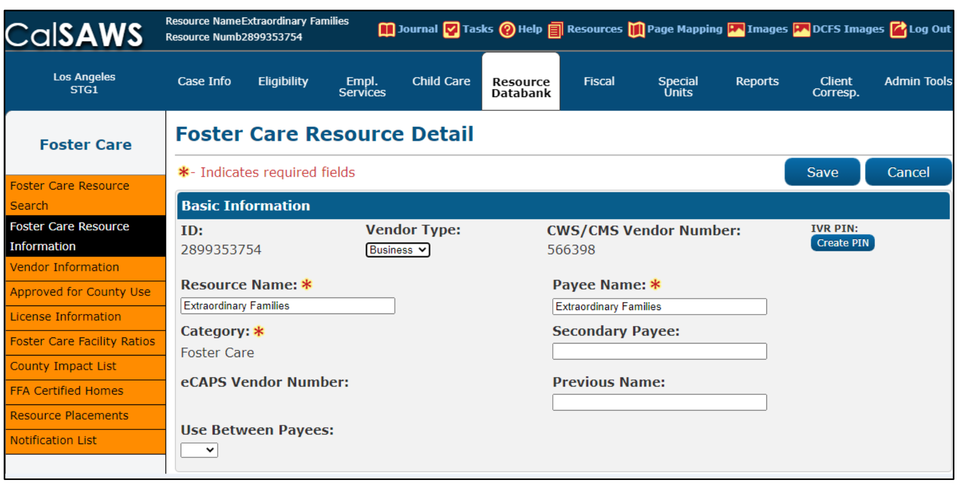


Figure 2.2.2-1 – Foster Care Resource Detail Page-Create PIN

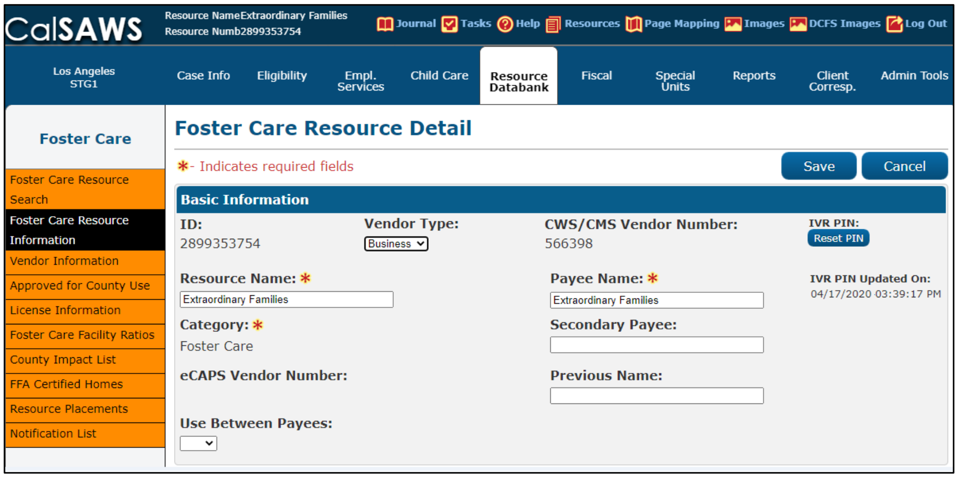


Figure 2.2.2-2 – Foster Care Resource Detail Page-Reset PIN

2.2.3 Description of Change

1. Add ‘IVR PIN’ field to Foster Care Resource Detail page.
2. Add a ‘Create PIN’ button beneath the ‘IVR PIN’ field.
   a. When a new Foster Care case is created and the Resource Detail page doesn’t have an IVR pin, a ‘Create PIN’ button will be displayed right underneath the ‘IVR PIN’ field in Edit mode.
      i. Once user clicks on ‘Create PIN’ button and saves the record, a random 6-digit unique PIN number will be generated, and the ‘Create PIN’ button will be replaced with ‘Reset PIN’ button.
   b. When the Foster Care Resource Detail page has an IVR pin number generated, a ‘Reset PIN’ button will be displayed underneath the ‘IVR PIN’ field.
      i. Clicking on ‘Reset PIN’ button will reset the previously generated IVR pin with a new set of random 6-digit number.
3. The ‘IVR PIN’ field, ‘Create PIN’ button and the ‘Reset PIN’ button will be displayed only in Edit mode.
4. IVR PIN number will not be displayed in the Foster Care Resource Detail page.
5. Add the ‘IVR PIN Updated On’ field in the Foster Care Resource Detail page as displayed in the figure 2.2.2.-2.

   a. This field will be dynamic and displayed once the IVR PIN is created.

   b. This field will display the date and time the IVR PIN was updated, formatted as <DD/MM/YYYY HH:MM:SS AM/PM>.

2.2.4 Page Location

- **Global:** Resource Databank
- **Local:** Foster Care
- **Task:** Foster Care Resource Information

2.2.5 Security

N/A

2.2.6 Page Mapping

Update page mapping for the new field.

2.2.7 Page Usage/ Data Volume Impact

N/A

2.3 Money Management Resource Detail

2.3.1 Overview

Modify Money Management Resource Detail page to add 'IVR PIN' field and a 'Create PIN'/'Reset PIN' button next to it.

2.3.2 Money Management Resource Detail Page – Mockups

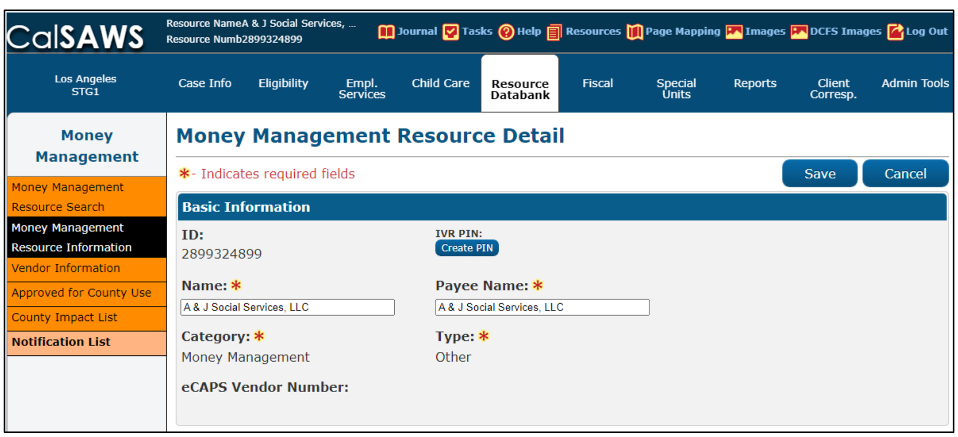


Figure 2.3.2-1 – Money Management Resource Detail Page-Create PIN

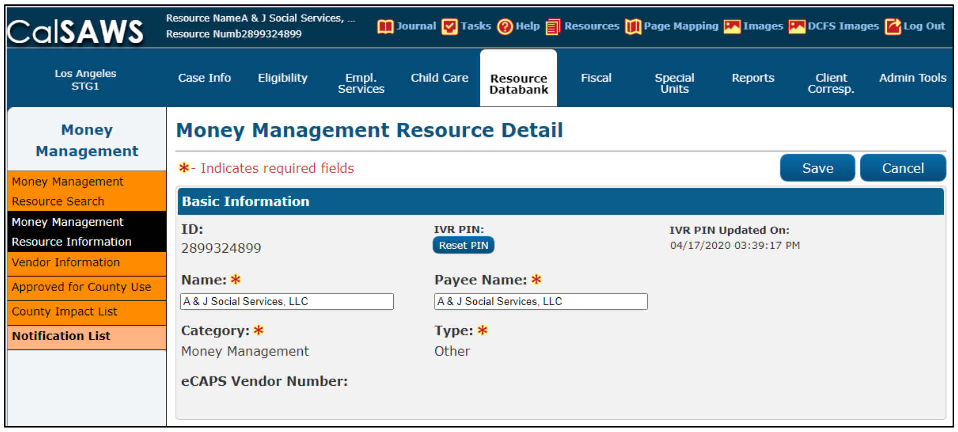


Figure 2.3.2-2 – Money Management Resource Detail Page-Reset PIN

2.3.3 Description of Change

1. Add 'IVR PIN' field to Money Management Resource Detail page.
2. Add a 'Create PIN' button beneath the 'IVR PIN' field.
   a. When a new case is created and the Money Management Resource Detail page doesn't have an IVR pin, a 'Create PIN' button will be displayed right underneath the 'IVR PIN' field in Edit mode.
      i. Once the user clicks on 'Create PIN' button and saves the record, a random 6-digit PIN unique number will be generated, and the 'Create PIN' button will be replaced with 'Reset PIN' button.
   b. When the Money Management Resource Detail page has an IVR pin number generated, a 'Reset PIN' button will be displayed underneath the 'IVR PIN' field.
      i. Clicking on 'Reset PIN' button will reset the previously generated IVR pin with a new set of random 6-digit number.
3. The 'IVR PIN' field, 'Create PIN' button and the 'Reset PIN' button will be displayed only in Edit mode.
4. IVR PIN number will not be displayed in the Money Management Resource Detail page.
5. Add the 'IVR PIN Updated On' field in the Money Management Resource Detail page as displayed in the figure 2.3.2.-2.

   a. This field will be dynamic and displayed once the IVR PIN is created.

   b. This field will display the date and time the IVR PIN was updated, formatted as <DD/MM/YYYY HH:MM:SS AM/PM>.

2.3.4 Page Locations

- **Global:** Resource Databank
- **Local:** Money Management
- **Task:** Money Management Resource Information

2.3.5 Security Update

N/A

2.3.6 Page Mapping

Update page mapping for the new field.

2.3.7 Page Usage/Data Volume Impacts

N/A

2.4 Approved for County Use List

2.4.1 Overview

The Approved for County Use List page allows the User to add, edit and view a Resource's approval status. This page maintains a historical record of statuses for a Resource. This change will add the 'IVR PIN Access' field to the page to maintain IVR pin access for the resources.

2.4.2 Approved for County Use List – Mockup

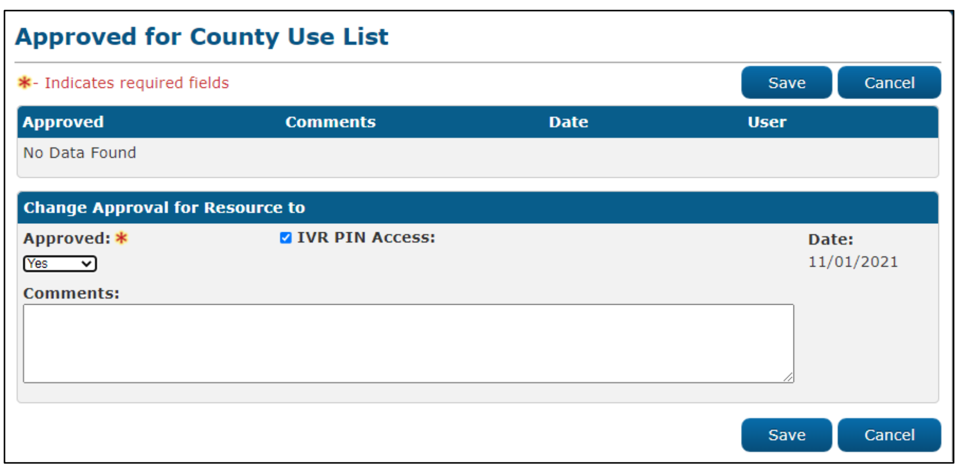


Figure 2.4.2-1 – Approved for County Use List Page

2.4.3 Description of Chang

1. Add 'IVR PIN Access' field and a checkbox to the Approved for County Use List page.
   a. If a county opts-in and the checkbox is selected in the Approved for County Use List page, then the resource belongs to the county will have the access to the IVR PIN.

   Note: If a county opts-out and the checkbox is not selected in the Approved for County Use List page, then the resource belongs to the county will not have the access to the IVR PIN.

2.4.4 Page Locations

- **Global:** Resource Databank
- **Local:** Resources
- **Task:** Approved for County Use

2.4.5 Security Update

N/A

2.4.6 Page Mappings

Update page mapping for the new field.

2.4.7 Page Usage/Data Volume Impacts

N/A

2.5 External Party Access IVR

2.5.1 Overview

External Party calls a specific phone number, then enters a PIN to authenticate. Once authenticated the call is routed to the destination county agent for further assistance.

Commented [JK1]: Do all EPA's call the same phone number?

Commented [DM2R1]: Yes.

2.5.2 Description of Changes

Implement External party access IVR call flow in AWS connect. Add authentication PIN management in CalSAWS application.

When an external party calls the phone number, the caller is prompted to enter a PIN to authenticate. When the caller authenticates, the caller is prompted to enter or say the county name or the two-digit county code of the case they are calling about. After the caller enters the county code, the call is then transferred to the destination county.

External party calls will also have a route to callers who are unable to authenticate in the IVR. The caller will still be prompted to enter or say the county name or the two-digit county code. After the caller enters the county code, the call is then transferred to the destination county.

The county must have dedicated queues to service External party calls. Routing profiles are created for such queues and agents are assigned to the routing profiles to service both authenticated and unauthenticated external party calls. County to configure separate routing profiles for External Party calls.

For Non-CSC counties, the IVR phone number will be played back to the external party.

2.6 IVR Authentication Sweep

2.6.1 Overview

2.6.2 Description of Change

Update IVR_LOGIN_AGGR table to include a reference to the CalSAWS table that stores the authorized representative.

Update batch job PB00V500 to include primary key id for the table that stores the authorized representative which IVR will consume.

2.6.3 Execution Frequency

2.6.4 Key Scheduling Dependencies

2.6.5 Counties Impacted

All Counties

Commented [JK3]: This should be done through a LEX Bot since most EPA's won't know the county codes. We should specify that the callers will say the name of the County they are calling. We should also include in the LEX bot the ability to enter the county code or say "33" for Riverside too just to cover all bases".

Commented [DM4R3]: Revised the sentence.

Commented [JK5]: Again, this should be accomplished through a LEX bot so callers can just say "Riverside" rather than knowing 33.

Commented [DM6R5]: Updated.

Commented [JK7]: What about Non-CSC Counties? Will we be transferring the call to a static county phone number, or will we just play a message "call this phone number for Alpine County"?

Commented [DM8R7]: I kinda like the latter.

Commented [JK9R7]: I agree. We'll need to reach work with Darcy to draft a CIT to get a list of phone numbers.

We also should add in the CIT information in the Outreach area of the SCR.

Commented [JK10]: Counties can't configure queues. We'll configure the queues and the WFM will manage their Routing Profiles.

Commented [DM11R10]: Updated to say routing profiles.

2.6.6 Data Volume/Performance

2.6.7 Failure Procedure/Operational Instructions

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

2.7 Adding New CSF 181 – New Case IVR PIN Letter for External Party Access Form Recommendation

2.7.1 Overview

The CSF 181 – New Case IVR PIN Letter for External Party Access form is used to inform the Resources (External Parties) of their PIN for the IVR system to call in and retrieve information.

State Form: N/A – Non-State Form

Programs: N/A – Non-Program Specific Form

Attached Forms: None

Forms Category: Forms

Template Repository Visibility: N/A

Languages: English

2.7.2 Form Verbiage

Create Form XDP

A new XDP will be created for the CSF 181 – New Case IVR PIN Letter for External Party Access form.

Form Header: New header from section 2.7.

Form Title (Document List Page Displayed Name): New Case IVR PIN Letter for External Party Access

Form Number: CSF 181 (01/2022)

Include NA Back 9: No

Imaging Form Name: PIN Letter for External Party Access

Imaging Document Type: Interoffice Correspondence

Imaging Case/Person: N/A

Form Mockups/Examples: See supporting document #2

2.7.3 Form Variable Population

The new CSF 181 will require variable population logic for the header and body variables.

Form Header Variables:

Variable Name	Population	Formatting	Editable*/Field Type	Template Repository Population	Populates with Form Generation
Return Address	Populates with the address of the sending office *Determined based on login user	Arial Font Size 10	Yes/Text Field	No	Yes
County Of	Populates with the county *COUNTY_CODE from ADDR table.* ***Technical Note:*** *ADDR table connects to ORG table through ORG_ADDR table.* *Determined based on login user	Arial Font Size 10	Yes/Text Field	No	Yes
Date	Populates the current date	Arial Font Size 10	Yes/Date Field	No	Yes
Form Title	Populates with "**New Case IVR PIN Letter for External Party Access**"	Arial Font Size 10 – Bold	Yes/Text Field	No	Yes
Address	Mailing Address of the	Arial Font Size 10	Yes/Text Field	No	Yes

	organization or resource (Displayed under "Address" in each page described in sections 2.1-2.3.)				

Form Body Variables:

Variable Name	Population	Formatting	Editable*/Field Type	Template Repository Population	Populates with Form Generation
Organization Name	Populates with the name of the organization or resource *BUSINESS_NAME from ORG table.*	Arial Font Size 10	Yes/Text Field	No	Yes
PIN Number 1	Populates with the 6-digit PIN generate when "Create PIN" or "Reset PIN" buttons are clicked. See sections 2.1 – 2.3. *PIN_NUM_IDENTIF from IVR_PERS table.*	Arial Font Size 10	Yes/Numeric Field	No	Yes

PIN Number 2	Populates with the 6-digit PIN generate when “Create PIN” or “Reset PIN” buttons are clicked. See sections 2.1 – 2.3. *PIN_NUM_IDENTIF from IVR_PERS table.*	Arial Font Size 10	Yes/Numeric Field	No	Yes

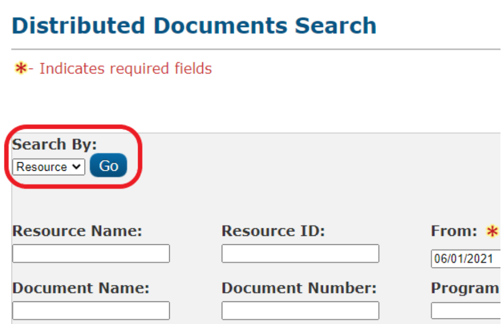
Note: *PIN Number 1 and PIN Number 2 are the same PINs.*

2.7.4 Form Generation Conditions

1. **Add Form Generation**
   The form will generate any time a user creates a new PIN from any of the following pages:
   - Resource Detail Page, or
   - Foster Care Resource Detail Page, or
   - Money Management Resource Detail Page

   Sections 2.1 – 2.3 has added a “Create PIN” and “Reset PIN” buttons. The form will generate any time either of those buttons are clicked by the user to create a new PIN or reset their PIN.

   The form will display on the Distributed Documents page and when the “Search By:” field is set to “Resource” (please see image below).



2. **Add Form Control**
   The form will have the following barcode:

Due Date: N/A

Tracking Barcode	BRM Barcode	Imaging Barcode
N	N	N

Note: Customers with electronic communications will still receive a paper copy of this correspondence in the mail so that they are also provided a return envelope.

3. **Add Form Print Options and Mailing Requirements**

The form will have the following print options:

Blank Template	Print Local without Save	Print Local and Save	Print Central and Save	Reprint Local	Reprint Central
N	N	N	Y	Y	Y

Mailing Requirements:
Mail-To (Recipient): Resource or organization selected from one of the pages in sections 2.1-2.3.
Mailed From (Return): Sending Office
Mail-back-to Address: N/A
Outgoing Envelope Type: Standard
Return Envelope Type: N/A

Additional Requirements:
Special Paper Stock: None
Enclosures: None
Electronic Signature: No
 CW/CF Electronic Signature (IVR/Text): No
 Check to Sign: No
Post to Self Service Portal (SSP): No

2.8 Adding New NOA Date Only Header Fragment Recommendation

2.8.1 Overview

The new header is created to be used when a form header only requires the date to be populated. The new header is used when a form is not tied to a specific case or program.

Languages: English

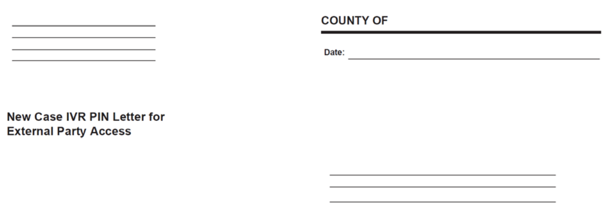
2.8.2 Header Verbiage

Create Header XDP

A new XDP will be created for the CSF 181 – PIN Letter for External Party Access form. The new header will replicate the CalSAWS Standard Header (HEADER_1), with the following fields removed:

- Case Name
- Case Number
- Worker Name
- Worker ID
- Worker Phone Number
- Customer ID

Example:


COUNTY OF

Date:

New Case IVR PIN Letter for External Party Access

2.8.3 Header Variable Population

The new CSF 181 will require variable population logic for the body variables.

Variable Name	Population	Formatting*
Form Name	Populates with the form title	Arial Font Size 10 - Bolded
County Of	Populates with the county name	Arial Font Size 10
Return Address	Populates with Mail-Back-To address	Arial Font Size 10
Address	Populates with the address of the recipient	Arial Font Size 10

*English only, Spanish and threshold will generate based on project standards for that language.

Variables Requiring Translations: N/A

3 SUPPORTING DOCUMENTS

Number	Functional Area	Description	Attachment
1	AWS External Party Access IVR Detailed Call flow.	Visio diagram represents External Party Access call flow, AWS EPA IVR Detailed Call Flow.pdf	
2	Forms	CSF 181 Mockup	CSF181_EN.pdf

Commented [JK12]: Where is this call flow? I'd like to review it.

Commented [DM13R12]: I am yet to create it.

Commented [JK14R12]: Sounds good. Let me know if you need help.

4 PROJECT REQUIREMENTS

REQ #	REQUIREMENT TEXT	How Requirement Met
DDID 2216	The CONTRACTOR shall configure the customer Service Center solution to allow authorized external parties (CBO's, other Providers, County Agencies) to call a specific phone number, authenticate with a PIN, and be transferred to the call's destination County agent. This solution will only support English.	Section 2.4.2
DDID 2725	The Contractor shall configure the External Party Access solution to include unique PINs, assigned and managed by the County in the CalSAWS Application to be used by the external parties for identification and authentication purposes.	Section 2.6

CalSAWS

California Statewide Automated Welfare System

Design Document

CA-229153

DDID 1629 – Existing GA/GR Tasks

(Migration Counties)

Task Management

CalSAWS	DOCUMENT APPROVAL HISTORY	
	Prepared By	Justin Dobbs, Mayuri Srinivas, Rakan Ali
	Reviewed By	Sarah Cox, Dymas Pena, Pandu Gupta, Carlos Albances

DATE	DOCUMENT VERSION	REVISION DESCRIPTION	AUTHOR
11/24/2021	1.0	Version 1	Mayuri Srinivas

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1 OVERVIEW

This design outlines requirements to create a population of GA/GR Automated Actions for the 57 migration Counties based on Los Angeles County GA/GR Automated Actions.

1.1 Current Design

The CalSAWS System includes functionality to create Tasks in an automated fashion via the nightly batch processes or by specific worker actions. The CalSAWS System includes a configurable automated Task framework called Automated Actions. Los Angeles County has a population of GA/GR Automated Actions and the 57 migration Counties do not.

1.2 Requests

Modify the CalSAWS System to include a set of GA/GR Automated Actions for the 57 migration Counties.

1.3 Overview of Recommendations

1. Create a set of GA/GR Automated Actions for the 57 migration Counties.
2. Implement logic to invoke the Automated Actions.

1.4 Assumptions

1. SCRs CA-214927 and CA-214928 related to DDID 34 have set up the underlying data model and front-end Automated Action pages to support Automated Action processing.
2. Los Angeles County's Automated Actions will remain unchanged.

2 RECOMMENDATIONS

This section will outline recommendations to modify the CalSAWS System to include a set of GA/GR Automated Actions for the 57 migration Counties.

2.1 GA/GR Automated Actions

2.1.1 Overview

The Automated Action framework allows County Users a level of configurability for automated Task generation. For example, the County can choose to deactivate a specific automated task within their County. They also can define attributes such as Task Type, Task Sub-Type, the due dates, and initial assignment information for the resulting tasks through the Automated Action Detail page. (Reference CA-214928 – DDID 34 for the specifics of the Automated Action pages).

This section outlines the modifications required to implement a population of migration County GA/GR Automated Actions.

2.1.2 Automated Action Detail – Reference Example

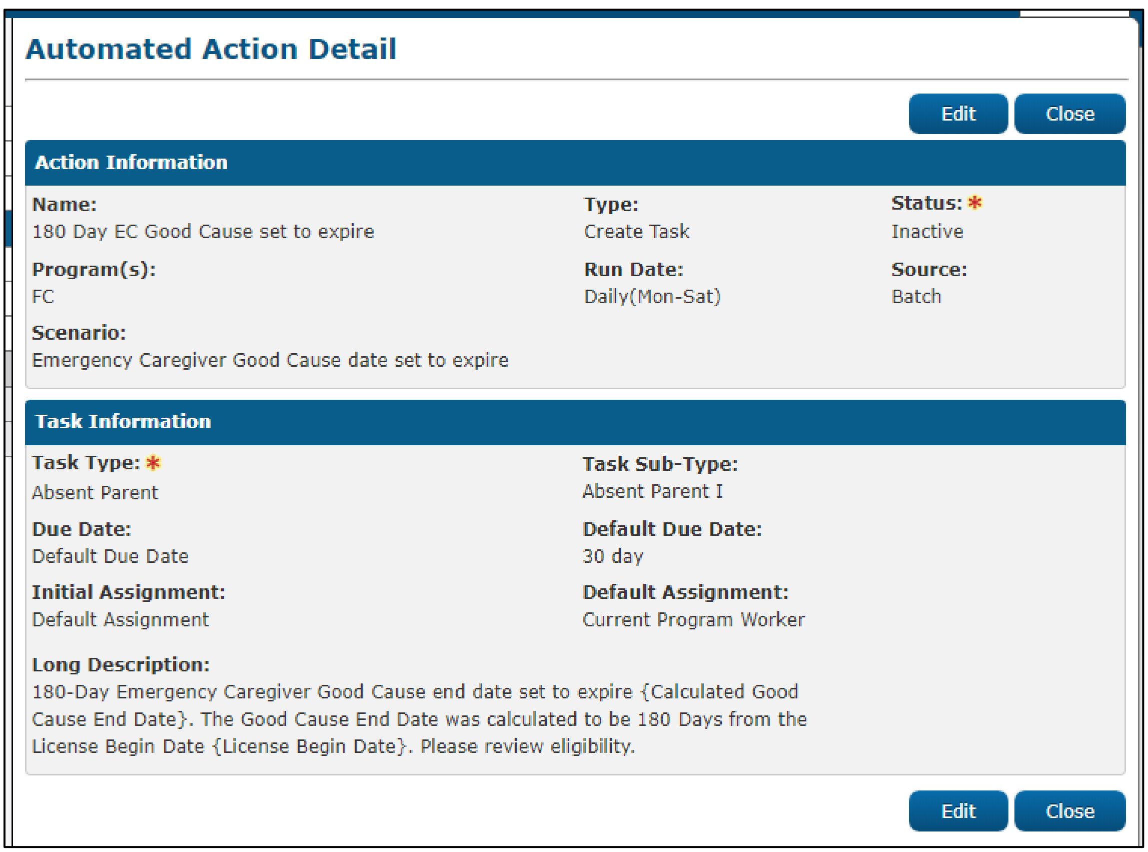

Figure 2.1.2.1 – Automated Action Detail

2.1.3 Description of Changes

Implement the following migration County's Automated Actions.

The Automated Actions defined in this section will only be available for the 57 migration Counties as equivalent Automated Actions already exist for Los Angeles County.

The Status will initially be Inactive with a blank Task Type and Task Sub-Type. This is because each County can set a custom Task Type for each Automated Action. If a migrated County decides to Activate one of these Automated Actions, the page validation will require that the County also select a Task Type to be used. The "Guided Navigation" attribute will not display on the Automated Action Detail page.

1. GA/GR Program: Active with GA/GR Employment Services Non-Compliance
    a. Action Information
        i. Name: GA/GR Program: Active with GA/GR Employment Services Non-Compliance
        ii. Type: Create Task
        iii. Status: Inactive
        iv. Program(s):

Group	Value
1	GM, GN, GE
2	GR, GE

Reference Appendix for the Counties within the groups listed in the table above.

        v. Run Date: Real Time
        vi. Source: Online
        vii. Scenario: A GA/GR program is Active with GA/GR Employment Services Non-Compliance. Take appropriate action.
    b. Task Information
        i. Task Type: BLANK
        ii. Task Sub-Type: BLANK
        iii. Due Date: Default Due Date
        iv. Default Due Date: 30 days
        v. Initial Assignment: Default Assignment
        vi. Default Assignment: Current Program Worker
        vii. Long Description: GR is active with GA/GR Employment Services Non-Compliance. Review the Active GR.
    c. Update the logic that triggers the "GA/GR Program: Active with GROW Non-Compliance" Automated Action for Los Angeles

County to evaluate the county code of the user. If the county is not Los Angeles, the GA/GR Employment Services program status is being set to Non-Compliance and the case contains an Active GA/GR program, invoke the above Automated Action.

2. GA/GR Employment Services Program: Orientation Completed
   a. Action Information
      i. Name: GA/GR Employment Services Program: Orientation Completed
      ii. Type: Create Task
      iii. Status: Inactive
      iv. Program(s):

Group	Value
1	GM, GN, GE
2	GR, GE

Reference Appendix for the Counties within the groups listed in the table above.

      v. Run Date: Real Time
      vi. Source: Online
      vii. Scenario: A GA/GR Employment Services orientation has been completed. Review and process the GA/GR program.

   b. Task Information
      i. Task Type: BLANK
      ii. Task Sub-Type: BLANK
      iii. Due Date: Default Due Date
      iv. Default Due Date: 15 days
      v. Initial Assignment: Default Assignment
      vi. Default Assignment: Current Program Worker
      vii. Long Description: GA/GR Employment Services Orientation is Completed - GR case can be processed/approved.
   c. Update the logic that invokes the "GROW Program: Orientation Completed" Automated Action for Los Angeles County to evaluate the county code of the user. If the county is not Los Angeles, logic will confirm that the Activity Category is “GA/GR Employment Services” and the case includes a GA/GR program. If both conditions are met, invoke the above Automated Action.

3. GA/GR Employment Services Program: Activity Closed
   a. Action Information

i. Name: GA/GR Employment Services Program: Activity Closed
ii. Type: Create Task
iii. Status: Inactive
iv. Program(s): GE
v. Run Date: Real Time
vi. Source: Online
vii. Scenario: A GA/GR Employment Services Activity has been Closed. Review for Overpayment.

b. Task Information
i. Task Type: BLANK
ii. Task Sub-Type: BLANK
iii. Due Date: Default Due Date
iv. Default Due Date: 15 days
v. Initial Assignment: Default Assignment
vi. Default Assignment: Current Program Worker
vii. Long Description: Create an alert to the GA/GR Employment Services Case Manager to review and create GA/GR Employment Services Ancillaries Overpayment.

c. Update the logic that fires the "GROW Program: Activity Closed" Automated Action for Los Angeles County to evaluate the county code of the user. If the county is not Los Angeles, logic will confirm that the Activity Category is "GA/GR Employment Services", and the case includes a GA/GR Employment Services program with a payment. If these conditions are met, invoke the above Automated Action.

4. GA/GR Employment Services Program: Deregistered or Sanctioned
a. Action Information
i. Name: GA/GR Employment Services Program: Deregistered or Sanctioned
ii. Type: Create Task
iii. Status: Inactive
iv. Program(s): GE
v. Run Date: Real Time
vi. Source: Batch/Online
vii. Scenario: A GA/GR Employment Services program has been Deregistered or Sanctioned. Take appropriate action.

b. Task Information
i. Task Type: BLANK
ii. Task Sub-Type: BLANK
iii. Due Date: Default Due Date

iv. Default Due Date: 30 days
v. Initial Assignment: Default Assignment
vi. Default Assignment: Current Program Worker
vii. Long Description: GA/GR Employment Services Program is Deregistered, GA/GR Employment Services Case Manager needs to send paper case to X-File.

c. Triggering Conditions
   i. Update the logic of the PB19S810 batch process, which invokes the "GROW Program: Deregistered" Automated Action for Los Angeles County to function for all CalSAWS counties. If the county is not Los Angeles, the Automated Action above will be triggered. The logic will dynamically evaluate the appropriate GA/GR Employment Services program code based on the particular County. Technical Note: New batch process names may result from this implementation.
   ii. Update the logic of the PB19S937 batch process, which invokes the "GROW Program: Deregistered" Automated Action for Los Angeles County to function for all CalSAWS counties. If the county is not Los Angeles, the Automated Action above will be triggered. The logic will dynamically evaluate the appropriate GA/GR Employment Services program code based on the particular County. Technical Note: New batch process names may result from this implementation.
   iii. Update the logic of the PB19S938 batch process, which invokes the "GROW Program: Deregistered" Automated Action for Los Angeles County to function for all CalSAWS counties. If the county is not Los Angeles, the Automated Action above will be triggered. The logic will dynamically evaluate the appropriate GA/GR Employment Services program code based on the particular County. Technical Note: New batch process names may result from this implementation.
   iv. Update the logic that invokes the "GROW Program: Deregistered" Automated Action to evaluate the County of the actioning Worker and invoke the Automated Action above if the County is not Los Angeles and the program is "GA/GR Employment Services".

5. GA/GR Employment Services Program: Work Registration Updated
   a. Action Information

i. Name: GA/GR Employment Services Program: Work Registration Updated
ii. Type: Create Task
iii. Status: Inactive
iv. Program(s):

Group	Value
1	GM, GN, GE
2	GR, GE

Reference Appendix for the Counties within the groups listed in the table above.
v. Run Date: Daily(Mon-Sat)
vi. Source: Batch
vii. Scenario: A GA/GR Employment Services participant's Work Registration status has been changed from Employable to Unemployable. Take appropriate action.

b. Task Information
i. Task Type: BLANK
ii. Task Sub-Type: BLANK
iii. Due Date: Default Due Date
iv. Default Due Date: 30 days
v. Initial Assignment: Default Assignment
vi. Default Assignment: Current Program Worker
vii. Long Description: GR Employability Status Changed need to de-register GA/GR Employment Services or assign new activity.

c. Update the logic of the PB19A258 batch process, which invokes the "GROW Program: Work Registration Updated" Automated Action for Los Angeles County to function for all CalSAWS counties. If the county is not Los Angeles, the Automated Action above will be triggered. The logic will dynamically evaluate the appropriate GA/GR Employment Services program code based on the particular County. Technical Note: New batch process names may result from this implementation.

6. GA/GR Employment Services Program: No Activity
a. Action Information
i. Name: GA/GR Employment Services Program: No Activity
ii. Type: Create Task
iii. Status: Inactive
iv. Program(s): GE
v. Run Date: Daily(Mon-Sat)

vi. Source: Batch
vii. Scenario: An Active GA/GR Employment Services participant has not been assigned to an activity for 45 or more days.

b. Task Information
   i. Task Type: BLANK
   ii. Task Sub-Type: BLANK
   iii. Due Date: Default Due Date
   iv. Default Due Date: 15 days
   v. Initial Assignment: Default Assignment
   vi. Default Assignment: Current Program Worker
   vii. Long Description: GA/GR Employment Services Program is "Active" but no GA/GR Employment Services activity is assigned. Assign GA/GR Employment Services activity.
c. Update the logic of the PB19A245 batch process, which invokes the "GROW Program: No Activity" Automated Action for Los Angeles County to function for all CalSAWS counties. If the county is not Los Angeles, the Automated Action above will be triggered. The logic will dynamically evaluate the appropriate GA/GR Employment Services program code based on the particular county. Technical Note: New batch process names may result from this implementation.

3 SUPPORTING DOCUMENTS

N/A

4 REQUIREMENTS

4.1 Migration Requirements

DDID #	REQUIREMENT TEXT	Contractor Assumptions	How Requirement Met
1629	The CONTRACTOR shall update the existing LRS automated tasks, as specified in the "Task Management LRS Automated Task Inventory" appendix, into the CalSAWS Software for all 58 Counties; as well as update current task configurations for Los Angeles County into the CalSAWS Software as default settings for Los Angeles County.	- Existing thresholds for authorization based tasks will remain the same, and threshold amounts will not be configurable by county. - Support for mapping CalWIN automated tasks to LRS automated tasks is not included. - Automated tasks included in this DDID would be set to "Inactive" at cutover for CalWIN counties. - Please refer to CalSAWS Agreement Exhibit U Schedule 1 - Attachment 1 Contractor Assumptions Inventory List, worksheet 'LRS Automated Tasks'	Replicating a population of Los Angeles County GA/GR Automated Actions for the 57 migration Counties.

5 MIGRATION IMPACTS

N/A

6 OUTREACH

N/A

7 APPENDIX

7.1 Programs Table

Group	Counties
1	Alpine, Amador, Butte, Calaveras, Colusa, Del Norte, El Dorado, Glenn, Humboldt, Imperial, Inyo, Kern, Kings, Lake, Lassen, Madera, Marin, Mariposa, Mendocino, Merced, Modoc, Mono, Monterey, Napa, Nevada, Plumas, Riverside, San Benito, San Bernardino, San Joaquin, Shasta, Sierra, Siskiyou, Stanislaus, Sutter, Tehama, Trinity, Tuolumne, Yuba
2	Alameda, Contra Costa, Fresno, Orange, Placer, Sacramento, San Diego, San Francisco, San Luis Obispo, San Mateo, Santa Barbara, Santa Clara, Santa Cruz, Solano, Sonoma, Tulare, Ventura, Yolo

Case Data Removal

CalSAWS	DOCUMENT APPROVAL HISTORY	
	Prepared By	Case Data Removal Strikeforce
	Reviewed By	Deb Saha, Frederick Gains, Henry Arcangel, Kristin Pepper, Don Coffey

DATE	DOCUMENT VERSION	REVISION DESCRIPTION	AUTHOR
7/23/2020	1.0	Initial Revision using CA-208415 Draft document as a starting point	Chris Paige
7/29/2020	1.1	Modify for Epic 1	Inder Kainth
8/17/2020	1.2	Modify for Epic 1	Evan Orman
8/17/2020	1.3	Modify for Epic 1 Sprint 1 Batch Program Design	Inder Kainth
8/17/2020	1.4	Updated Section 2.0	Pradeep Goel
8/19/2020	1.5	Added rule IPV type and program codes to section 2.3.2	Michael Wright
8/19/2020	1.6	Modified document to just cover overview and the details of what is being implemented in Sprint 1	Chris Paige
8/21/2020	1.7	Modified document to contain the Overall SCR and Sprint SCR information in the last section	Michael Wright
8/28/2020	1.8	Added each Case Data Removal Status to section 2.1.1	Michael Wright
9/10/2020	1.9	Updated for Case Data Removal Report Layout and Run Information	Inder Kainth
9/10/2020	1.10	Updated Upcoming Sprint features and removed all CR references from Supporting Documents section	Michael Wright
9/15/2020	1.11	Replaced 'Purge' with 'Data Removal' where applicable	Michael Wright
9/17/2020	1.12	Updated document based on review with Deb and Don	Chris Paige
9/30/2020	1.13	Updated document to contain Sprint 3 features	Michael Wright
10/2/2020	1.14	Addressed feedback from Consortium/QA Reviews	Chris Paige
10/8/2020	1.15	Updated entire list of Time Limit forms to retain	Michael Wright
10/21/2020	1.16	Updated document to contain Sprint 4 features	Pradeep Goel
11/10/2020	1.17	Updated document to contain Sprint 5 features	Michael Wright
11/30/2020	1.18	Updated document to contain Sprint 6 features	Michael Wright

DATE	DOCUMENT VERSION	REVISION DESCRIPTION	AUTHOR
1/4/2021	1.19	Updated document to contain Sprint 7 features	Michael Wright
1/5/2021	1.20	Added technical section	Pradeep Goel
1/26/2021	1.21	Updated document to contain Sprint 8 features	Michael Wright
2/16/2021	1.22	Updated document to contain Sprint 9 features	Michael Wright
2/17/2021	1.23	Update document for Sprint 9 features (Document Removal/Reports Update)	Chris Larson
3/10/2021	1.24	Update Document to contain Sprint 10 features and refactors.	Chris Larson
3/31/2021	1.25	Updated document to contain Sprint 11 Technical section updates	Michael Wright
4/2/2021	1.26	Added completion report and updated document removal.	Chris Larson
4/14/2021	1.27	Finalized document to add to Shell SCR	Michael Wright
6/1/2021	1.28	Updated document to include new CalSAWS porting SCRs and Sprint 1 features	Michael Wright
8/30/2021	1.29	Updated document to include new tables to delete from per CalHEERS SCR scope changes	Michael Wright
11/17/2021	1.30	Updated document with CalSAWS Porting Sprint 1 changes	Michael Wright
12/8/21	1.31	Updated document with CalSAWS Porting Sprint 2 changes	Michael Wright
12/16/21	1.32	Updated document with CalSAWS Porting Sprint 3 changes	Michael Wright
1/5/22	1.33	Updated document with CalSAWS Porting Sprint 4 changes	Michael Wright
1/10/22	1.34	Updated document with CalSAWS Porting Sprint 5 changes	Michael Wright

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1 OVERVIEW

California county welfare departments are generally governed by the Code of Federal Regulations (CFR) and State of California Welfare and Institutions (W&I) Code. In addition, the Department of Health Care Services and California Department of Social Services publish All County Welfare Directors Letters (ACWDLs), All County Letters (ACLs), and the CDSS Manual of Policies and Procedures (MPP) to give counties added guidance to meet regulations. The CalSAWS Data Retention Policy pertains to the data related to the eligibility programs administered by the Counties and stored within the CalSAWS systems. This data retention policy was approved by Project Steering Committee members during the September 19, 2019 PSC meeting. This approval can be found in the following Approved Meeting Minutes.

The Case Data Removal feature for CalSAWS will first be implemented for the C-IV System. This will be done using the Agile methodology. This design document will be updated as features are deployed to Production at the conclusion of each of our planned three-week Sprints.

1.1 Current Design

Case and Person level data is currently retained indefinitely within both the LRS/CalSAWS System and the C-IV System.

1.2 Requests

The following are the case record retention guidelines as approved by the Consortium:

- Identify and remove appropriate data from cases which have been closed for 6 years or more.
- There are multiple exceptions to the 6-year rule:
    - Retain cases that currently have open recovery accounts
    - Retain cases associated with a Special Investigation, Criminal, or Civil Litigation record for three years after the final claim is submitted for federal reimbursement.
    - Retain all cases that include one of the following programs, regardless of status:
        - Adoptions Assistance
        - Foster Care
        - Kin-GAP
    - Retain all cases currently under Federal, State, or County Audit until the audit(s) have been resolved.
    - Retain all cases that included an Intentional Program Violation
- Warrant Register data will be retained indefinitely (as will all Scheduled Reports).
- Each case with removed data will remain in the System as a Shell Case. See Section 2.1.1 for details on what data will be retained in Shell Cases.
- Case data removal is permanent. Once a case has been purged, there will be no mechanism for retrieval of data removed from the System. I.e., Case Data Removal is NOT an Archive capability.

- Migration DDID 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.") is in scope for this effort.

1.3 Overview of Recommendations

The following is a high-level overview of the features that will be implemented as part of the Case Data Removal functionality:

- Create a new page in the system for users to view the current dispensation of a Case with regards to whether it is eligible for Removal. This determination would likely be implemented as a batch job (frequency TBD)
- Create a report to show summary and detail information regarding Cases identified for Removal.
- Create a capability for users to override the Removal decision made by the user. This would also require the user to document a Reason for their override.
- Create a report for supervisors to see lists of Cases that have had their Purge decision overridden.
- Develop a series of batch processes responsible for removing branches of the CASE and PERS tables. PERS records would only be removed when the PERS was only associated to Removable Cases. The current target date for running the Data Removal batch jobs in the C-IV System is April 16, 2021. CalSAWS scheduling has yet to be determined.
- Remove Case and Person documents stored in the Document Storage system (Alfresco for C-IV, AWS S3 for CalSAWS) for each Removed Case/Person
- Remove Images from the imaging system for each removed case. The one exception is we will retain any Image with a Document Type = Time Limits.

1.4 Assumptions

- The ICT tables are not in scope for this effort as they do not have CASE as a parent table. I.e., Any removal of ICT data would be separate from the Case Data Removal.
- The Removal feature for CalSAWS will first be implemented for the C-IV System. This will be done using the Agile methodology. This design document will be updated as features are deployed to Production at the conclusion of each of our planned three-week Sprints.
- Once the entire Removal feature has been implemented for the C-IV System, we will have a Planning Sprint to determine the necessary modifications to port this functionality to the CalSAWS System
- CalWIN data retention is being implemented by DXC as part of Conversion and will be applied during each CalWIN Wave. The two teams are periodically checking in with each other to make sure both teams are on the same page with regards to overall approach.

- The contents of the CASE_PURGE and RPT_CASE_PURGE tables will be converted from C-IV to CalSAWS as part of the overall Migration conversion effort.
- CalSAWS legal counsel has reviewed details associated with the ongoing county litigation related to opioid addiction and found no impact to the current CalSAWS data retention policy.

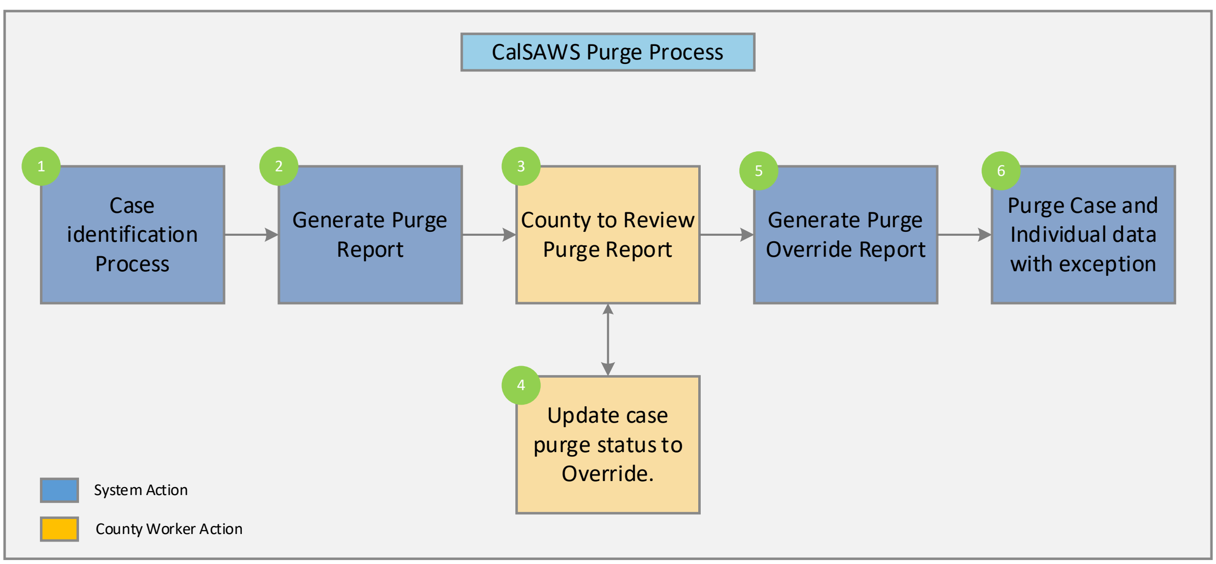
2 PROPOSED SOLUTION

2.1 Case Data Removal Process Overview

The removal process will remove dormant data that falls outside of the retention guidelines approved by the Consortium, leaving behind a shell case for those that have been removed. Initially, this process will be built for the C-IV System, given the direct impacts to C-IV conversion cutover activities and the length of time that C-IV has existed (since 2004 for the original four C-IV counties). Future sprints will then transform what was built for C-IV to work in the CalSAWS system, where it will run on some (undetermined) regular schedule as part of the ongoing operations of that System.

2.1.1 Case Data Removal

The following diagram defines the high-level 6-step process to remove a Case in the System:



Step 1: Identify a list of removable cases based on the approved retention rules. The details of the case selection criteria are defined in Epic 1 of this document.

Step 2: Generate a report containing list of removable cases selected in step 1 for the counties to review.

Step 3: Counties to review the list and perform step 4 (as needed).

Step 4: If the case needs to be excluded from the remove process, users with appropriate security rights will be able to override this decision

Step 5: Generate a report containing a list of overridden cases. This list will be excluded from the Case Data Removal process.

Step 6: Execute Case Data Remove processes to delete data from database tables following the approved retention rules.

2.1.1.1 CalSAWS Application Case Data Removal Status

Identified: The Case has been identified as one that will have data removed from the System per Data Retention Policies

In Process: The removal of data for this case has begun

Override: Someone has decided to override the System's automated decision to removal this Case's data. The reason for this override will also be captured

Complete: Data has been removed. This is now a Shell Case

2.1.1.2 Shell Case

While most of the case and individual data will be removed from the database tables, certain information related to the case and the individuals will be retained in the system. This information is called a shell case and will include the following:

1) Serial Number and Case Name will remain unchanged
2) The "All People Associated With the Case" section of the Case Summary page will be retained.
3) Case Confidentiality
4) Companion Case relationship
5) Journal Entries (stored as a PDF attached to the case)
6) Issuance History (stored as a PDF attached to the case)
7) ADDR and PERS_ADDR table data will be retained.
8) Time Limit data for all people associated to the case. This will include the following forms:

Form Number	Form Name
CF 377.11A	CalFresh Time Limit Notice for Expiration of Three Consecutive Months for ABAWDs
CF 377.11B	CalFresh Countable Month Letter
CF 377.11C	CalFresh Time Limit for ABAWDs

CF 377.11D	CalFresh Discretionary Exemption for Able-Bodied Adults Without Dependents (ABAWD)
CF 377.11E	CalFresh Able-Bodied Adult Without Dependents (ABAWD) Time Limit Exemption Screening Form
CW 61	Medical Report
CW 215	Notification of Intercounty Transfer
CW 2184	CalWORKs 48 Month Time Limit
CW 2186A	CalWORKs Time Limit Exemption Request
CW 2186B	CalWORKs Time Limit Exemption Determination
CW 2187	Your CalWORKS 48 Month Time Limit
CW 2188	Verification of Aid for the TANF Program
CW 2189	Notice of Your CalWORKs Time Limit at 42nd Month On Aid
CW 2190A	CalWORKs 48-Month Time Limit Extender Request Form
CW 2190B	CalWORKs 48-Month Time Limit Extender Determination Denial Form
CW 2191	Time on Aid Verification for CalWORKs 48-Month / TANF 60-Month Time Limits
CW 2192	Tracking Non-California TANF Assistance for the Time Limits
CW 2208	Your Welfare-To-Work 24-Month Time Clock
M40-107D	Time on Aid To Former CalWORKs Recipient
NA 840	Sanction / Removal from Aid of Participant Notice
NA 845	Removal of Second Parent Notice
NA 1276	Welfare-to-Work 24-Month Time Clock Limit Notice
PLAN 106 CIV	Family Plan
PLAN 112 CIV	Care of a Household Member Verification
TEMP CW 2186A	CalWORKs Time Limit Exemption Request
WTW 38	Welfare-To-Work 24-Month Time Clock Notice
WTW 43	Notice Of Your Welfare-To-Work (WTW) 24-Month Time Clock Ending Soon
WTW 44	Welfare To Work (WTW) 24-Month Time Clock Extension Request Form

WTW 45	Welfare To Work (WTW) 24-Month Time Clock Extension Determination
WTW 46	End Of Welfare-To-Work 24-Month Time Clock Review Appointment Letter

The following tables under the CASE and PERS Trees will be retained during the Data Removal process:

CASE TABLES NOT BEING DELETED
CASE_PERS
COMPAN_CASE
CONFID
CONFID_DETL
CS_COLLECT
CS_OUT_TRANSACT
CS_OUT_TRANSACT_DETL
TIME_LIMIT_AID
TIME_LIMIT_AID_DETL
TIME_LIMIT_DETL
TL_AID_CASE_TRANSACT
TL_AID_CS_COLLECT_XREF
TO_DO_LIST

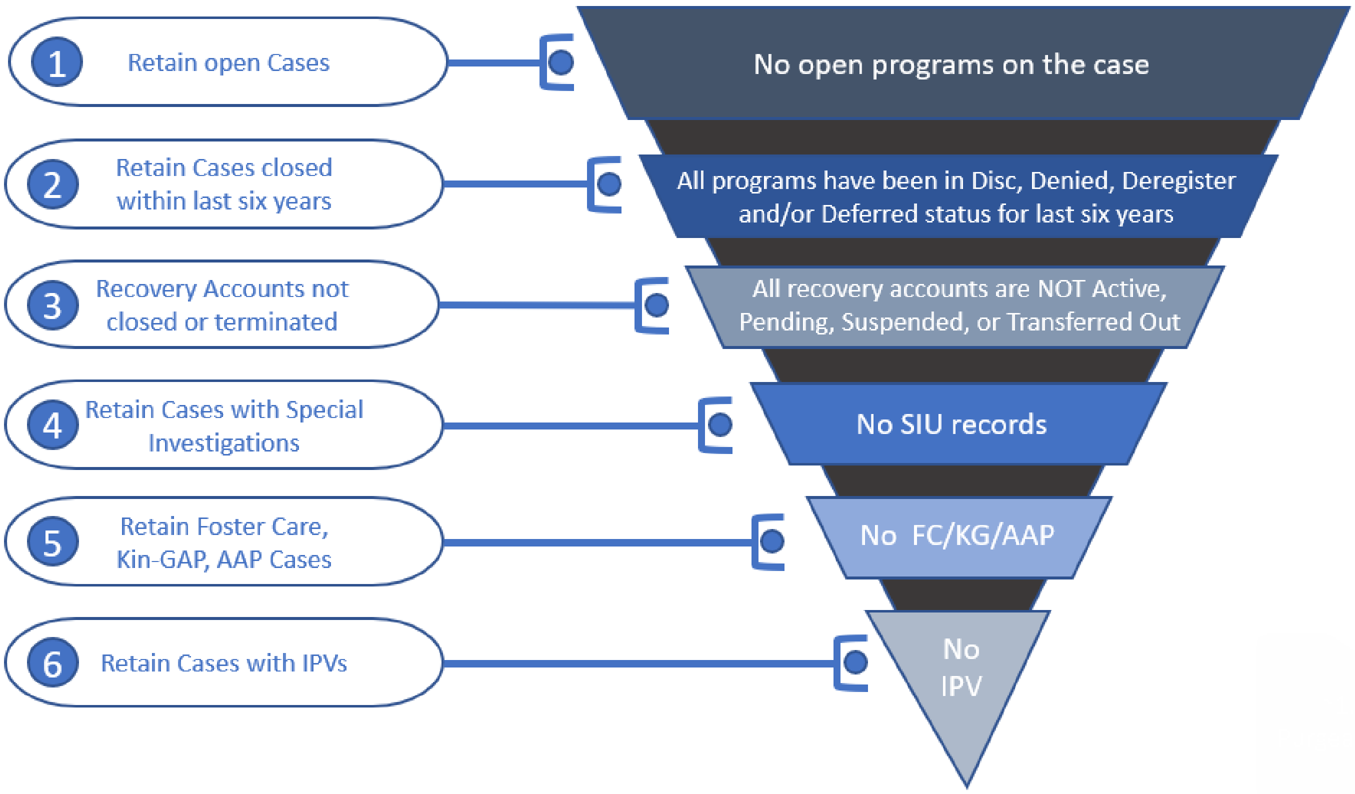
PERS TABLES NOT BEING DELETED
C4Y_PERS
CASE_PERS
CITZ
CITZ_PERS_DETL
DUPL_PERS

OTHER_PGM_ASSIST
OTHER_SSN
PERS_ADDR
PERS_RELSHP
RECEIPT
RES
TIME_LIMIT
TIME_LIMIT_CASH_AID
TIME_LIMIT_CLOCKS
TIME_LIMIT_DETL
TIME_LIMIT_DIVERSN
TIME_LIMIT_EXCEPT
TIME_LIMIT_NON_CAL
TIME_LIMIT_NON_CAL_EXCEPT
TIME_LIMIT_PGM_PARTICPTN
VITAL_STAT
VITAL_STAT_BIRTH_CERT
VITAL_STAT_DOC
VITAL_STAT_REQ
VITAL_STAT_SENT
VLP_CASE_PERS
WDTIP_NON_CAL_PARTICPTN
WDTIP_PGM_EXCEPTION

2.2 Case Data Removal Identification

2.2.1 Overview

A batch job will identify cases eligible for removal based on the approved record retention guidelines:



2.2.2 Rules:

Case must meet **all** the following criteria in order to be considered removable:

- The Case must have no open programs
- All programs on the Case must be closed for more than six years. A program is defined as Closed if it is in one of the following statuses:
  - Discontinued (DS)
  - Denied (DE)
  - Deferred (DF)
  - Deregistered (DG)
- If the Case has any recovery accounts, they must all be Closed. Open recovery accounts are defined as any that are currently in one of the following statuses:
  - Active (AC)
  - Transferred Out (TO)
  - Pending (PE)
  - Suspended (SU)

    - Uncollectible (UF)
    - Pending Agreement (PA) (CalSAWS Only)
    - Pending Approval (AP) (CalSAWS Only)
- If the Case has a recovery account in a status representing Closed, but has a Recovery Account balance, it will not be Identified for purge.
- The Case cannot have any Special Investigation records (regardless of the status of those investigations).
- The Case cannot contain any of the following programs, regardless of status:
    - Foster Care (FC)
    - Kin-GAP (KG)
    - Adoption Assistance (AA)
- The Case cannot have an open Federal or State audit. Federal/State audits are conducted within the first two years of Case closure and it may take up to a year to complete the investigation. Therefore, selecting cases that are closed for more than six years covers this rule without any additional automation.

  Please Note there are multiple types of audits that can be conducted on a case; and not every audit is necessarily captured in Cal SAWS. This could end up being a potential Override reason when that functionality is designed.
- The Case cannot have any Intentional Program Violations. The following types of IPV sanctions are considered:
    - Child Support IPV (06)
    - Cal Fresh IPV (24)
    - General Assistance IPV (29) (CalSAWS Only)

2.2.3 Case Data Removal Identification Report

The purpose of this report is to provide counties a list of which cases have been identified by the System as those that will have data removed during the next deletion batch ruin. The Report will be split into multiple sheets for counties with over 1M rows. Some highlights of items included in this report:

- Identification Date is the date the Case was selected for removal having met all the requirements outlined above.
- Closure Month represents the month the case program was closed (i.e., Denied, Discontinued, Deregistered, or Deferred).
- When possible, the Aid Code for the program in question will be displayed on the Report. This column is populated using the same method as the Aid Code that is displayed on the Case Summary page. For example, Medi-Cal aid codes exist at the person level and are not displayed on the Case Summary page. The same is true this report: All MC programs listed on the report will have the Aid Code blank.
- Recovery Account Closure Date reflects the latest Closed status date of any recovery accounts associated to the purged case.

- Navigation to the Report: Homepage > Reports > Scheduled > Case Activity > Title 'Case Data Removal Identification Report'

Report image TBD using the new reporting solution

2.2.4 Batch Jobs

A new process (PB00P800) will be created to identify cases that can have data removed . This module will search the CalSAWS database to identify data removal cases and insert into the purge table with an initial status of 'Identified'.

- A new database table called CASE_PURGE will store the case ID and purge status, along with other information required for auditing and reporting.
- A new batch process (PB00P800) will execute the core SQL to identify cases and insert them into the purge table.
- After PB00P800, the Report Load Job – TBD – is run to load the RPT_CASE_PURGE Table to facilitate Report Creation for each County.
    - The Identification Report as shown above is created by TBD Jobs for each of the Counties.

2.2.5 Batch job Schedule

Specifics related to run frequency and schedule date/time will be determined during a later phase of the project. The present run frequency for the Case Data Removal Identification Reporting processes is monthly on 11th of each month.

2.2.6 Restart Logic

See section 2.5.6

2.3 Case Data Removal Override

2.3.1 Case Data Removal Override Report

The purpose of this report is to provide counties a list of which cases have been overrode by users. The report will also display the Override Reason of why these cases should not have any case data removed on them. This report will contain each column contained in the Identification reports with three additional columns. The following bullets detail each of the additional columns on the Override report:

- Override Reason represents the reason for the Override, based on the agreed upon set of reasons across each County. These reasons are all situations that cannot be automatically identified by the System.
    - The current Override reasons:
        - Board of Supervisors Decision
        - Hearing/Court Order
        - Pending Litigation
        - Under QA/QC Review
- Override Date represents the date the County Staff member switched the Data Removal Status from Identified to Override on the Case Data Removal detail page.
- Worker ID represents the ID of the County Staff member that switched the status from Identified to Override on the Case Data Removal detail page.
- Recovery Account Closure Date reflects the latest Closed status date of any recovery accounts associated to the purged case.

Navigation to the Report: Homepage > Reports > Scheduled > Case Activity > Title 'Case Data Removal Override Report'

Report image TBD using the new reporting solution

2.3.2 Batch Jobs

The batch job (PB00P800) identifies cases that can be removed. This module will search the C-IV database to identify data removal cases and insert into the purge table with an initial status of 'Identified'

- The CASE_PURGE table will store the case ID and purge status, along with other information required for auditing and reporting.
- The batch job (PB00P800) will execute the core SQL to identify cases and insert them into the CASE_PURGE table.
- After PB00P800, the Report Load Job – TBD – is run to load the RPT_CASE_PURGE Table to facilitate Report Creation for each County.
- The Override Report as shown above is generated by the TBD Jobs for each of the Counties. It will load the RPT_CASE_PURGE table cases that have a status of Override and populate the Override report in the application.

2.3.3 Batch job Schedule

Specifics related to run frequency and schedule date/time will be determined during a later phase of the project. The present run frequency for the Case Data Removal Identification and Override Reporting processes is monthly on 11th of each month Initially, the Case Identification batch will run on (TBD in a future Sprint)

2.3.4 Restart Logic

See section 2.5.6

2.4 Case Data Removal Online Page changes

2.4.1 Case Summary Page updates

For cases that have been identified for Case Data Removal only, the Case Summary page will now show Case Data Removal Status changes as we progress from Identified to Complete in the deletion process.

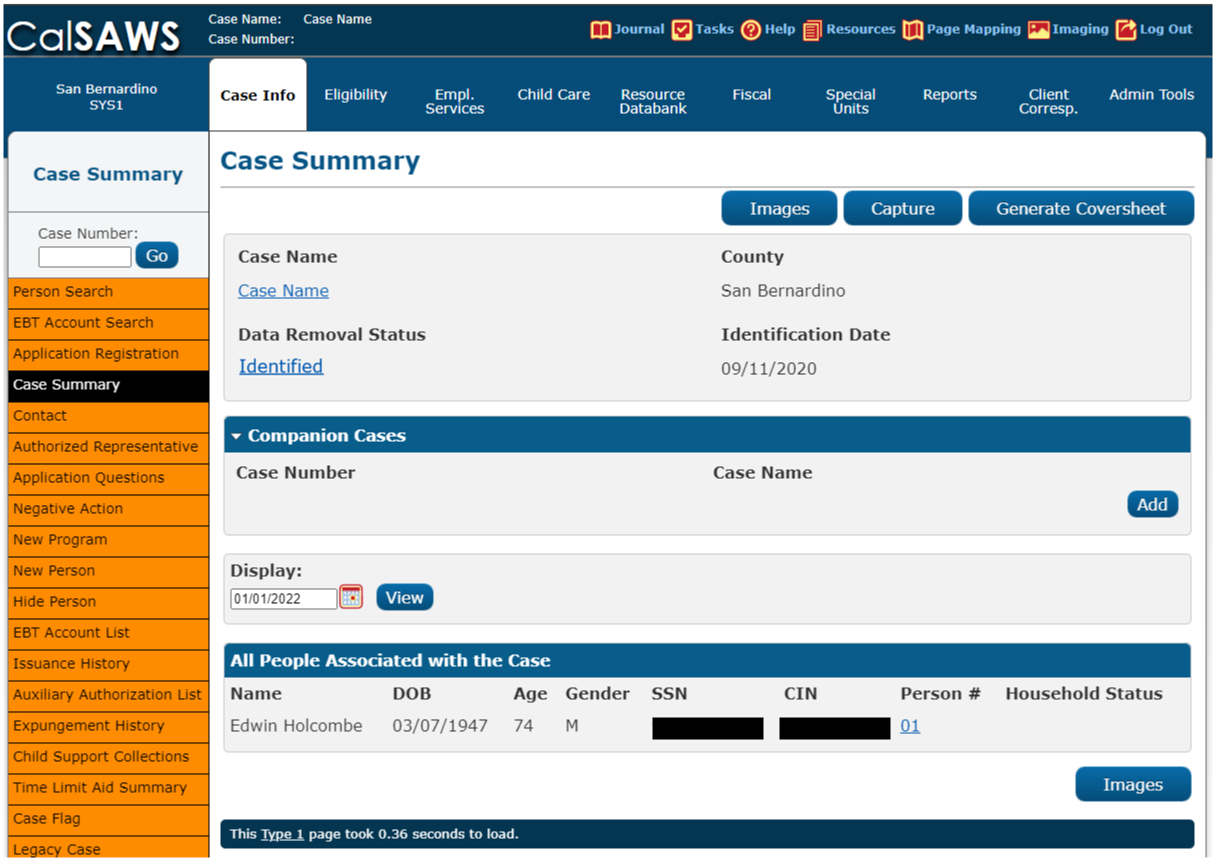
C-IV Application Case Data Removal Status:

- **Identified**: The Case has been identified as one that will have data removed from the System per Data Retention Policies
- **In Process**: The removal of data for this case has begun. This status will only be set once the Case Data Removal process has started on the case through the deletion batch process. Once this Status has been set, the user cannot Override it.
- **Override**: Someone has decided to override the System's automated decision to remove this Case's data. The reason for this override will also be captured.
    - Please reference section 2.3.1 for the listing of current Override Reason Codes.
- **Complete**: Data has been removed. This is now a Shell Case. This status will only be set once the Case Data Removal process has completed on the case through the deletion batch process. Once this Status has been set, the user cannot Override it.

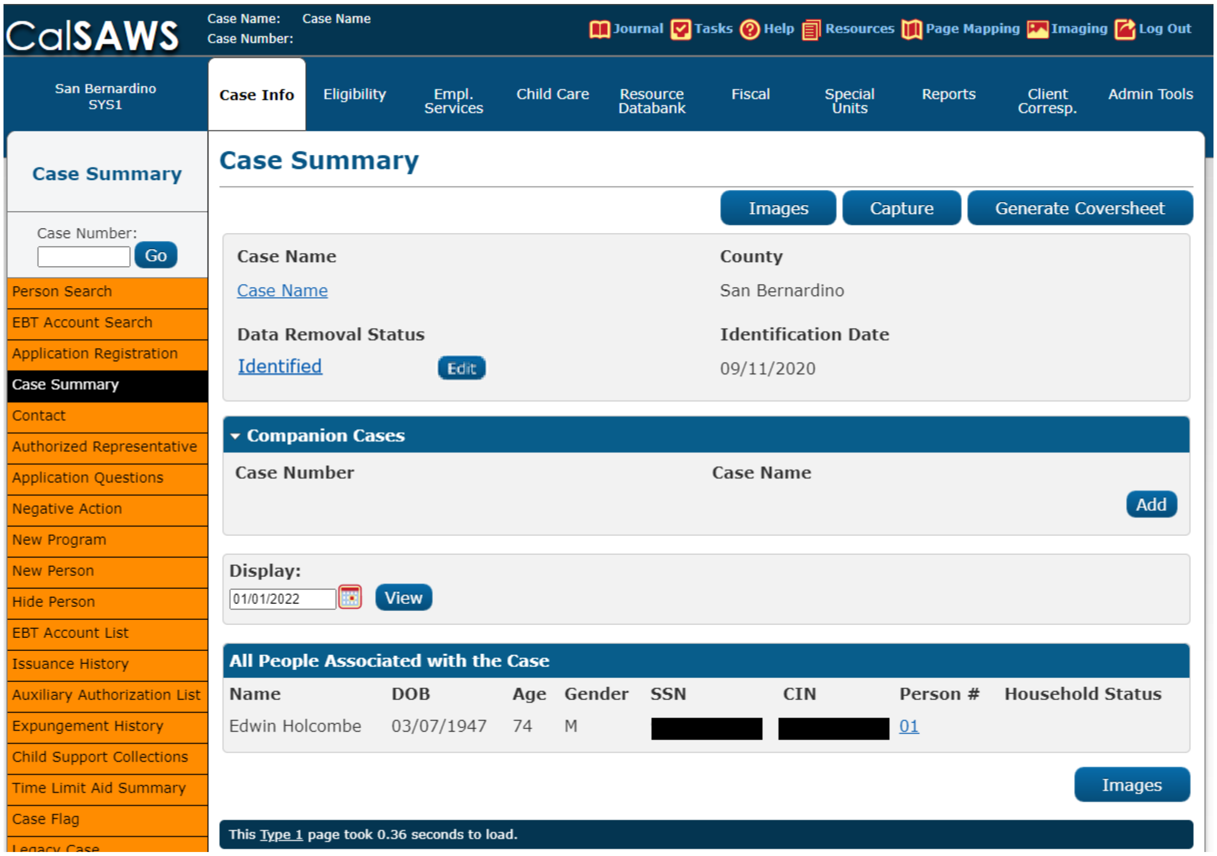
2.4.2 Case Data Removal Status on Case Summary Page

The C-IV Case Summary page will now show a Case Data Removal Status, which will be a hyperlink to display the current status in the Case Data Removal process. This link will also take you to the Case Data Removal Detail page when clicked.

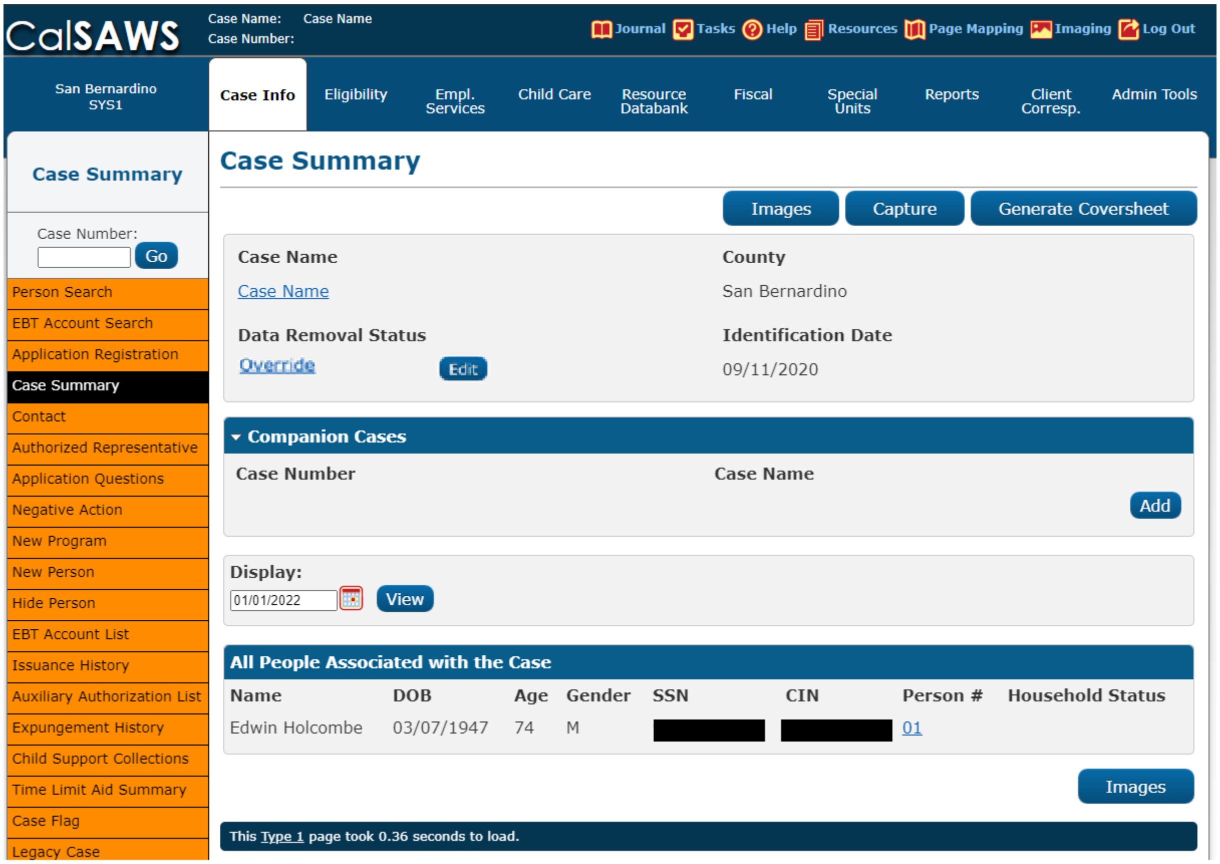
The following image represents the Identified Data Removal Status on the Case Summary page for a County Staff member that does not have rights to edit the Data Removal Status.



The following image represents the Identified Data Removal Status on the Case Summary page for a County Staff member that has rights to edit the Data Removal Status. The Case must also have a removal status of 'Identified' or 'Override' for this Edit button to appear.

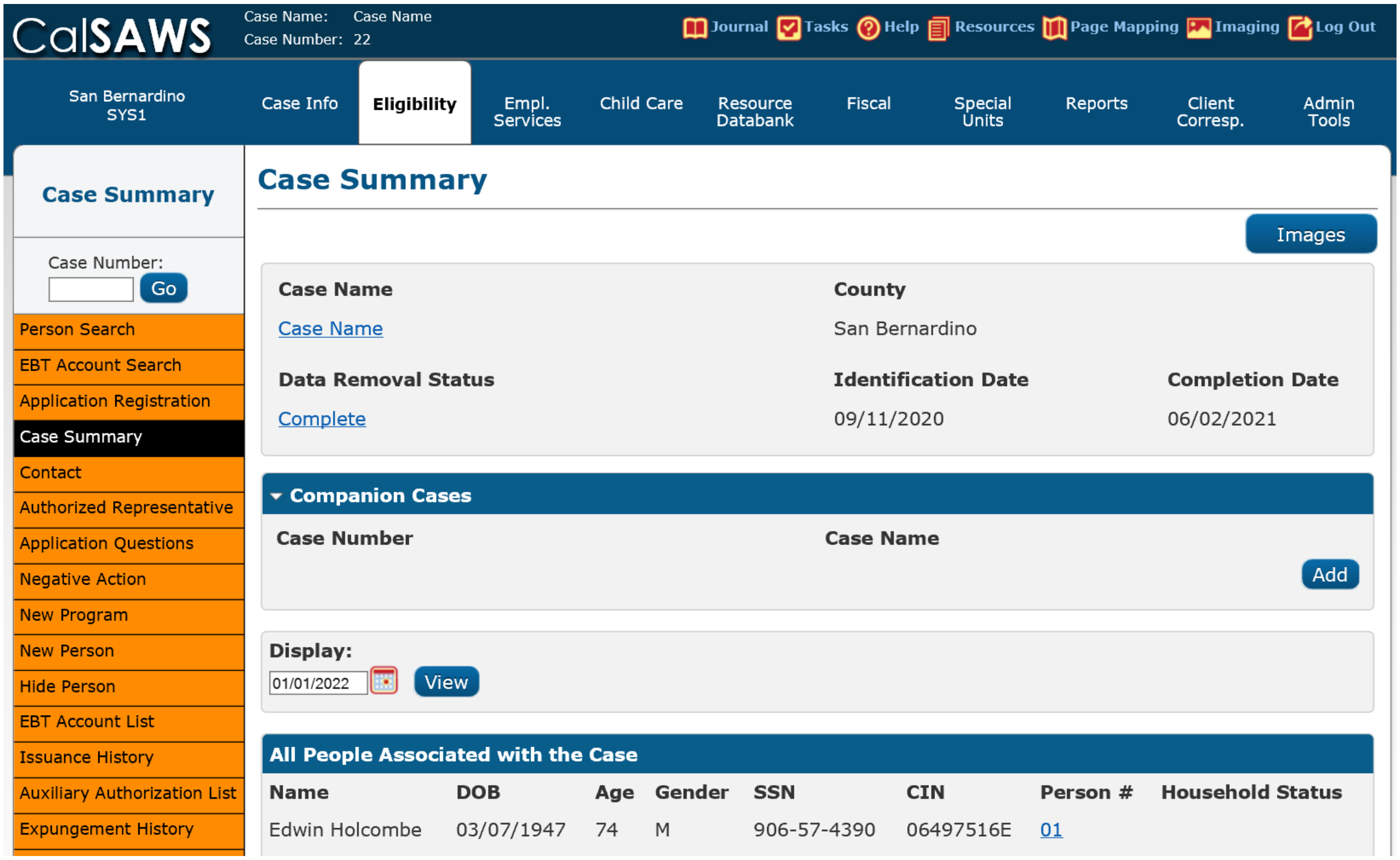


The following image represents the Override Data Removal Status on the Case Summary page for a County Staff member that has rights to edit the Data Removal Status. The Case must also have a removal status of 'Identified' or 'Override' for this Edit button to appear.

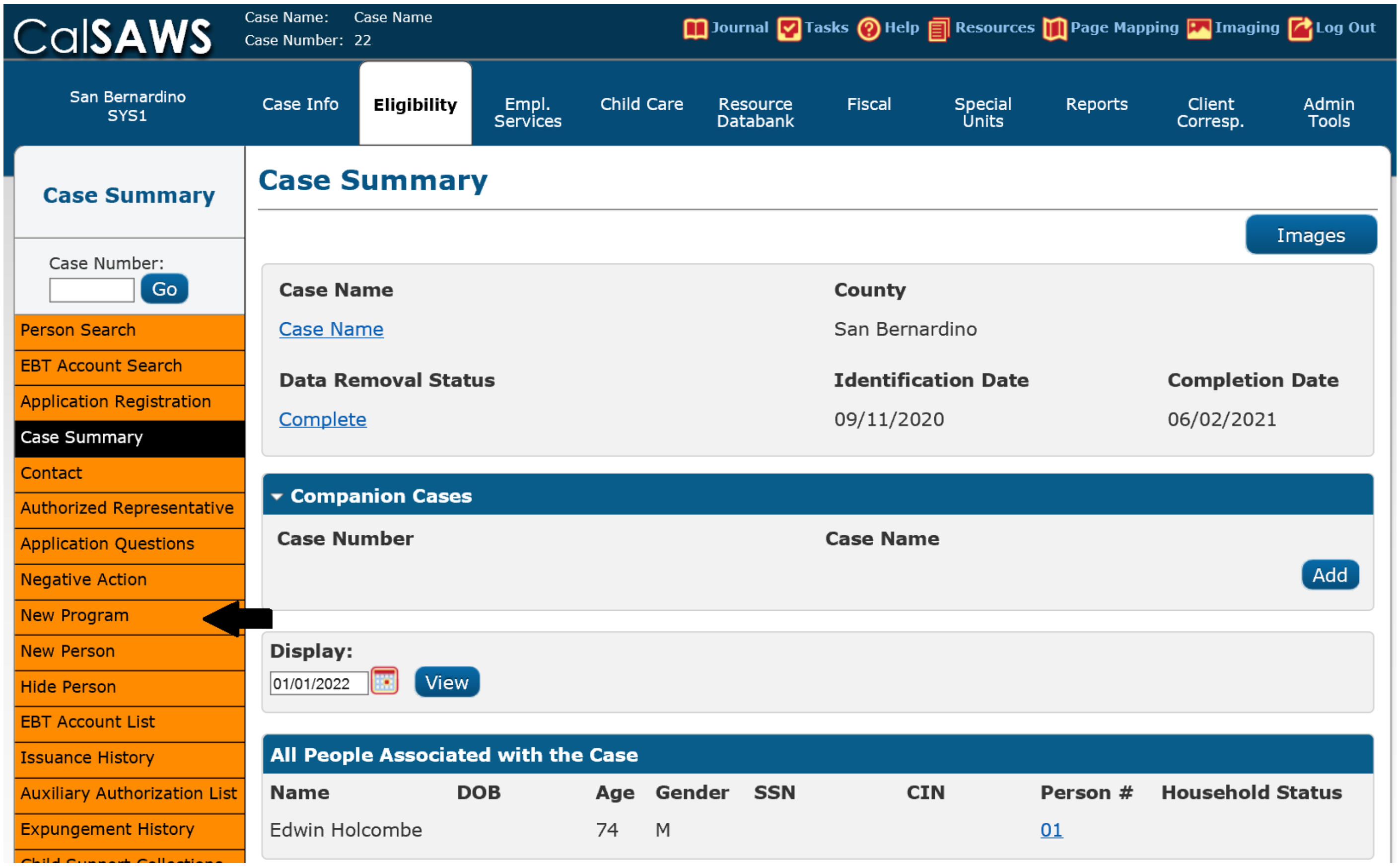


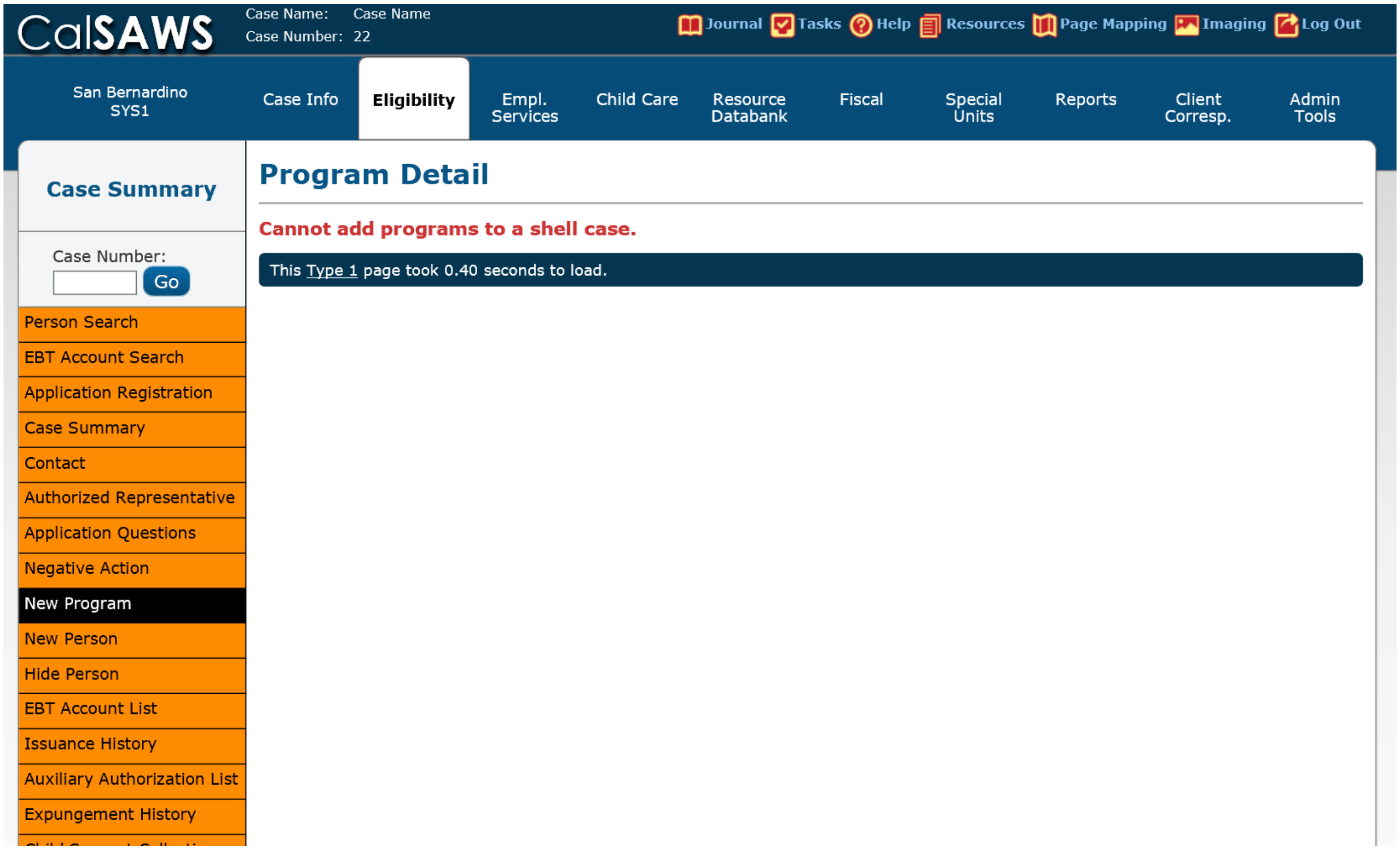
{Insert CalSAWS Case Summary page with Override Reasons once delivered}

When a case is in a Data Removal status of Complete on the Case Summary page, the status hyperlink of 'Complete' will display in the Data Removal section and can navigate you to the Case Data Removal Detail page where further details are listed.



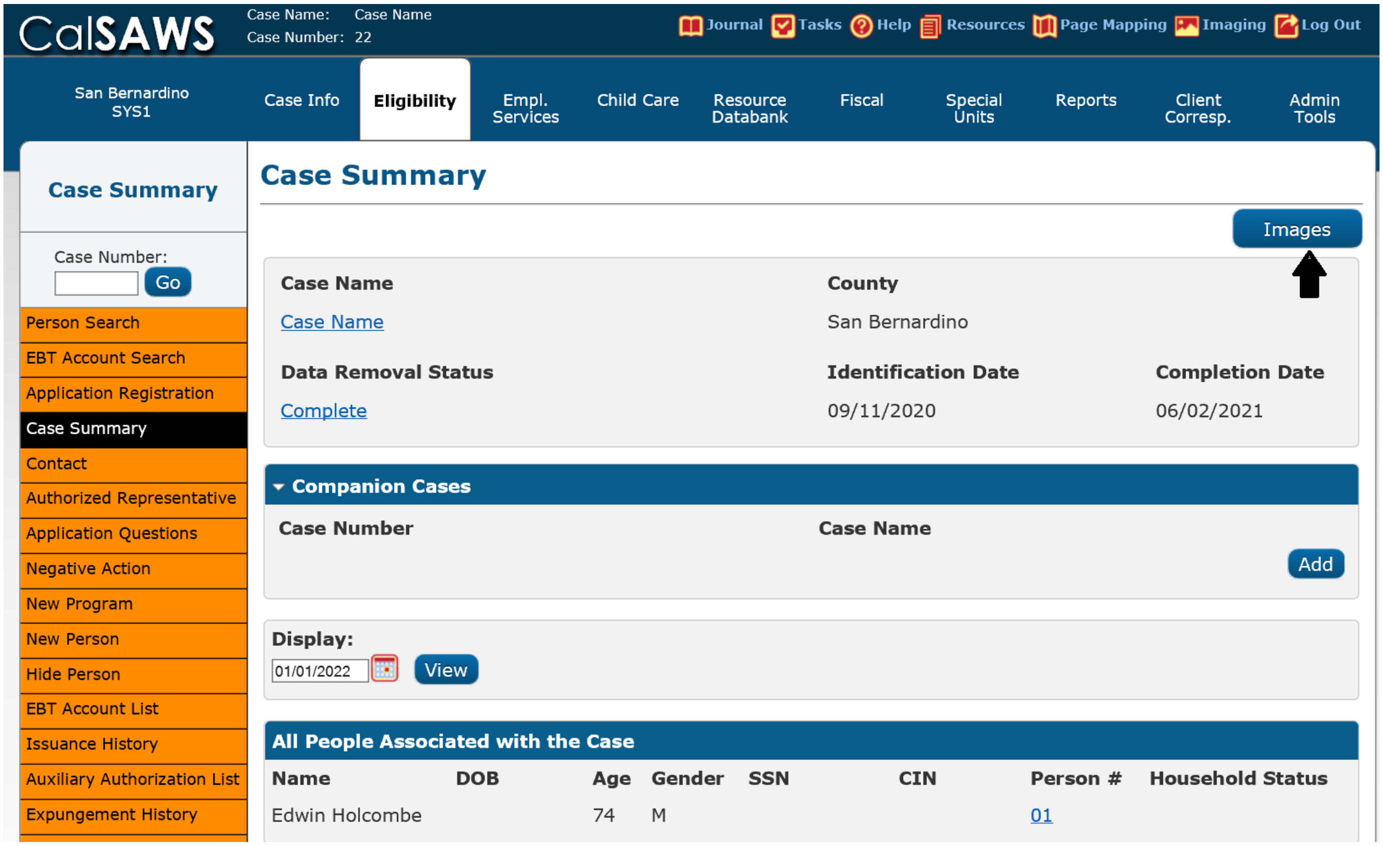
When a case is in the Complete Data Removal status it is known as a Shell Case. When in the context of this type of case while on the Case Summary page, the page option to add a new program will display on the page. Once 'New Program' is clicked a violation message will appear 'Cannot add programs to a shell case' preventing a program from being added to the case, as shown below.


CalSAWS
Case Name: Case Name
Case Number: 22
Journal Tasks Help Resources Page Mapping Imaging Log Out
San Bernardino SYS1
Case Info
Eligibility
Empl. Services
Child Care
Resource Databank
Fiscal
Special Units
Reports
Client Corresp.
Admin Tools
Case Summary
Case Number:
Go
Person Search
EBT Account Search
Application Registration
Case Summary
Contact
Authorized Representative
Application Questions
Negative Action
New Program
New Person
Hide Person
EBT Account List
Issuance History
Auxiliary Authorization List
Expungement History
Case Summary
Images
Case Name
County
Case Name
San Bernardino
Data Removal Status
Identification Date
Completion Date
Complete
09/11/2020
06/02/2021
Companion Cases
Case Number
Case Name
Add
Display:
01/01/2022
View
All People Associated with the Case
Name DOB Age Gender SSN CIN Person # Household Status
Edwin Holcombe 74 M 01



This feature is in place for Shell Cases in order to lock them down from having any new programs pended or activated on them. In this situation the Worker should create a brand new case, if needed, to add the shell case members and begin activation of a new case, linking the new one to the aged out shell case.

In addition to preventing programs from being added to Shell Cases, a new feature to disable the Image 'Scan' and 'Generate Worksheet' buttons has been implemented on the Case Summary page, leaving only the Images button itself as shown below.



The Images button remains on the Case Summary page for Workers to have access to any of the retained Images required from the Retention Policy –

- Personal images where a person is shared on other cases that have not gone through the Data Removal process
- Time Limit images attached to the Shell Case

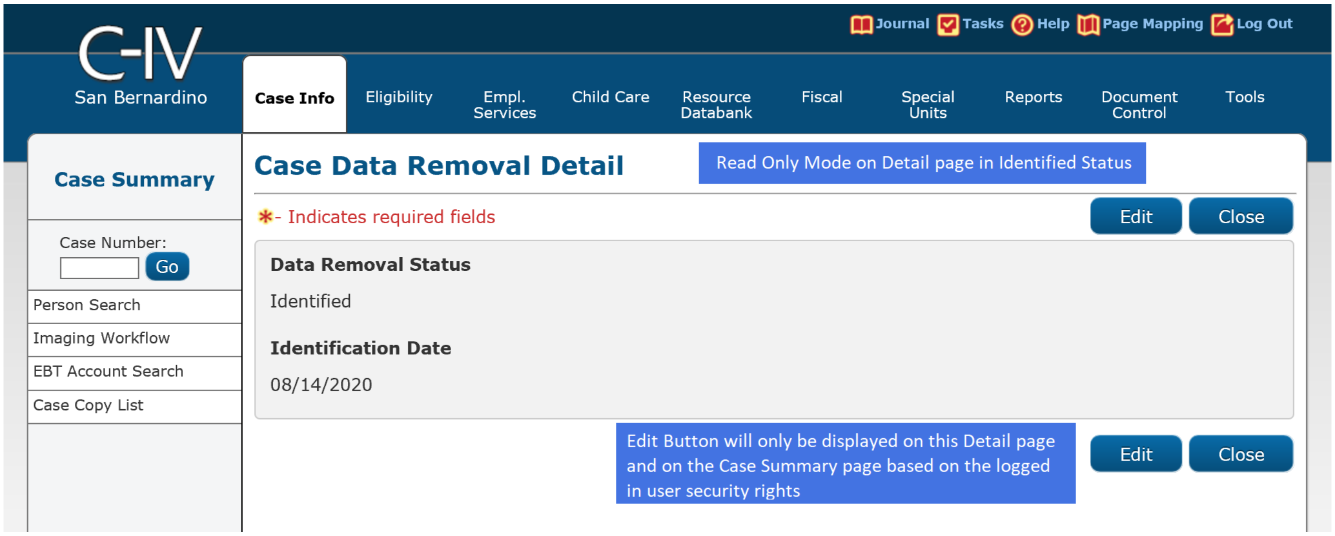
2.4.3 Case Data Removal Detail page

The Case Data Removal Detail page is where County Staff members with the appropriate rights can update the Status from 'Identified' to 'Override', or back to 'Identified' from 'Override'. If the Status on this detail page is changed from the original Status of 'Identified' (as determined by the Data Removal Identification batch job) to the 'Override' status, the case will be excluded from having any case data removed. If the status is left in 'Identified' status, the case will have case data removed once the Deletion Batch is executed [Note that the run date of the first execution of the Deletion Batch is currently TBD, no earlier than January 2021].

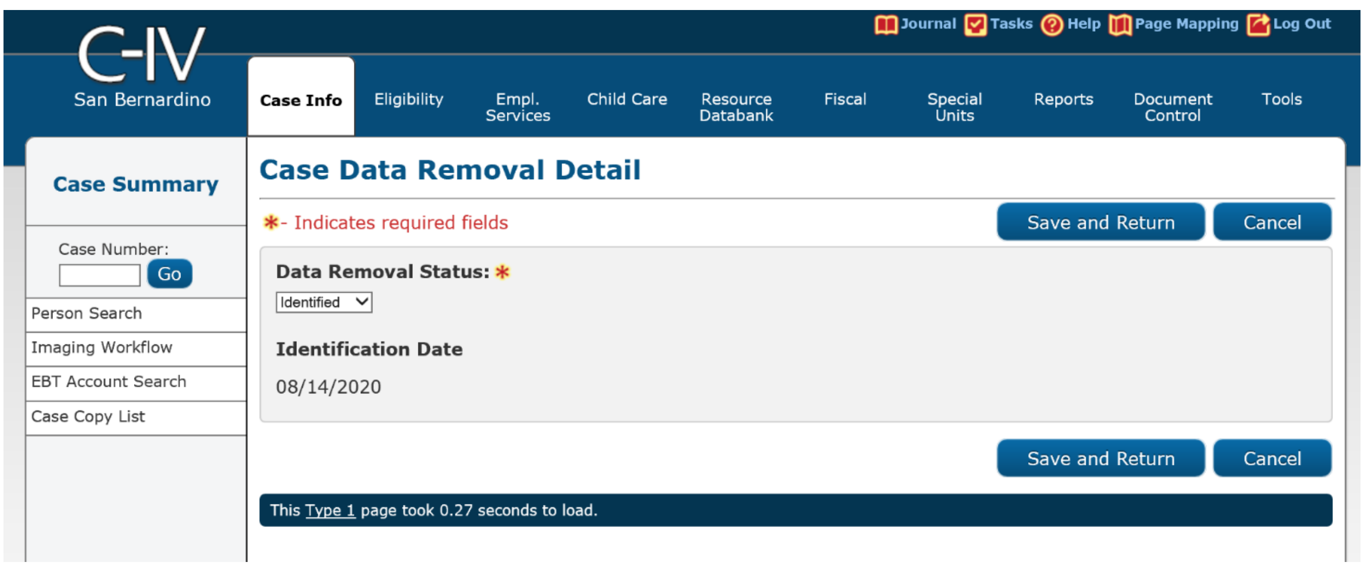
Security Group for Edit functionality:

The Case Data Removal Detail page Edit functionality is accessible for users who are joined to the new 'Case Data Removal Edit' security group. This also applies to the Edit button on Case Summary, next to the status, for those cases having a Case Data Removal status of 'Identified' or 'Override'. The 'Case Data Removal Edit' group, which contains the 'CaseDataRemovalEdit' right, is not assigned to any security role. The local Security Administrators will need to add the approved users to this new security group.

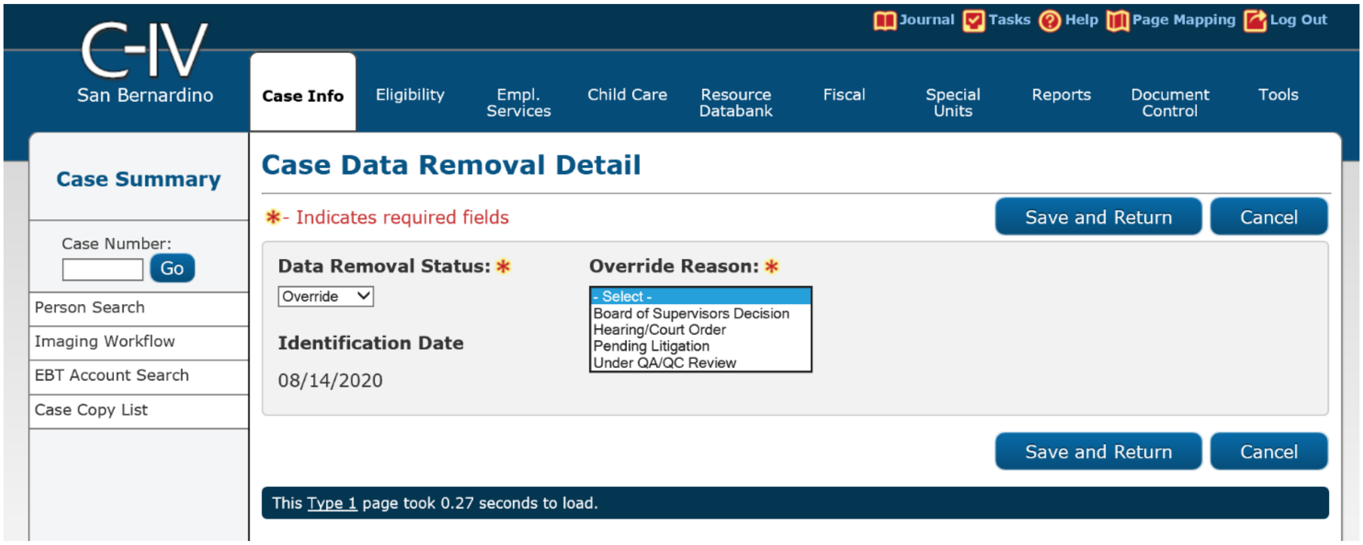
The following image represents the Case Data Removal Detail page in Read Only mode when left in 'Identified' status.



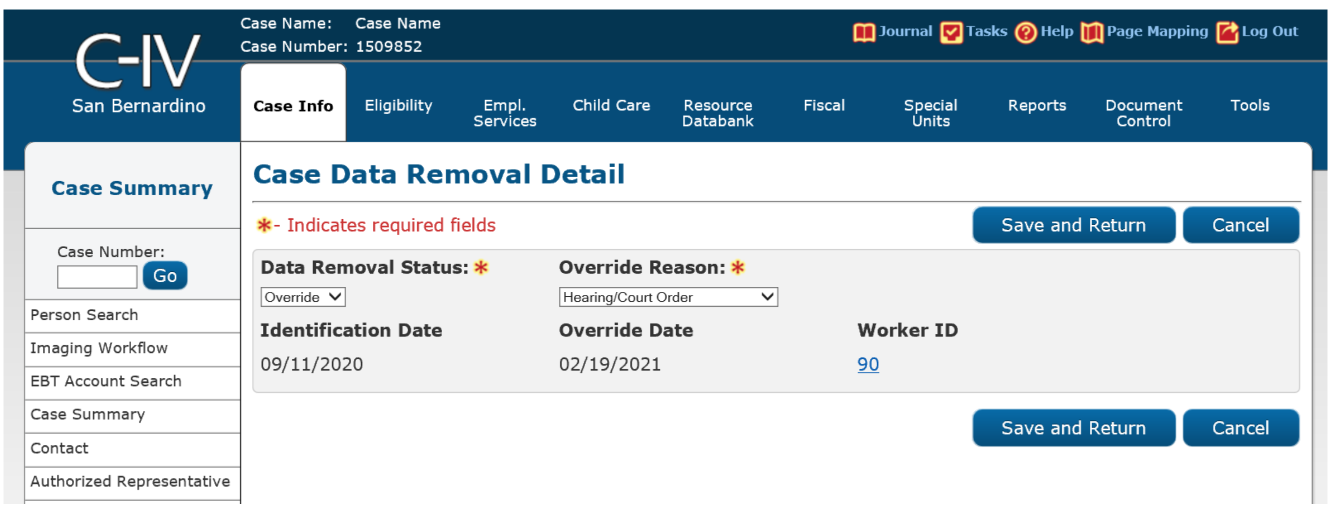
The following image represents the Case Data Removal Detail page in Edit Mode when left in 'Identified' status.



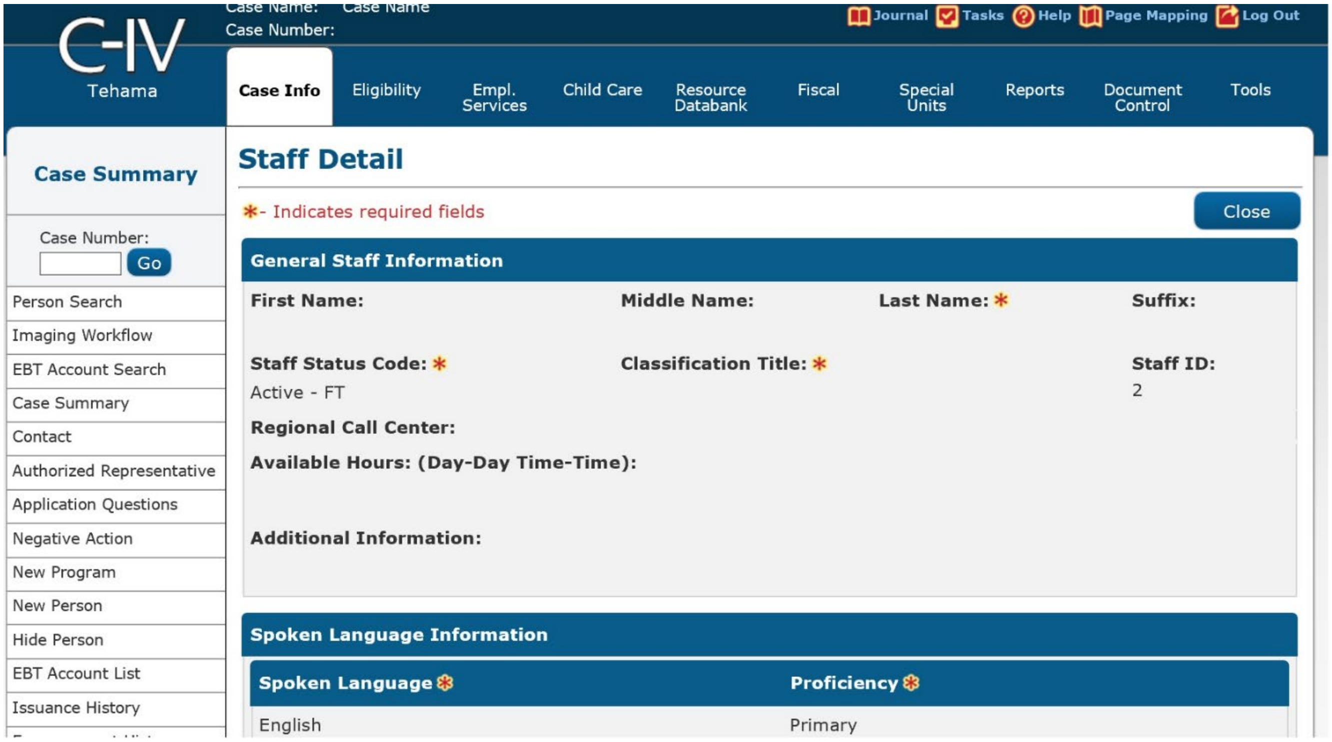
The following image represents the Case Data Removal Detail page in Edit Mode when changing from 'Identified' status to 'Override' status. This status change allows the 'Override Reason' field to display (see Section 2.3.1 for a list of Override Reasons).



The following image represents the Case Data Removal Detail page in Edit Mode when the status has already been updated to 'Override'. The County Staff member will be able to see the Override Date the Override was made in addition to the Worker ID that made the change.

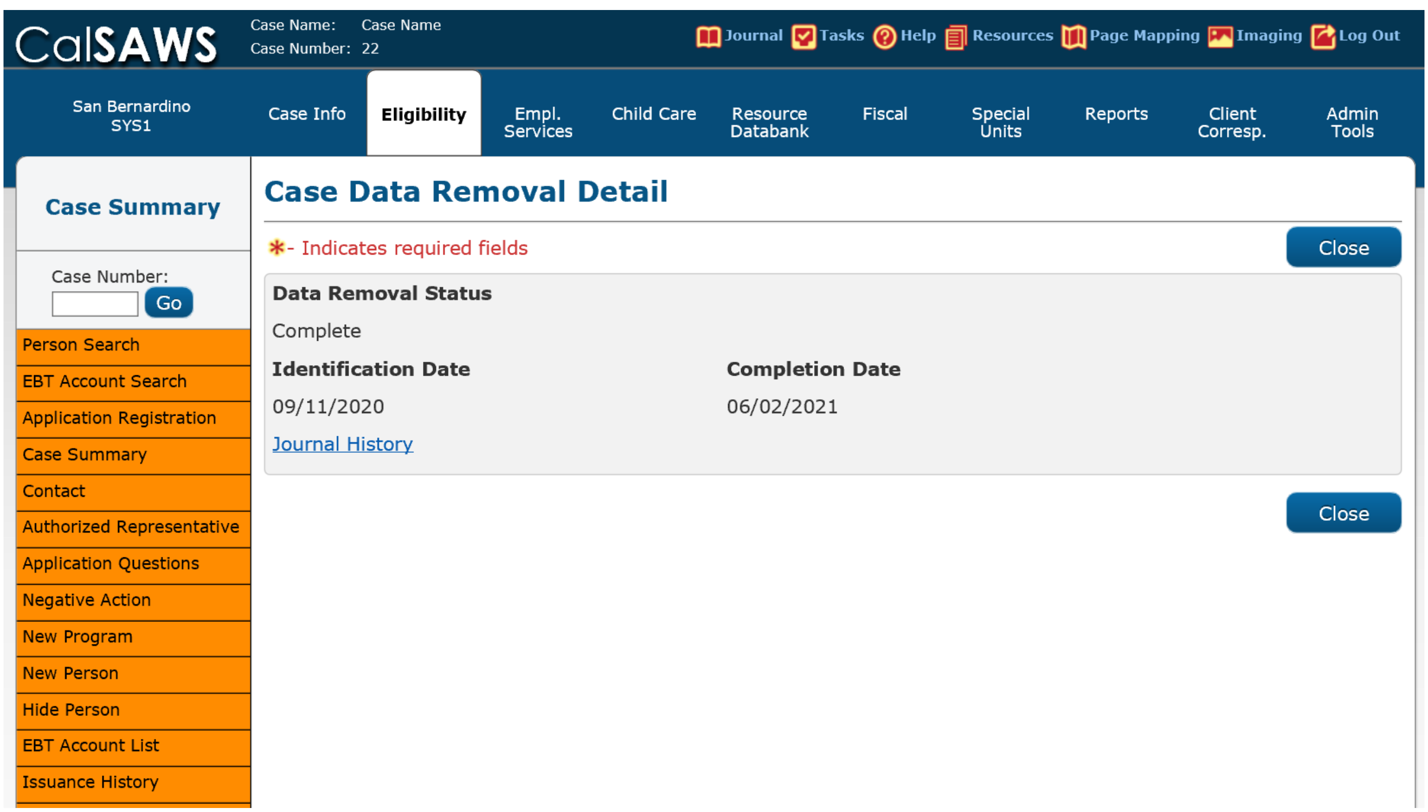


When the Worker switches the Data Removal status between both Identified and Override status, that Worker's ID gets captured on the Detail page as a hyperlink. Clicking on that hyperlink takes you to the Staff Detail page of that Worker that made the change. Once you click the Close button on the Staff Detail page it will route you back to the Data Removal Detail page.



{Insert CalSAWS Case Data Removal Detail page with Data Removal section}

The Case Data Removal Detail page in Complete status displays as follows –



2.5 Case Verification

Workers have been given time, since the original reporting run date of September 11, 2020, to evaluate identified cases before the case data removal is performed. During this time, it is possible that changes on identified cases will make them no longer eligible for the case data removal process. The nightly Re-Verification Job (PB00P803) will evaluate identified cases to confirm their eligibility for the purge.

The Re-verification batch process will execute the same query criteria (section 2.2.2 criteria rules) used in the PB00P800 (case Identification) job. This is a standalone job that will run daily in Production to identify any of the cases in the CASE_PURGE table that no longer meet the criteria and will remove those cases from the table. Cases removed from this table will not be picked up in any downstream case-purge process.

Note: Cases in Overridden status will be excluded from this nightly Re-verification process.

A batch scheduler change request will deactivate the Re-Verification batch job after the final set of data deletions have taken place.

Once this batch job runs in Production and removes the cases from the CASE_PURGE table the following will occur in the C-IV application:

- These cases will have their Case Data Removal status section on Case Summary removed and they will not have a Detail page
- For the Case Data Removal Reports, these cases will drop off from the next version of the reports (generated on the 11th business calendar date of each month), decreasing the overall record counts and total case counts

2.6 Data Deletion Process

The final removal of data associated to identified cases has been split into four separate batch jobs.

1) PDF Generation for Journals and Issuances
2) Removing NOAs and Forms
3) Removing Imaged documents
4) Remove case data

2.6.1 PDF Creation Batch Job - PB00P802

The PDF batch process will write each of the records for the Issuance and Journal History to a separate file for each case and store them to the file server. For cases that have historic information, these PDF files will be accessible on the Case Data Removal Detail page as hyperlinks. These hyperlinks will appear on the page after the case data deletion process has processed the case (reference section 2.3.3 for Batch Deletion Schedule). Further information and examples of each PDF type can be found below in section 2.6.

The initial steps of the Batch Deletion process are to check each case originally identified for deletion still meets the criteria. If so, the System will generate PDFs to capture any Journal and Issuance History prior to deleting any case data. If there is no data for the PDF in question (e.g., if no Issuance History exists for a case), then no PDF will be generated. The generation of each PDF file will be processed through a batch job (reference section 2.5.1.1 for the batch jobs) that will retrieve data from the following C-IV pages per PDF type.

2.6.1.1 Issuance History PDF

This PDF will retrieve the same data from the Issuance Search Detailed Results Page for every issuance record on that case. An example of the Issuance History PDF is shown below:

The County, Date Created, Case Number and Case Name will display at the top portion of the document for each file generated.

All data elements within the document are searchable using the 'Find' option within the PDF application, as shown above.

2.6.1.2 Journal History PDF

This PDF will retrieve the same data from the Journal Detail page results for each journal entry on that case. An example of the Journal History PDF is shown below:

The County, Date Created, Case Number and Case Name will display at the top portion of the document for each file generated.

2.6.1.3 History PDF Hyperlinks in the C-IV Application

The PDF files behind the hyperlink targets will be stored on the AWS S3 storage after the PB00P802 job completes per each case. Each file will be unique and will exclusively contain journal and issuance history data specific to the case processed. The file names, as created on the file storage, are generated as follows:

- journalEntry.pdf
- issuance.pdf

They are stored in the following folder structure:

- CasePurge/[county name]/[case_id]/journalEntry.pdf
- CasePurge/[county name]/[case_id]/issuance.pdf

The Journal and Issuance History PDF hyperlinks will display on the Case Data Removal Detail page if there is data to export from the C-IV database for the case. These hyperlinks will display in the application only after the case deletions batch process has completed for a given case. The following screenshot shows where each hyperlink will display on the Detail page.

2.6.2 Document Removal – PB00P804

The Document Removal batch job (PB00P804) will remove generated notice of actions (NOAs) and forms from the file management system passing in the identified set of cases. It considers records discovered by the Case Identification batch (PB00P804) that are not in either a "Complete" or "Overridden" status. This job will remove all generated NOAs and forms, with the following exceptions:

1) Retain all documents outlined under section 2.1.1.2, which describes what data remains in the shell case.
2) Retain all documents associated to a person who is associated to a case not eligible for case purge. This may occur when a person is associated to multiple cases in the SAWS system. A case is not considered eligible for case purge if:
    a. The case was not discovered by the Case Identification batch (PB00P800).
    b. The case has been overridden in the case purge process (a.k.a. that Case Purge status is set to "Override").

After removing all eligible documents, this job will update the Document Status on the associated case purge record to indicate that documents have been removed for the case by setting CASE_PURGE.DOC_STAT_IDENTIF = 'Y'.

A small percentage of documents this job attempts to remove from the file store will be unavailable, due to broken links between the database and the document. Two batch properties are used to set an error threshold, which allows for some broken links but will terminate the job if too many are missing (potentially indicating a connection issue with the file store):

1) maxErrorPercentage: Compare the number of records processed vs the number of records missing. If the percentage of number of records missing is greater than

the maxErrorPercentage, the job will terminate. The following property will make sure that the job won't terminate if the first case happens to be missing documents. This threshold is currently set to 5%.

2) minErrorCount: The minimum number of errors that occur before the job terminates. This sets an error threshold, where the job won't terminate until we reach the minimum number of errors. This threshold is currently set to 100 errors.

2.6.3 Image Removal – PB00P806

The Image Removal Job (PB00P806) removes all images associated to the case people eligible for the purge associated to the case.

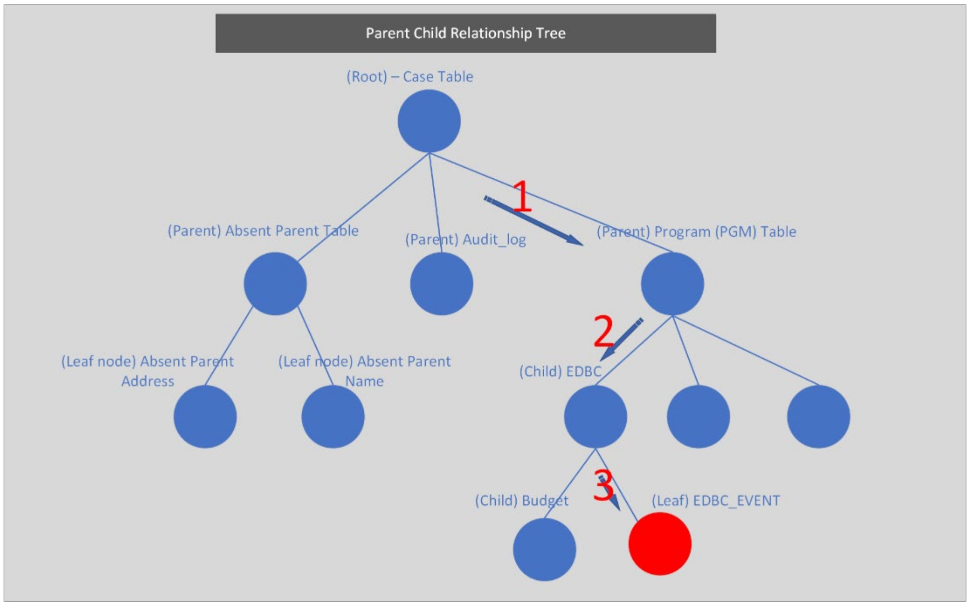
This job reports all Identified cases to the Imaging system that have neither been overridden or already reported to the Imaging server. The imaging system will then execute scripts (invoking third party software's APIs) to remove all images associated to the identified records. Time Limit documents are retained.

The Image Removal batch will also review the status of people and cases who were reported to the imaging system in prior runs. Once processed, this job will update the associated CASE_PURGE record with an IMG_STAT_IDENTIF of "Y" to signify that the image removal is complete.

2.6.4 Data Deletion Batch Job - PB00P801

Data Deletion is an Oracle procedure that physically deletes the data from the database tables for a given Case. The procedure uses configuration tables, defined in the below section, to traverse through the tree to find the leaf node, build the delete SQL statement based on the table key to uniquely identify the data, and execute the SQL statement to physically delete the data. Once the data is deleted from the table, it moves up in the hierarchy to find the next leaf and repeat the process.

The list of database tables that are identified for deletion is loaded into the configuration tables (described in detail in technical design document) with parent and child relationships and appropriate keys to identify unique data. The process reads the configuration tables and will traverse through the relationship to find the leaf node (lowest child). Once the leaf node is identified, it starts deleting the data and moves up the hierarchy until the data from parent table is deleted. An example of the parent and child relationship (tree structure) and traversing logic is defined in the following diagram.



The above diagram represents the parent and child relationship of database tables in a tree structure. This structure is used to traverse through the branches to find the children (leaf node) to start deleting the data. The highlighted steps in red describe how the deletion leaf node logic identifies the child tables at a high level.

1) When a Case is selected from the CASE_PURGE table, Program IDs associated to the Case are selected from the PGM table
2) Based on the Program ID, appropriate records from the EDBC table are selected
3) As we traverse through the EDBC tables, the EDBC_EVENT table is a leaf node, and hence the data from EDBC_EVENT table can be deleted
4) After deleting the data, the logic flow is moved up to find the next child and the leaf node

A new batch process (section 2.5.3) will be created to delete the case data from the database tables. This module will perform the following steps to remove the data:

- Once the Case is verified to still meet all the deletion criteria (section 2.5.1 batch job), the initial step of the PDF Generation batch job will update the Status to 'In Process' and the PDF creation module is called to create PDF files for Journal Entries and Issuance history data.
- Upon successful creation of PDFs, the data deletion module is called to delete the data from identified tables.
- Upon successful deletion of Case data, the process updates the Case Data Removal Status to 'Complete' and will begin processing the next Case for deletion.

2.6.4.1 Configuration table

The data deletion logic will be driven by two configuration tables. The first configuration table lists the immediate child of the root and the second table contains children of the parent and their level, as noted in section 2.6.4. The details of these tables are defined in the technical section 3 of this document.

2.6.4.2 Deletion Logging Mode

The batch deletion process will have an option to turn the deletion logging on or off by passing a parameter in the main batch job. When the logging mode is on, the data deletion module will start logging every action performed in the function, including table name where data is being deleted with the Case ID, Person ID and other key columns to identify a unique record in the table.

2.6.5 Batch Dependencies

The Case Deletion batch (PB00P801) must wait for the PDF Generation (PB00P802) and Document Deletion (PB00P804) to complete processing a case before it can move forward with removing that case's data. It does not wait on the Image Deletion (PB00P806) job. This allows the case data and image removal to occur in parallel.

2.6.6 Batch Process Load Balancing

The PDF creation, Document Deletion and Case Deletion processes each work in single modules. For the April 2021 C-IV run, there are approximately 1.78 million cases up for purge with their respective program records to be processed. Using a single flow to process this many cases will take a significant amount of time and is not feasible. To process a large volume of cases in a reasonable window, we have added a multi-threading capability for both the PDF creation and the case deletion modules.

The following batch properties are available to configure our multi-threading approach for the Case Delete (PB00P801), Generate PDFs (PB00P802) and Delete Documents (PB00P804) batch jobs:

1) restrictStatuses: Used in testing environments to limit which records are processed by the job. Normally, the job pulls all records where the status on the case purge record is set to either null or "N". When restrictStatuses=Y, the job will exclude any records where the status is null and instead only process records where the status is explicitly set to "N".
2) verbose: Adds additional logging that tracks which documents are removed and which documents are skipped, along with the skip reason. This property should be left off in production, since it results in much larger log files.
3) numOfThreads: This job employs multiple threads to allow for parallel processing. In test environments we default the thread count to 15, while in production we will default to 100.
4) max.workload.size: Since this job may run for millions of records, this property allows us to set the size of the "chunks" of data being considered at a given time. Increasing the size of the max workload will reduce the amount of time spent waiting for threads to complete, at the trade-off of increasing the amount of memory required to run the job.

2.6.7 Exception Logging

A standard batch framework is used to log all exceptions encountered in the data deletion process. These exceptions will be monitored as part of standard batch operations. Depending on the reason for the exception, Defects or Changes will be logged and tracked in Jira.

2.6.8 Batch Restart

Restartability for all jobs is managed by records inserted and updated in the CASE_PURGE table. Should a job terminate unexpectedly, it should be resubmitted with restart.mode=false. It will continue from the last commit of the previous run.

2.7 Case Completion Report

The Case Completion report lists all cases that have successfully completed the case purge process. It will display the following information:

Case Number: Case that has completed the case purge.
Case Name: Name associated to the Case.
Identification Date: The date the case was originally identified for the case purge process.
Completion date: Date that the case was purged from the system.

Navigation to the Report: Homepage > Reports > Scheduled > Case Activity > Title 'Case Data Removal Completion Report'

2.7.1 Batch Job

The PBxxR803 job will be run on-demand once the case deletion process is complete.

2.8 What's Next

Our planned timeline for the C-IV scheduling of these jobs are shown below. The Completion Report will be scheduled to run in Production after the final case has completed through Data Removal. Once all jobs have completed for C-IV Case Purge we will submit the BPCR's to deactivate each job.

The CalSAWS porting Epic for Case Purge includes a ten Sprint product timeline to modify and port in the original solution, with customizations made for the CalSAWS application and system.

The following is a list of pending scope that will be developed in the upcoming sprints. These sprints will focus on implementing the changes for CalSAWS.

Sprint #	Sprint Scope
Sprint 1	Case Summary and Data Removal Detail page updates, PDF's to S3 Storage from Alfresco
Sprint 2	Case Locking, Image View only
Sprint 3	Remove CalHEER's related tables, Add new EDBC/RA Rules to Identification Sweeps, PDF Character Limit increase
Sprint 4	Deletion Batch process for PGM_DETL and Child Tables, Case Data Removal Identification Report, PDF Configuration to S3
Sprint 5	Document Removal process, Re-Verification logic, YBN e-app logic to block transfers, History PDF Batch, Override Report
Sprint 6	Image Removal, CalSAWS PDF Generation process
Sprint 7	Time Limit Aid Summary page, Completion Report
Sprint 8	Disaster Recovery Document Deletion, OBIEE/EDR Cleanup for Delete Track, VLP
Sprint 9	Batch Performance Environment Preparation & Test Execution
Sprint 10	Performance Environment Preparation & Execution

3 TECHNICAL DESIGN

3.1 Delete Process

The case purge process is driven primarily off the CASE_PURGE and the CASE_PURGE_DEL_TABLE_CONF tables. The Case Purge table identifies the list of cases to be deleted from the C-IV database tables and the Case Purge Configuration table identifies the list of tables where case data will be deleted. The tables logical structure is as follows:

Case Purge table structure:

CASE_PURGE				
ID	NUMBER	NN	(PK)	(IX2)
CASE_ID	NUMBER	NN	(FK)	(AK0,IX6)
SELECT_DATE	DATE	NN		
START_DATE	DATE			(IX3)
COMPL_DATE	DATE			(IX4)
STAT_CODE	VARCHAR2 (3 Byte)			(IX5)
OVERRD_DATE	DATE			(IX8)
OVERRD_STAFF_ID	NUMBER		(FK)	(IX7)
OVERRD_RSN_CODE	VARCHAR2 (3 Byte)			(IX1)
CREATED_BY	VARCHAR2 (30 Byte)	NN		
UPDATED_BY	VARCHAR2 (30 Byte)	NN		
CREATED_ON	TIMESTAMP(6)	NN		
UPDATED_ON	TIMESTAMP(6)	NN		
ISSUANCE_FORMS_STAT_IDENTIF	VARCHAR2 (1 Byte)			
ISSUANCE_FORMS_URL	VARCHAR2 (500 Byte)			
JOURNAL_FORMS_STAT_IDENTIF	VARCHAR2 (1 Byte)			
JOURNAL_FORMS_URL	VARCHAR2 (500 Byte)			

CASE_PURGE_DEL_TABLE_CONF:

CASE_PURGE_DEL_TABLE_CONF	
TABLE_GRP	VARCHAR2 (50 Byte)
DEL_SEQ	INTEGER
PARENT_TABLE	VARCHAR2 (50 Byte)
CHILD_TABLE	VARCHAR2 (50 Byte)
DML_ACTION	VARCHAR2 (2 Byte)
FOREIGN_KEY	VARCHAR2 (50 Byte)
CHILD_TABLE_KEY	VARCHAR2 (50 Byte)
DML_QUERY	VARCHAR2 (500 Byte)

As part of the deletion process, two batch jobs (PB00P801 and PB00P802) along with a PL/SQL stored procedure have been developed, as defined in section 2.5.1 and 2.5.2. The batch job (PB00P801) picks up all the cases that are identified for deletion (CASE_PURGE) and calls the PL/SQL stored procedure for each case to delete the case/person data from the database tables. The procedure uses the configuration table, list of tables where case/person data can be deleted, to drive the deletion process as defined in section 2.5.

The attached spreadsheet contains two tab pages – Delete Tables and Do not Delete Tables. The first tab page contains list of tables configured in CASE_PURGE_DEL_TABLE_CONF table for data deletion. The second tab page contains the list of tables where case/person data will be retained. For example – Time tracking data.

Delete Tables.xlsx

To support the deletion process we have created a series of DBCR's to perform On Delete Set to Null value operations for the following tables:

- On Delete Set EXPNGMNT_ID to Null on ISSUANCE table
- On Delete set ISSUANCE_ID to NULL on ISSUANCE table
- On Delete set RELATED_TRANSACT_ID to NULL on RECOV_ACCT_TRANSACT table
- On Delete set PGM_PERS_ID to Null on TIME_LIMIT_DETL table
- On Delete set TEMP_EDBC_SRC_PGM_ID to Null on PGM table
- On Delete set PGM_ID to Null on GENERATE_DOC table
- On Delete set SERV_ARRGMT_ID to Null on GENERATE_DOC table

To break the CalHEER's linkage to purged cases we are deleting from the following list of tables, per CalHEER's Design and Development Teams:

- ICT_CIV_CASE
- ICT_CIV_PERS
- CH_TRANSACT_INFO
- CH_CASE_INFO

3.2 Stage Document Utility

Testing environments do not include copies of forms and NOAs from the production environment. References to forms and documents stored in GENERATE_DOC end up as broken links since the documents don't exist in the testing file management system.

The Stage Documents Utility (PB00P805) will resolve these broken links by mocking files in the testing file management system. This ultimately allows for more accurate testing of the Document Removal batch (PB00P804).

The Stage Documents utility is also capable of storing mocked image files for the ImageNow system. You can control whether mocked forms or mocked images are generated with the following batch properties:

1) generateDocuments: Set to "Y" if you would like to generate documents.
2) generateImages: Set to "Y" if you would like to generate images.

Generating images also requires setting the following property:

1) sampleImagePath: The filepath of a sample .TIF image file. Note: it is best to keep the filesize of this image relatively small, since the job will generate several thousand copies of the image.

The Stage Documents Utility will identify all generated documents for a given case ID. Case IDs can be provided to the utility in two ways:

1) caseId: Set this property to match a single case ID which contains documents you would like to mock.
2) caseListPath: You may provide a list of Case IDs to feed into the utility by employing the caseListPath property. First, you need to create a text file that contains all the case IDs you would like to mock with each case ID on its own line. You'll need to upload this file to the batch server, then provide the file's path as the caseListPath parameter. For example: caseListPath=" /export/batch/scripts/CaseList.txt".

Mocked files will appear on the testing file management system under the casePurge/mockedForms. Mocked images will appear under the server's output_agent directory under eict_import.

Note: This utility cannot (and should not) be run in production. All batch properties associated to this job have been labeled as test properties, which prevents the job's execution on production batch servers.

4 REQUIREMENTS

4.1 Project Requirements

DDID	Description	Notes
CIV-105446	Monthly Batch job - case data removal – Discontinued / Inactive cases.	The scope of this DDID is covered in SCR-107763.
CA-208415	Monthly Batch job - case data removal - Discontinued / Inactive cases.	

5 MIGRATION IMPACTS

It was determined to start with building a C-IV Case Data Removal process first, due to the large amount of data that would get removed from that database. Deletion of a large amount of data will help with the conversion cutover window when C-IV migrates to CalSAWS. The current timeline of the planned Sprints has been confirmed to dovetail nicely with the Conversion timeline.

6 SUPPORTING DOCUMENTS

Number	Functional Area	Description	Attachment
107763	SCR	Create Case Data Removal Functionality	
107825	SCR	Implement Case Data Removal Sprint 1 Features	
107834	SCR	Implement Case Data Removal Sprint 2 Features	
107924	SCR	Implement Case Data Removal Sprint 3 Features	
107957	SCR	Implement Case Data Removal Sprint 4 Features	

108104	SCR	Implement Case Data Removal Sprint 5 Features	
108106	SCR	Implement Case Data Removal Sprint 6 Features	
108107	SCR	Implement Case Data Removal Sprint 7 Features	
108108		Implement Case Data Removal Sprint 8 Features	
108109	SCR	Implement Case Data Removal Sprint 9 Features	
108110	SCR	Implement Case Data Removal Sprint 10 Features	
108111	SCR	Implement Case Data Removal Sprint 11 Features	
108215	SCR	Data Change - Sutter County - Override 2014 cases from data removal per Board of Supervisors Decision	
220458	SCR (CalSAWS)	Create CASE_PURGE table and Codes Table references to align with C-IV	
224147	SCR (CalSAWS)	Update CASE_PURGE table to include deletion status fields for documents and images to align with C-IV	
108554	SCR	Tehama County - Data Retention Flag Due to Opioid Litigation	
108616	SCR	Case Data Removal Sprint 9 On Delete Set Null CR's	
108630	SCR	Case Data Removal Sprint 10 On Delete Set Null CR's	
CA 229298	SCR (CalSAWS)	Port Case Data Removal Functionality into CalSAWS	
CA 229300	SCR (CalSAWS)	Implement CalSAWS Case Data Removal Functionality Sprint 1	
CA 229302	SCR (CalSAWS)	Implement CalSAWS Case Data Removal Functionality Sprint 2	

CA 229301	SCR (CalSAWS)	Implement CalSAWS Case Data Removal Functionality Sprint 3	
CA 229303	SCR (CalSAWS)	Implement CalSAWS Case Data Removal Functionality Sprint 4	
CA 229305	SCR (CalSAWS)	Implement CalSAWS Case Data Removal Functionality Sprint 5	
CA 229306	SCR (CalSAWS)	Implement CalSAWS Case Data Removal Functionality Sprint 6	
CA 229308	SCR (CalSAWS)	Implement CalSAWS Case Data Removal Functionality Sprint 7	
CA 229309	SCR (CalSAWS)	Implement CalSAWS Case Data Removal Functionality Sprint 8	
CA 235667	SCR (CalSAWS)	Implement CalSAWS Case Data Removal Functionality Sprint 9	
CA 235669	SCR (CalSAWS)	Implement CalSAWS Case Data Removal Functionality Sprint 10	

Case Data Removal

CalSAWS	DOCUMENT APPROVAL HISTORY	
	Prepared By	Case Data Removal Strikeforce
	Reviewed By	Deb Saha, Frederick Gains, Henry Arcangel, Kristin Pepper, Don Coffey

DATE	DOCUMENT VERSION	REVISION DESCRIPTION	AUTHOR
7/23/2020	1.0	Initial Revision using CA-208415 Draft document as a starting point	Chris Paige
7/29/2020	1.1	Modify for Epic 1	Inder Kainth
8/17/2020	1.2	Modify for Epic 1	Evan Orman
8/17/2020	1.3	Modify for Epic 1 Sprint 1 Batch Program Design	Inder Kainth
8/17/2020	1.4	Updated Section 2.0	Pradeep Goel
8/19/2020	1.5	Added rule IPV type and program codes to section 2.3.2	Michael Wright
8/19/2020	1.6	Modified document to just cover overview and the details of what is being implemented in Sprint 1	Chris Paige
8/21/2020	1.7	Modified document to contain the Overall SCR and Sprint SCR information in the last section	Michael Wright
8/28/2020	1.8	Added each Case Data Removal Status to section 2.1.1	Michael Wright
9/10/2020	1.9	Updated for Case Data Removal Report Layout and Run Information	Inder Kainth
9/10/2020	1.10	Updated Upcoming Sprint features and removed all CR references from Supporting Documents section	Michael Wright
9/15/2020	1.11	Replaced ‘Purge’ with ‘Data Removal’ where applicable	Michael Wright
9/17/2020	1.12	Updated document based on review with Deb and Don	Chris Paige
9/30/2020	1.13	Updated document to contain Sprint 3 features	Michael Wright
10/2/2020	1.14	Addressed feedback from Consortium/QA Reviews	Chris Paige
10/8/2020	1.15	Updated entire list of Time Limit forms to retain	Michael Wright
10/21/2020	1.16	Updated document to contain Sprint 4 features	Pradeep Goel
11/10/2020	1.17	Updated document to contain Sprint 5 features	Michael Wright
11/30/2020	1.18	Updated document to contain Sprint 6 features	Michael Wright

DATE	DOCUMENT VERSION	REVISION DESCRIPTION	AUTHOR
1/4/2021	1.19	Updated document to contain Sprint 7 features	Michael Wright
1/5/2021	1.20	Added technical section	Pradeep Goel
1/26/2021	1.21	Updated document to contain Sprint 8 features	Michael Wright
2/16/2021	1.22	Updated document to contain Sprint 9 features	Michael Wright
2/17/2021	1.23	Update document for Sprint 9 features (Document Removal/Reports Update)	Chris Larson
3/10/2021	1.24	Update Document to contain Sprint 10 features and refactors.	Chris Larson
3/31/2021	1.25	Updated document to contain Sprint 11 Technical section updates	Michael Wright
4/2/2021	1.26	Added completion report and updated document removal.	Chris Larson
4/14/2021	1.27	Finalized document to add to Shell SCR	Michael Wright
6/1/2021	1.28	Updated document to include new CalSAWS porting SCRs and Sprint 1 features	Michael Wright
8/30/2021	1.29	Updated document to include new tables to delete from per CalHEERS SCR scope changes	Michael Wright
11/17/2021	1.30	Updated document with CalSAWS Porting Sprint 1 changes	Michael Wright
12/8/21	1.31	Updated document with CalSAWS Porting Sprint 2 changes	Michael Wright
12/16/21	1.32	Updated document with CalSAWS Porting Sprint 3 changes	Michael Wright
1/5/22	1.33	Updated document with CalSAWS Porting Sprint 4 changes	Michael Wright
1/10/22	1.34	Updated document with CalSAWS Porting Sprint 5 changes	Michael Wright
1/18/22	1.35	Updated document with CalSAWS Porting Sprint 6 changes	Michael Wright

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1 OVERVIEW

California county welfare departments are generally governed by the Code of Federal Regulations (CFR) and State of California Welfare and Institutions (W&I) Code. In addition, the Department of Health Care Services and California Department of Social Services publish All County Welfare Directors Letters (ACWDLs), All County Letters (ACLs), and the CDSS Manual of Policies and Procedures (MPP) to give counties added guidance to meet regulations. The CalSAWS Data Retention Policy pertains to the data related to the eligibility programs administered by the Counties and stored within the CalSAWS systems. This data retention policy was approved by Project Steering Committee members during the September 19, 2019 PSC meeting. This approval can be found in the following Approved Meeting Minutes.

The Case Data Removal feature for CalSAWS will first be implemented for the C-IV System. This will be done using the Agile methodology. This design document will be updated as features are deployed to Production at the conclusion of each of our planned three-week Sprints.

1.1 Current Design

Case and Person level data is currently retained indefinitely within both the LRS/CalSAWS System and the C-IV System.

1.2 Requests

The following are the case record retention guidelines as approved by the Consortium:

- Identify and remove appropriate data from cases which have been closed for 6 years or more.
- There are multiple exceptions to the 6-year rule:
  - Retain cases that currently have open recovery accounts
  - Retain cases associated with a Special Investigation, Criminal, or Civil Litigation record for three years after the final claim is submitted for federal reimbursement.
  - Retain all cases that include one of the following programs, regardless of status:
    - Adoptions Assistance
    - Foster Care
    - Kin-GAP
  - Retain all cases currently under Federal, State, or County Audit until the audit(s) have been resolved.
  - Retain all cases that included an Intentional Program Violation
- Warrant Register data will be retained indefinitely (as will all Scheduled Reports).
- Each case with removed data will remain in the System as a Shell Case. See Section 2.1.1 for details on what data will be retained in Shell Cases.
- Case data removal is permanent. Once a case has been purged, there will be no mechanism for retrieval of data removed from the System. I.e., Case Data Removal is NOT an Archive capability.

- Migration DDID 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.") is in scope for this effort.

1.3 Overview of Recommendations

The following is a high-level overview of the features that will be implemented as part of the Case Data Removal functionality:

- Create a new page in the system for users to view the current dispensation of a Case with regards to whether it is eligible for Removal. This determination would likely be implemented as a batch job (frequency TBD)
- Create a report to show summary and detail information regarding Cases identified for Removal.
- Create a capability for users to override the Removal decision made by the user. This would also require the user to document a Reason for their override.
- Create a report for supervisors to see lists of Cases that have had their Purge decision overridden.
- Develop a series of batch processes responsible for removing branches of the CASE and PERS tables. PERS records would only be removed when the PERS was only associated to Removable Cases. The current target date for running the Data Removal batch jobs in the C-IV System is April 16, 2021. CalSAWS scheduling has yet to be determined.
- Remove Case and Person documents stored in the Document Storage system (Alfresco for C-IV, AWS S3 for CalSAWS) for each Removed Case/Person
- Remove Images from the imaging system for each removed case. The one exception is we will retain any Image with a Document Type = Time Limits.

1.4 Assumptions

- The ICT tables are not in scope for this effort as they do not have CASE as a parent table. I.e., Any removal of ICT data would be separate from the Case Data Removal.
- The Removal feature for CalSAWS will first be implemented for the C-IV System. This will be done using the Agile methodology. This design document will be updated as features are deployed to Production at the conclusion of each of our planned three-week Sprints.
- Once the entire Removal feature has been implemented for the C-IV System, we will have a Planning Sprint to determine the necessary modifications to port this functionality to the CalSAWS System
- CalWIN data retention is being implemented by DXC as part of Conversion and will be applied during each CalWIN Wave. The two teams are periodically checking in with each other to make sure both teams are on the same page with regards to overall approach.

- The contents of the CASE_PURGE and RPT_CASE_PURGE tables will be converted from C-IV to CalSAWS as part of the overall Migration conversion effort.
- CalSAWS legal counsel has reviewed details associated with the ongoing county litigation related to opioid addiction and found no impact to the current CalSAWS data retention policy.

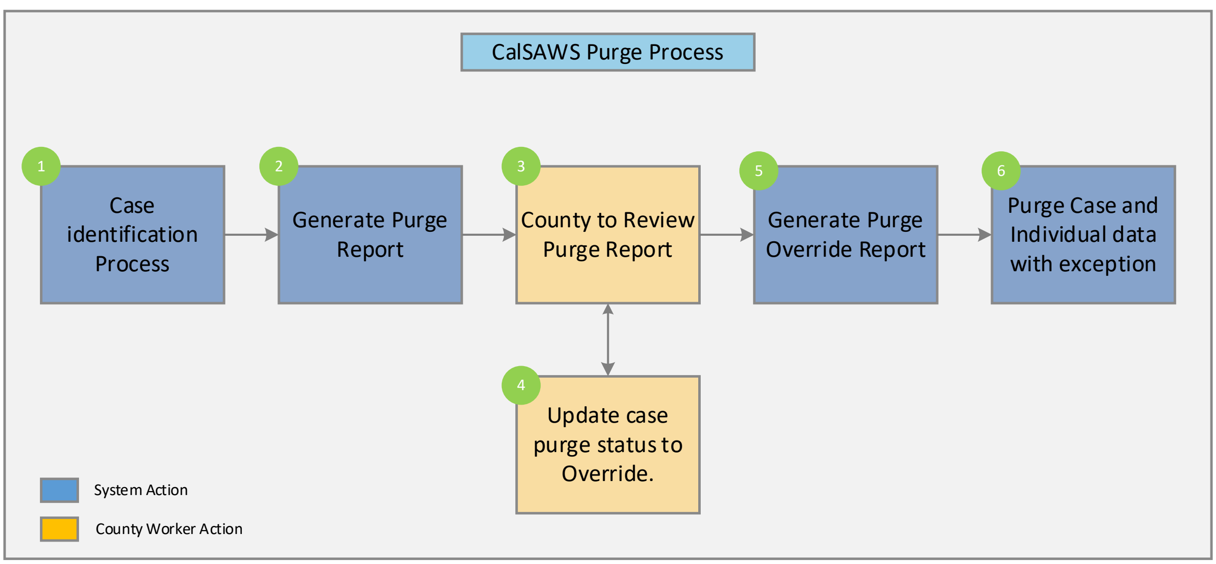
2 PROPOSED SOLUTION

2.1 Case Data Removal Process Overview

The removal process will remove dormant data that falls outside of the retention guidelines approved by the Consortium, leaving behind a shell case for those that have been removed. Initially, this process will be built for the C-IV System, given the direct impacts to C-IV conversion cutover activities and the length of time that C-IV has existed (since 2004 for the original four C-IV counties). Future sprints will then transform what was built for C-IV to work in the CalSAWS system, where it will run on some (undetermined) regular schedule as part of the ongoing operations of that System.

2.1.1 Case Data Removal

The following diagram defines the high-level 6-step process to remove a Case in the System:



Step 1: Identify a list of removable cases based on the approved retention rules. The details of the case selection criteria are defined in Epic 1 of this document.

Step 2: Generate a report containing list of removable cases selected in step 1 for the counties to review.

Step 3: Counties to review the list and perform step 4 (as needed).

Step 4: If the case needs to be excluded from the remove process, users with appropriate security rights will be able to override this decision

Step 5: Generate a report containing a list of overridden cases. This list will be excluded from the Case Data Removal process.

Step 6: Execute Case Data Remove processes to delete data from database tables following the approved retention rules.

2.1.1.1 CalSAWS Application Case Data Removal Status

Identified: The Case has been identified as one that will have data removed from the System per Data Retention Policies

In Process: The removal of data for this case has begun

Override: Someone has decided to override the System's automated decision to removal this Case's data. The reason for this override will also be captured

Complete: Data has been removed. This is now a Shell Case

2.1.1.2 Shell Case

While most of the case and individual data will be removed from the database tables, certain information related to the case and the individuals will be retained in the system. This information is called a shell case and will include the following:

1) Serial Number and Case Name will remain unchanged
2) The "All People Associated With the Case" section of the Case Summary page will be retained.
3) Case Confidentiality
4) Companion Case relationship
5) Journal Entries (stored as a PDF attached to the case)
6) Issuance History (stored as a PDF attached to the case)
7) ADDR and PERS_ADDR table data will be retained.
8) Time Limit data for all people associated to the case. This will include the following forms:

Form Number	**Form Name**
CF 377.11A	CalFresh Time Limit Notice for Expiration of Three Consecutive Months for ABAWDs
CF 377.11B	CalFresh Countable Month Letter
CF 377.11C	CalFresh Time Limit for ABAWDs

CF 377.11D	CalFresh Discretionary Exemption for Able-Bodied Adults Without Dependents (ABAWD)
CF 377.11E	CalFresh Able-Bodied Adult Without Dependents (ABAWD) Time Limit Exemption Screening Form
CW 61	Medical Report
CW 215	Notification of Intercounty Transfer
CW 2184	CalWORKs 48 Month Time Limit
CW 2186A	CalWORKs Time Limit Exemption Request
CW 2186B	CalWORKs Time Limit Exemption Determination
CW 2187	Your CalWORKS 48 Month Time Limit
CW 2188	Verification of Aid for the TANF Program
CW 2189	Notice of Your CalWORKs Time Limit at 42nd Month On Aid
CW 2190A	CalWORKs 48-Month Time Limit Extender Request Form
CW 2190B	CalWORKs 48-Month Time Limit Extender Determination Denial Form
CW 2191	Time on Aid Verification for CalWORKs 48-Month / TANF 60-Month Time Limits
CW 2192	Tracking Non-California TANF Assistance for the Time Limits
CW 2208	Your Welfare-To-Work 24-Month Time Clock
M40-107D	Time on Aid To Former CalWORKs Recipient
NA 840	Sanction / Removal from Aid of Participant Notice
NA 845	Removal of Second Parent Notice
NA 1276	Welfare-to-Work 24-Month Time Clock Limit Notice
PLAN 106 CIV	Family Plan
PLAN 112 CIV	Care of a Household Member Verification
TEMP CW 2186A	CalWORKs Time Limit Exemption Request
WTW 38	Welfare-To-Work 24-Month Time Clock Notice
WTW 43	Notice Of Your Welfare-To-Work (WTW) 24-Month Time Clock Ending Soon
WTW 44	Welfare To Work (WTW) 24-Month Time Clock Extension Request Form

WTW 45	Welfare To Work (WTW) 24-Month Time Clock Extension Determination
WTW 46	End Of Welfare-To-Work 24-Month Time Clock Review Appointment Letter

The following tables under the CASE and PERS Trees will be retained during the Data Removal process:

CASE TABLES NOT BEING DELETED
CASE_PERS
COMPAN_CASE
CONFID
CONFID_DETL
CS_COLLECT
CS_OUT_TRANSACT
CS_OUT_TRANSACT_DETL
TIME_LIMIT_AID
TIME_LIMIT_AID_DETL
TIME_LIMIT_DETL
TL_AID_CASE_TRANSACT
TL_AID_CS_COLLECT_XREF
TO_DO_LIST

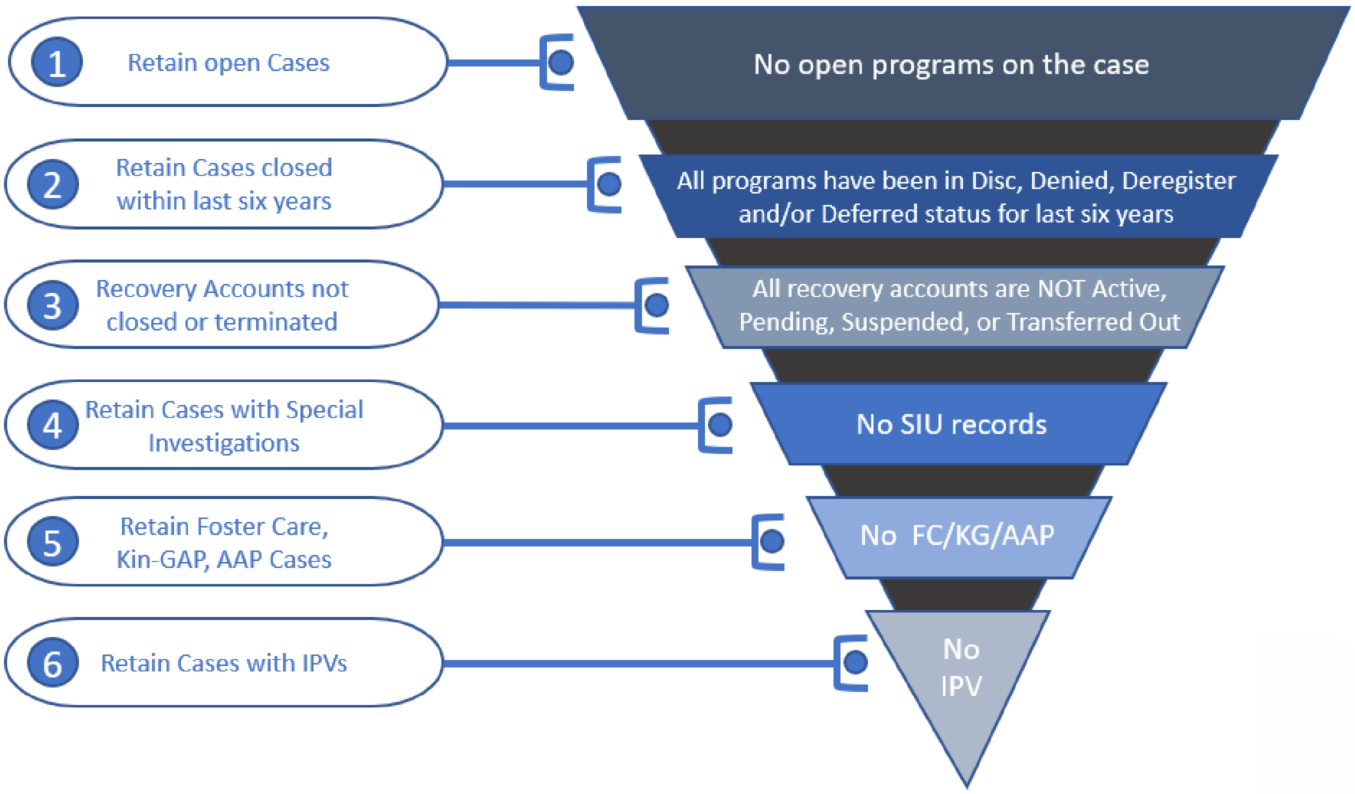
PERS TABLES NOT BEING DELETED
C4Y_PERS
CASE_PERS
CITZ
CITZ_PERS_DETL
DUPL_PERS

OTHER_PGM_ASSIST
OTHER_SSN
PERS_ADDR
PERS_RELSHP
RECEIPT
RES
TIME_LIMIT
TIME_LIMIT_CASH_AID
TIME_LIMIT_CLOCKS
TIME_LIMIT_DETL
TIME_LIMIT_DIVERSN
TIME_LIMIT_EXCEPT
TIME_LIMIT_NON_CAL
TIME_LIMIT_NON_CAL_EXCEPT
TIME_LIMIT_PGM_PARTICPTN
VITAL_STAT
VITAL_STAT_BIRTH_CERT
VITAL_STAT_DOC
VITAL_STAT_REQ
VITAL_STAT_SENT
VLP_CASE_PERS
WDTIP_NON_CAL_PARTICPTN
WDTIP_PGM_EXCEPTION

2.2 Case Data Removal Identification

2.2.1 Overview

A batch job will identify cases eligible for removal based on the approved record retention guidelines:



2.2.2 Rules:

Case must meet **all** the following criteria in order to be considered removable:

- The Case must have no open programs
- All programs on the Case must be closed for more than six years. A program is defined as Closed if it is in one of the following statuses:
  - Discontinued (DS)
  - Denied (DE)
  - Deferred (DF)
  - Deregistered (DG)
- If the Case has any recovery accounts, they must all be Closed. Open recovery accounts are defined as any that are currently in one of the following statuses:
  - Active (AC)
  - Transferred Out (TO)
  - Pending (PE)
  - Suspended (SU)

  - Uncollectible (UF)
  - Pending Agreement (PA) (CalSAWS Only)
  - Pending Approval (AP) (CalSAWS Only)
- If the Case has a recovery account in a status representing Closed, but has a Recovery Account balance, it will not be Identified for purge.
- The Case cannot have any Special Investigation records (regardless of the status of those investigations).
- The Case cannot contain any of the following programs, regardless of status:
  - Foster Care (FC)
  - Kin-GAP (KG)
  - Adoption Assistance (AA)
- The Case cannot have an open Federal or State audit. Federal/State audits are conducted within the first two years of Case closure and it may take up to a year to complete the investigation. Therefore, selecting cases that are closed for more than six years covers this rule without any additional automation.

  Please Note there are multiple types of audits that can be conducted on a case; and not every audit is necessarily captured in Cal SAWS. This could end up being a potential Override reason when that functionality is designed.
- The Case cannot have any Intentional Program Violations. The following types of IPV sanctions are considered:
  - Child Support IPV (06)
  - Cal Fresh IPV (24)
  - General Assistance IPV (29) (CalSAWS Only)

2.2.3 Case Data Removal Identification Report

The purpose of this report is to provide counties a list of which cases have been identified by the System as those that will have data removed during the next deletion batch ruin. The Report will be split into multiple sheets for counties with over 1M rows. Some highlights of items included in this report:

- Identification Date is the date the Case was selected for removal having met all the requirements outlined above.
- Closure Month represents the month the case program was closed (i.e., Denied, Discontinued, Deregistered, or Deferred).
- When possible, the Aid Code for the program in question will be displayed on the Report. This column is populated using the same method as the Aid Code that is displayed on the Case Summary page. For example, Medi-Cal aid codes exist at the person level and are not displayed on the Case Summary page. The same is true this report: All MC programs listed on the report will have the Aid Code blank.
- Recovery Account Closure Date reflects the latest Closed status date of any recovery accounts associated to the purged case.

- Navigation to the Report: Homepage > Reports > Scheduled > Case Activity > Title 'Case Data Removal Identification Report'

Report image TBD using the new reporting solution

2.2.4 Batch Jobs

A new process (PB00P800) will be created to identify cases that can have data removed . This module will search the CalSAWS database to identify data removal cases and insert into the purge table with an initial status of 'Identified'.

- A new database table called CASE_PURGE will store the case ID and purge status, along with other information required for auditing and reporting.
- A new batch process (PB00P800) will execute the core SQL to identify cases and insert them into the purge table.
- After PB00P800, the Report Load Job – TBD – is run to load the RPT_CASE_PURGE Table to facilitate Report Creation for each County.
    - The Identification Report as shown above is created by TBD Jobs for each of the Counties.

2.2.5 Batch job Schedule

Specifics related to run frequency and schedule date/time will be determined during a later phase of the project. The present run frequency for the Case Data Removal Identification Reporting processes is monthly on 11th of each month.

2.2.6 Restart Logic

See section 2.5.6

2.3 Case Data Removal Override

2.3.1 Case Data Removal Override Report

The purpose of this report is to provide counties a list of which cases have been overrode by users. The report will also display the Override Reason of why these cases should not have any case data removed on them. This report will contain each column contained in the Identification reports with three additional columns. The following bullets detail each of the additional columns on the Override report:

- Override Reason represents the reason for the Override, based on the agreed upon set of reasons across each County. These reasons are all situations that cannot be automatically identified by the System.
    - The current Override reasons:
        - Board of Supervisors Decision
        - Hearing/Court Order
        - Pending Litigation
        - Under QA/QC Review
- Override Date represents the date the County Staff member switched the Data Removal Status from Identified to Override on the Case Data Removal detail page.
- Worker ID represents the ID of the County Staff member that switched the status from Identified to Override on the Case Data Removal detail page.
- Recovery Account Closure Date reflects the latest Closed status date of any recovery accounts associated to the purged case.

Navigation to the Report: Homepage > Reports > Scheduled > Case Activity > Title 'Case Data Removal Override Report'

Report image TBD using the new reporting solution

2.3.2 Batch Jobs

The batch job (PB00P800) identifies cases that can be removed. This module will search the C-IV database to identify data removal cases and insert into the purge table with an initial status of 'Identified'

- The CASE_PURGE table will store the case ID and purge status, along with other information required for auditing and reporting.
- The batch job (PB00P800) will execute the core SQL to identify cases and insert them into the CASE_PURGE table.
- After PB00P800, the Report Load Job – TBD – is run to load the RPT_CASE_PURGE Table to facilitate Report Creation for each County.
- The Override Report as shown above is generated by the TBD Jobs for each of the Counties. It will load the RPT_CASE_PURGE table cases that have a status of Override and populate the Override report in the application.

2.3.3 Batch job Schedule

Specifics related to run frequency and schedule date/time will be determined during a later phase of the project. The present run frequency for the Case Data Removal Identification and Override Reporting processes is monthly on 11th of each month Initially, the Case Identification batch will run on (TBD in a future Sprint)

2.3.4 Restart Logic

See section 2.5.6

2.4 Case Data Removal Online Page changes

2.4.1 Case Summary Page updates

For cases that have been identified for Case Data Removal only, the Case Summary page will now show Case Data Removal Status changes as we progress from Identified to Complete in the deletion process.

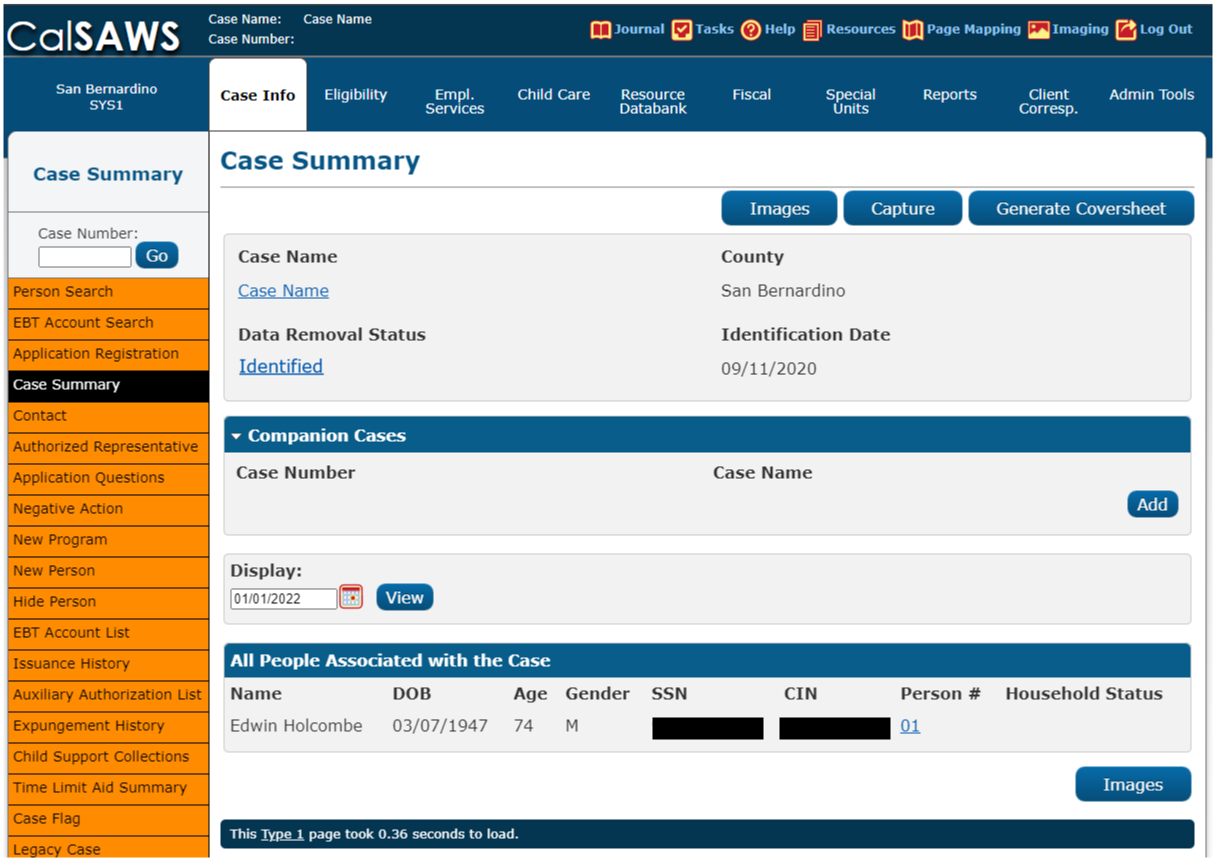
C-IV Application Case Data Removal Status:

- **Identified**: The Case has been identified as one that will have data removed from the System per Data Retention Policies
- **In Process**: The removal of data for this case has begun. This status will only be set once the Case Data Removal process has started on the case through the deletion batch process. Once this Status has been set, the user cannot Override it.
- **Override**: Someone has decided to override the System's automated decision to remove this Case's data. The reason for this override will also be captured.
    - Please reference section 2.3.1 for the listing of current Override Reason Codes.
- **Complete**: Data has been removed. This is now a Shell Case. This status will only be set once the Case Data Removal process has completed on the case through the deletion batch process. Once this Status has been set, the user cannot Override it.

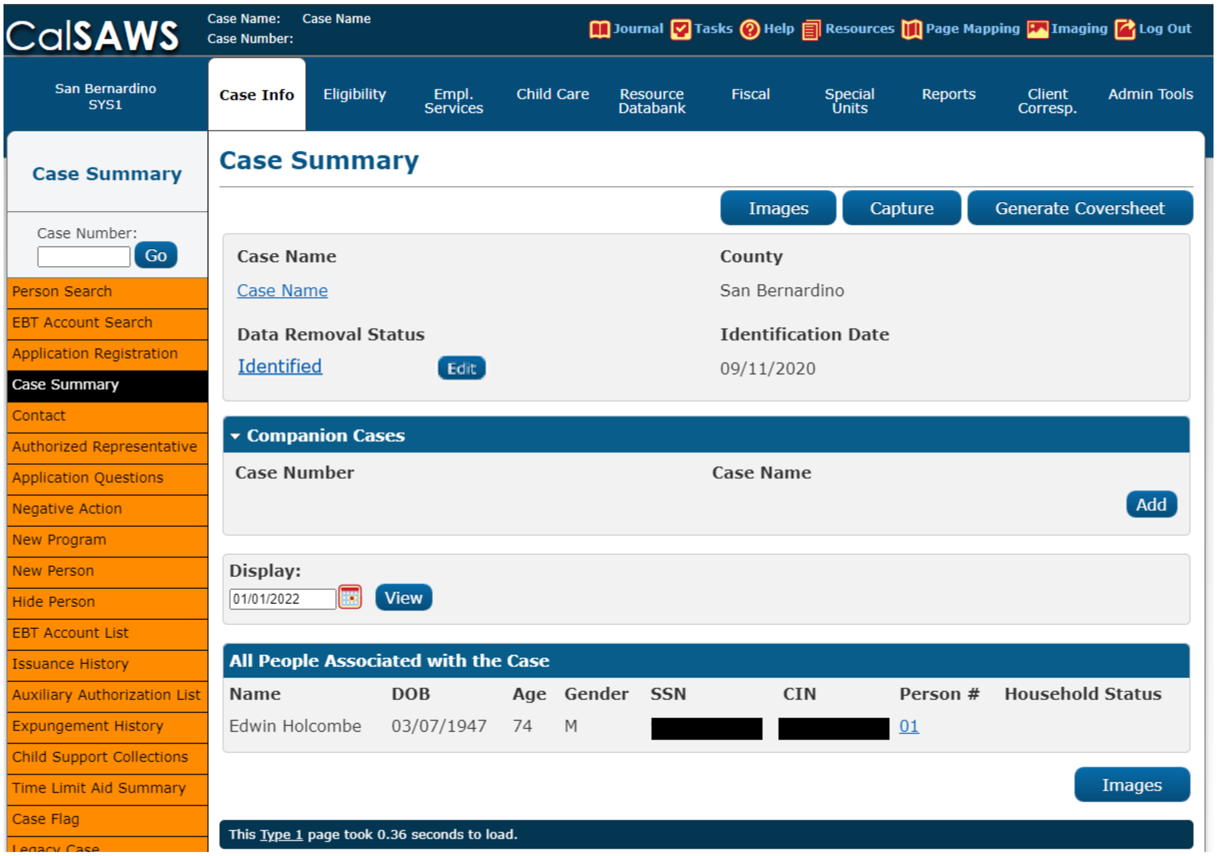
2.4.2 Case Data Removal Status on Case Summary Page

The C-IV Case Summary page will now show a Case Data Removal Status, which will be a hyperlink to display the current status in the Case Data Removal process. This link will also take you to the Case Data Removal Detail page when clicked.

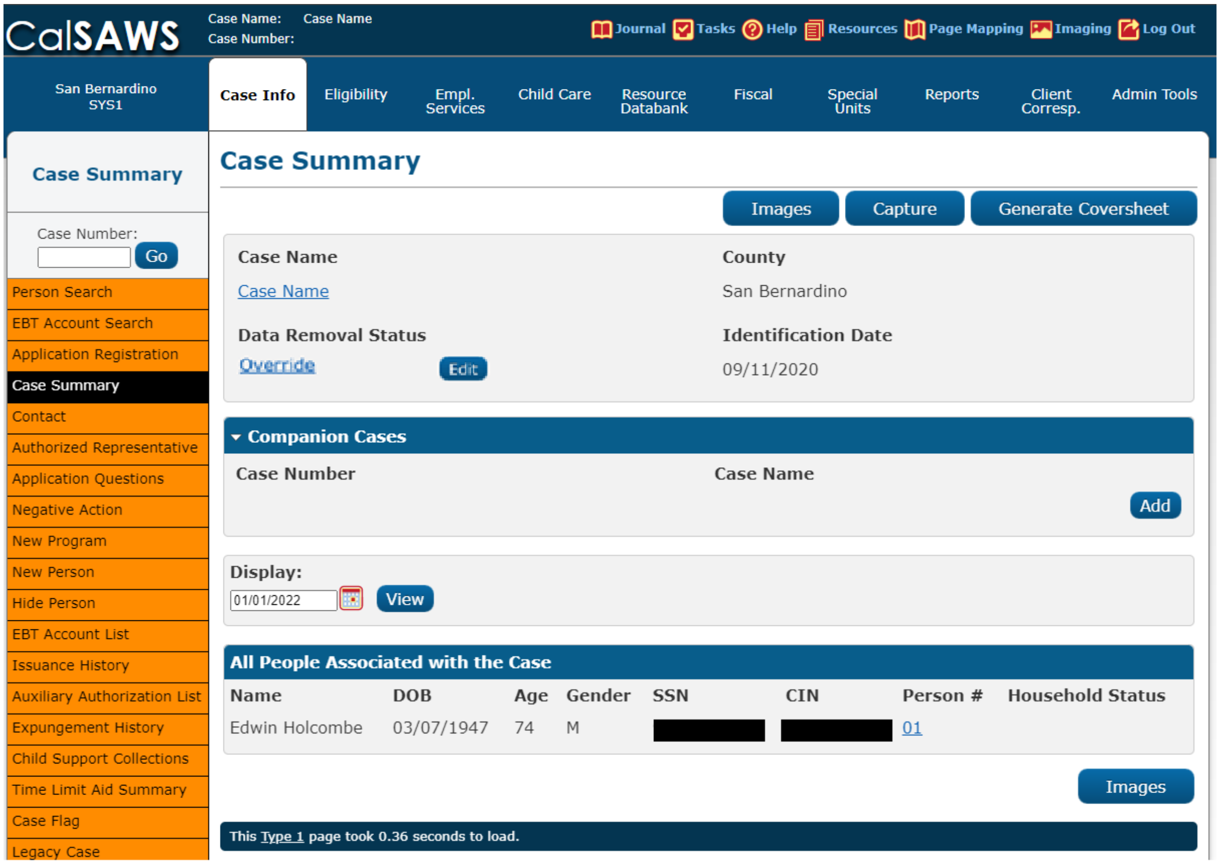
The following image represents the Identified Data Removal Status on the Case Summary page for a County Staff member that does not have rights to edit the Data Removal Status.



The following image represents the Identified Data Removal Status on the Case Summary page for a County Staff member that has rights to edit the Data Removal Status. The Case must also have a removal status of ‘Identified’ or ‘Override’ for this Edit button to appear.

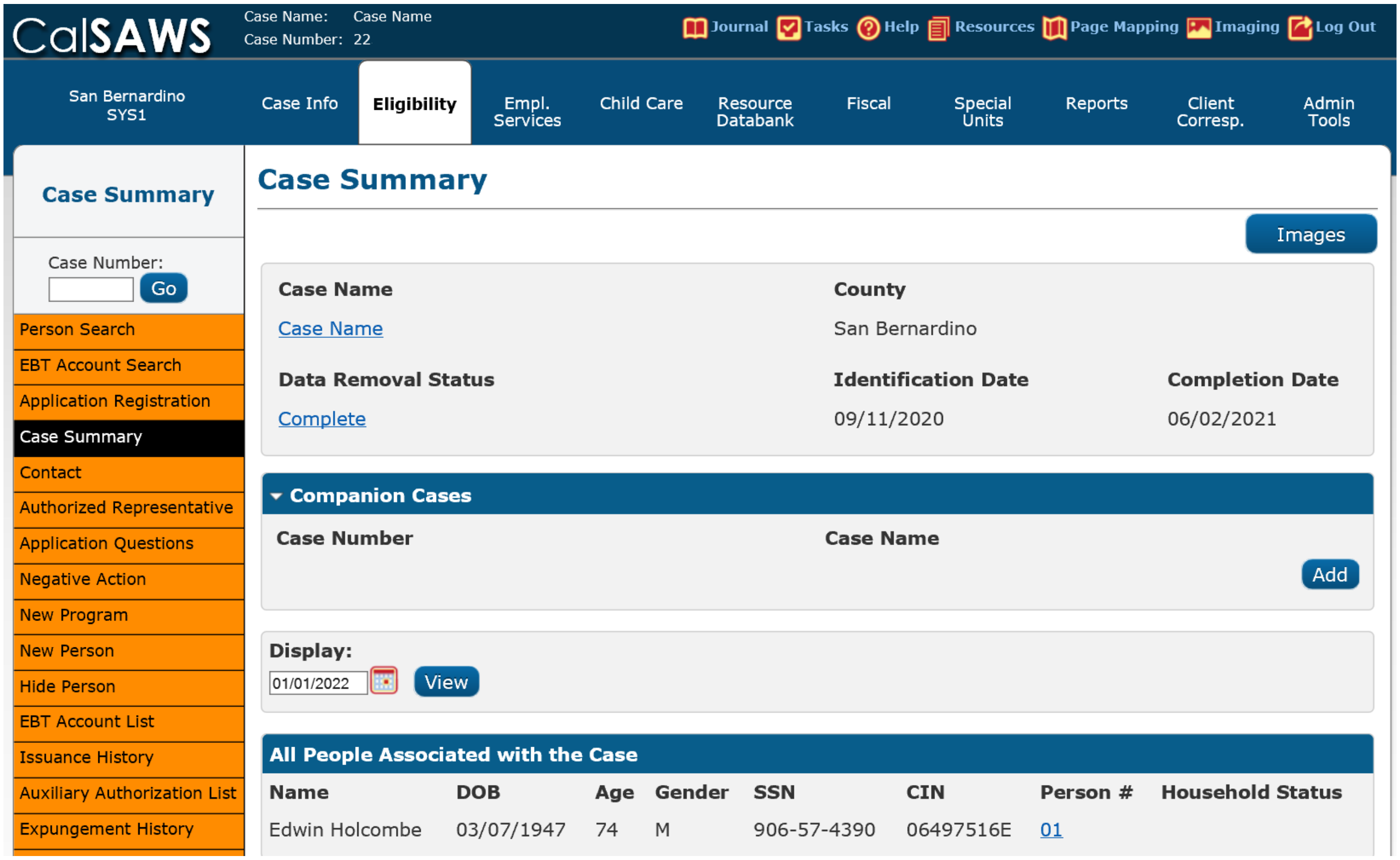


The following image represents the Override Data Removal Status on the Case Summary page for a County Staff member that has rights to edit the Data Removal Status. The Case must also have a removal status of 'Identified' or 'Override' for this Edit button to appear.

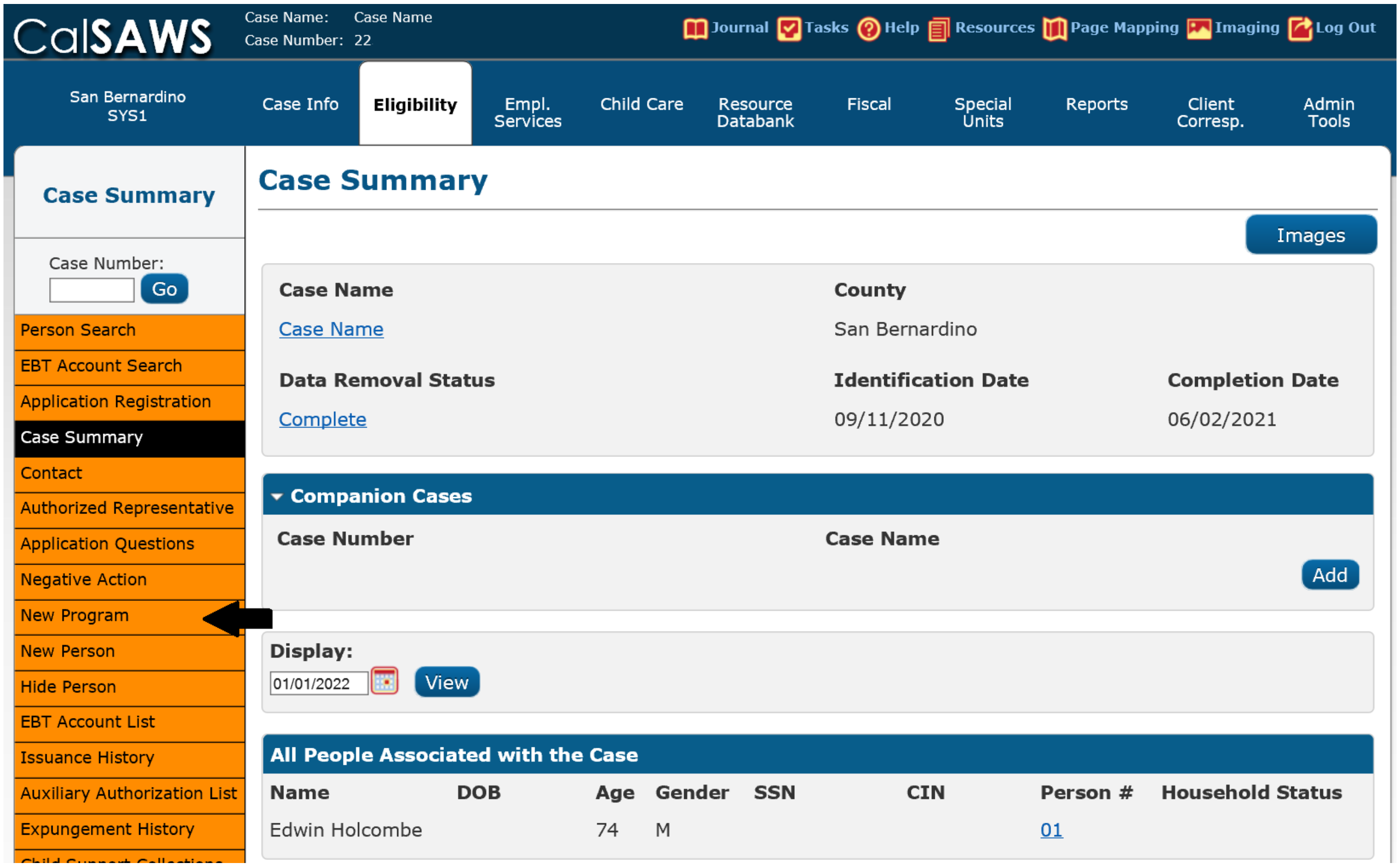


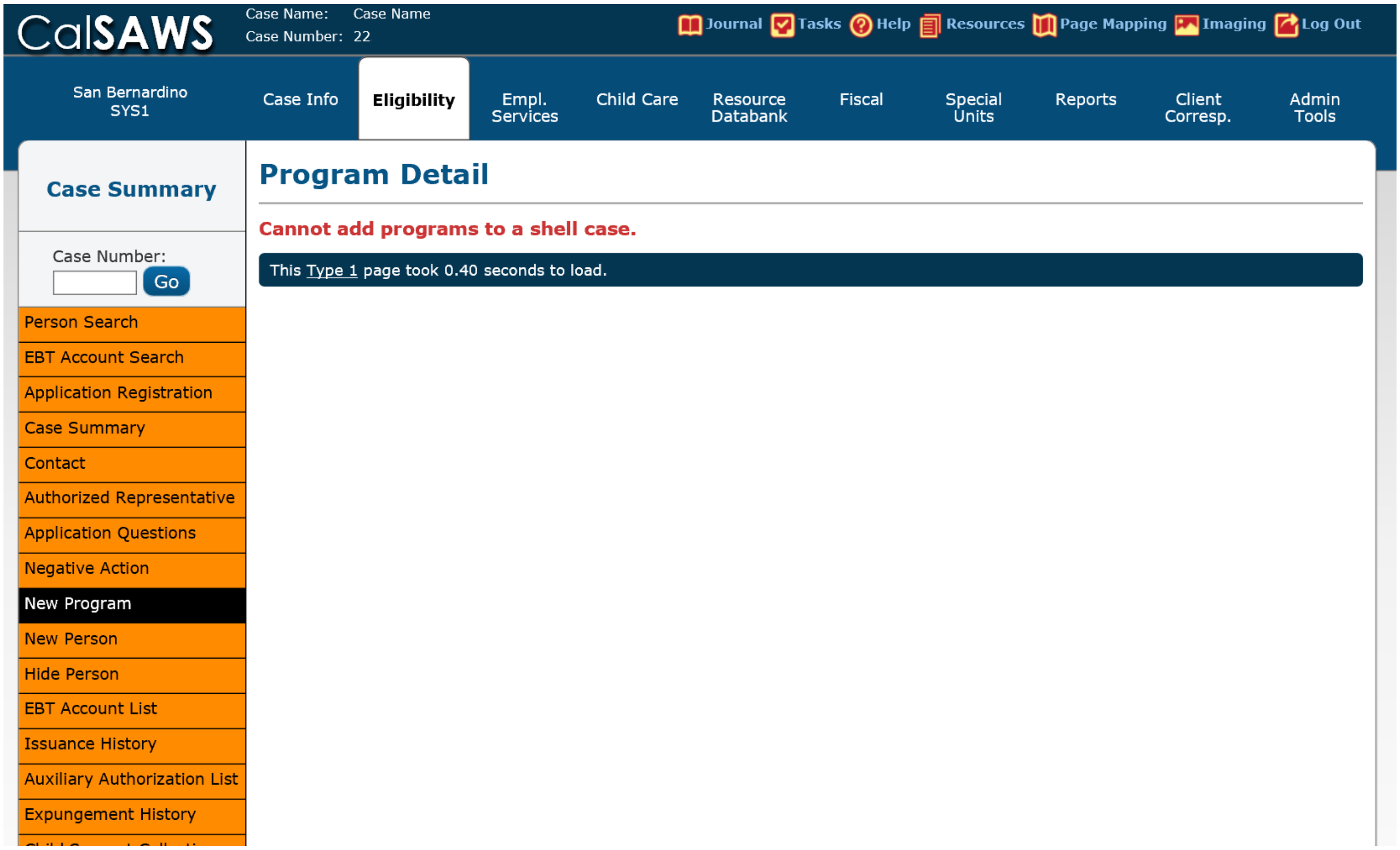
{Insert CalSAWS Case Summary page with Override Reasons once delivered}

When a case is in a Data Removal status of Complete on the Case Summary page, the status hyperlink of ‘Complete’ will display in the Data Removal section and can navigate you to the Case Data Removal Detail page where further details are listed.



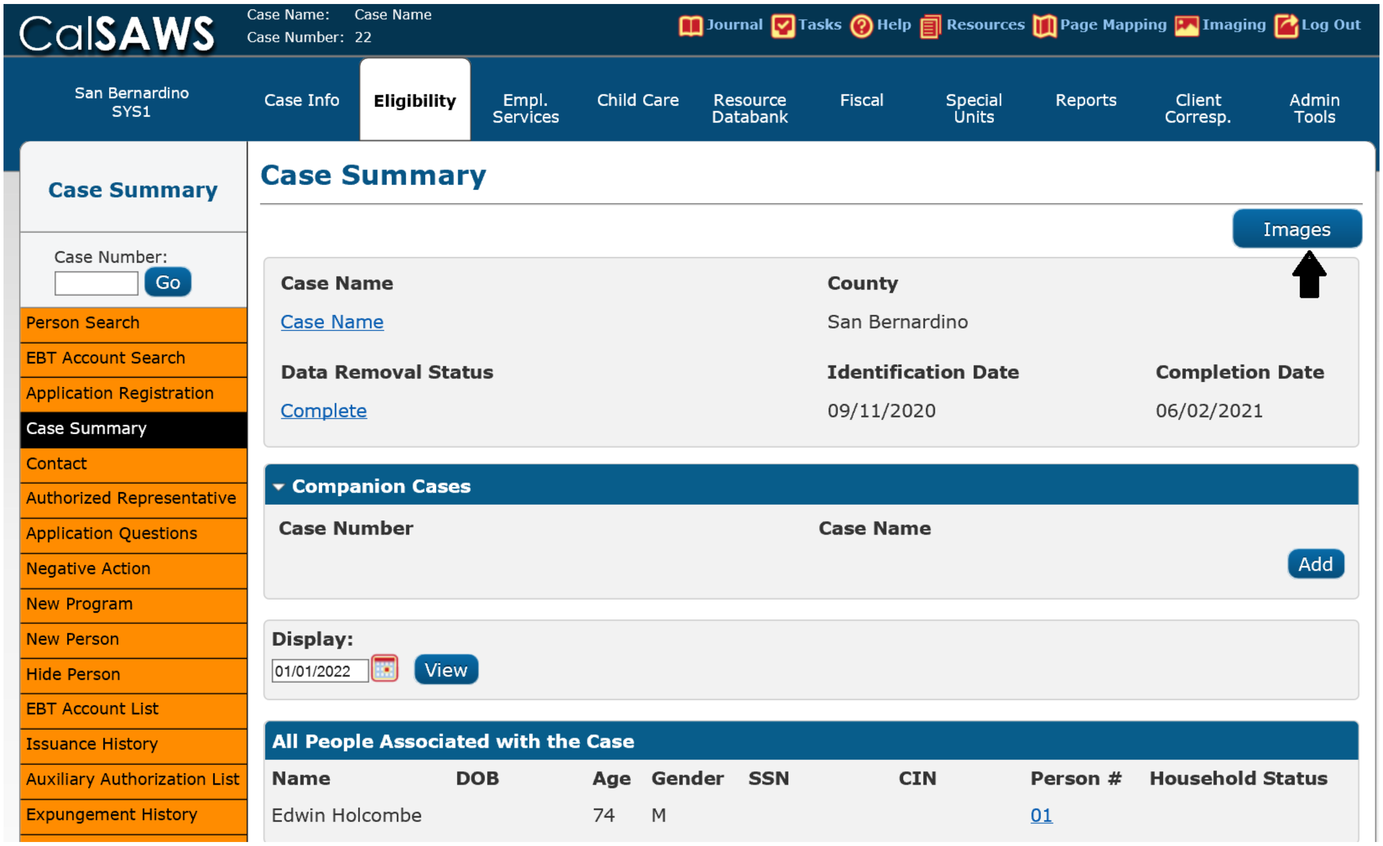
When a case is in the Complete Data Removal status it is known as a Shell Case. When in the context of this type of case while on the Case Summary page, the page option to add a new program will display on the page. Once 'New Program' is clicked a violation message will appear 'Cannot add programs to a shell case' preventing a program from being added to the case, as shown below.


CalSAWS
Case Name: Case Name
Case Number: 22
Journal Tasks Help Resources Page Mapping Imaging Log Out
San Bernardino SYS1
Case Info
Eligibility
Empl. Services
Child Care
Resource Databank
Fiscal
Special Units
Reports
Client Corresp.
Admin Tools
Case Summary
Case Number:
Go
Person Search
EBT Account Search
Application Registration
Case Summary
Contact
Authorized Representative
Application Questions
Negative Action
New Program
New Person
Hide Person
EBT Account List
Issuance History
Auxiliary Authorization List
Expungement History
Case Summary
Images
Case Name
County
Case Name
San Bernardino
Data Removal Status
Identification Date
Completion Date
Complete
09/11/2020
06/02/2021
Companion Cases
Case Number
Case Name
Add
Display:
01/01/2022
View
All People Associated with the Case
Name DOB Age Gender SSN CIN Person # Household Status
Edwin Holcombe 74 M 01



This feature is in place for Shell Cases in order to lock them down from having any new programs pended or activated on them. In this situation the Worker should create a brand new case, if needed, to add the shell case members and begin activation of a new case, linking the new one to the aged out shell case.

In addition to preventing programs from being added to Shell Cases, a new feature to disable the Image 'Scan' and 'Generate Worksheet' buttons has been implemented on the Case Summary page, leaving only the Images button itself as shown below.



The Images button remains on the Case Summary page for Workers to have access to any of the retained Images required from the Retention Policy –

- Personal images where a person is shared on other cases that have not gone through the Data Removal process
- Time Limit images attached to the Shell Case

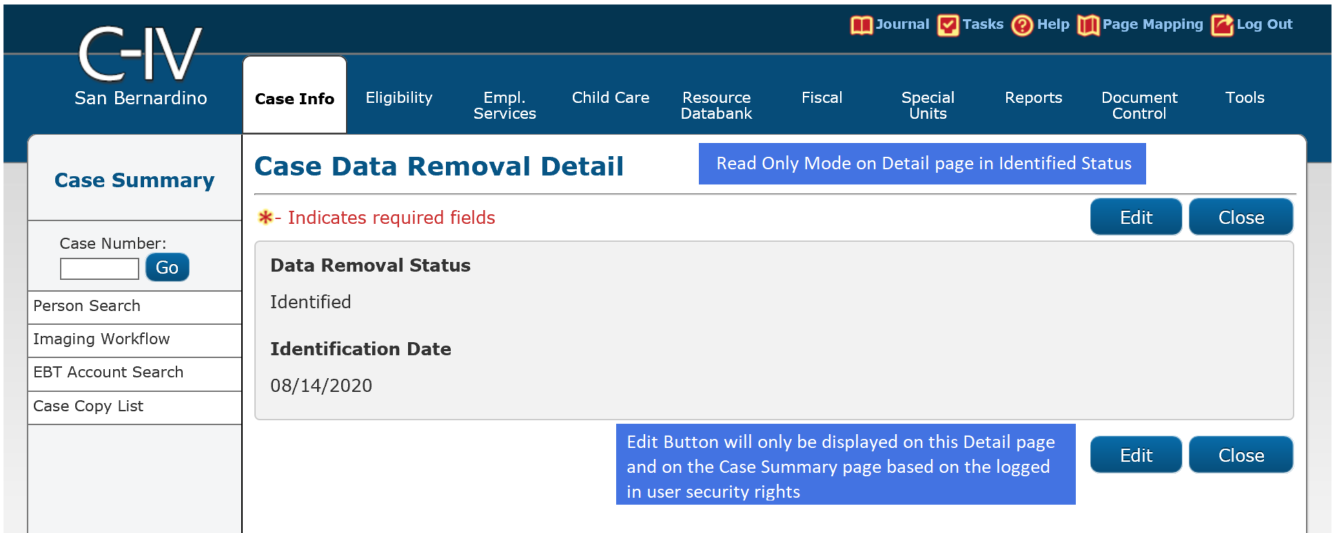
2.4.3 Case Data Removal Detail page

The Case Data Removal Detail page is where County Staff members with the appropriate rights can update the Status from 'Identified' to 'Override', or back to 'Identified' from 'Override'. If the Status on this detail page is changed from the original Status of 'Identified' (as determined by the Data Removal Identification batch job) to the 'Override' status, the case will be excluded from having any case data removed. If the status is left in 'Identified' status, the case will have case data removed once the Deletion Batch is executed [Note that the run date of the first execution of the Deletion Batch is currently TBD, no earlier than January 2021].

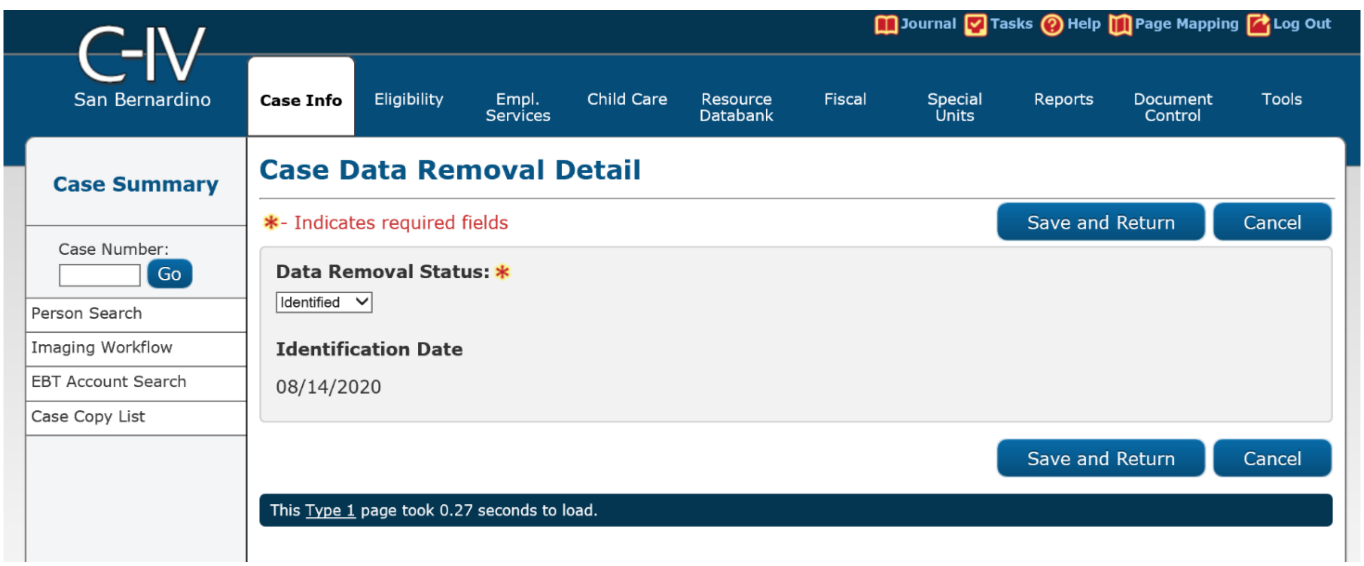
Security Group for Edit functionality:

The Case Data Removal Detail page Edit functionality is accessible for users who are joined to the new 'Case Data Removal Edit' security group. This also applies to the Edit button on Case Summary, next to the status, for those cases having a Case Data Removal status of 'Identified' or 'Override'. The 'Case Data Removal Edit' group, which contains the 'CaseDataRemovalEdit' right, is not assigned to any security role. The local Security Administrators will need to add the approved users to this new security group.

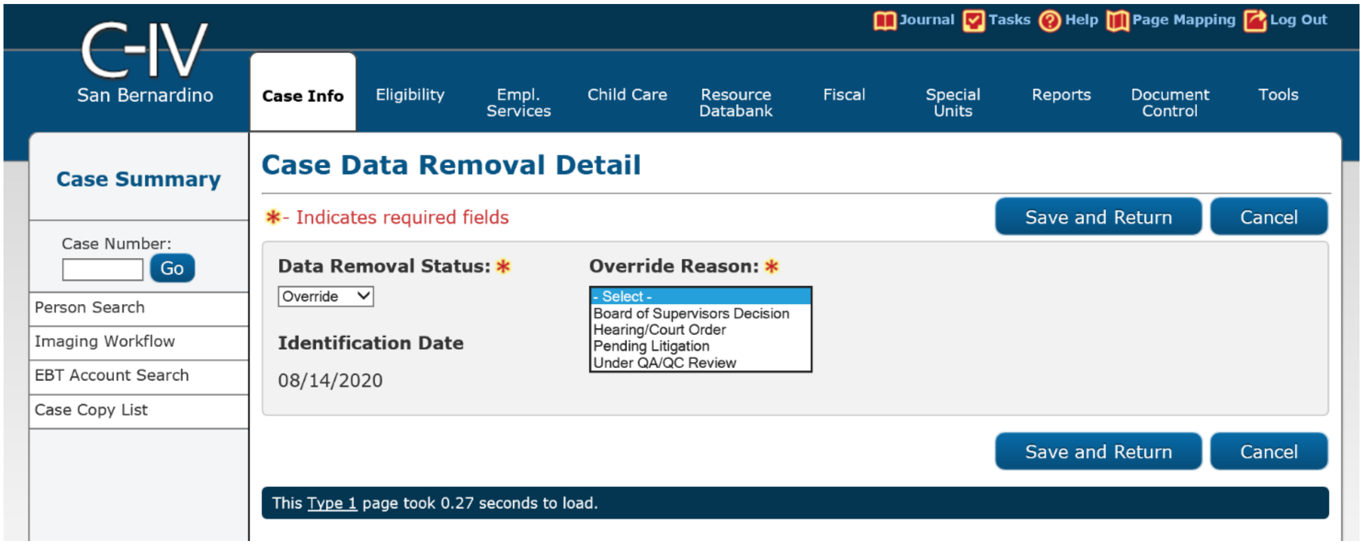
The following image represents the Case Data Removal Detail page in Read Only mode when left in 'Identified' status.



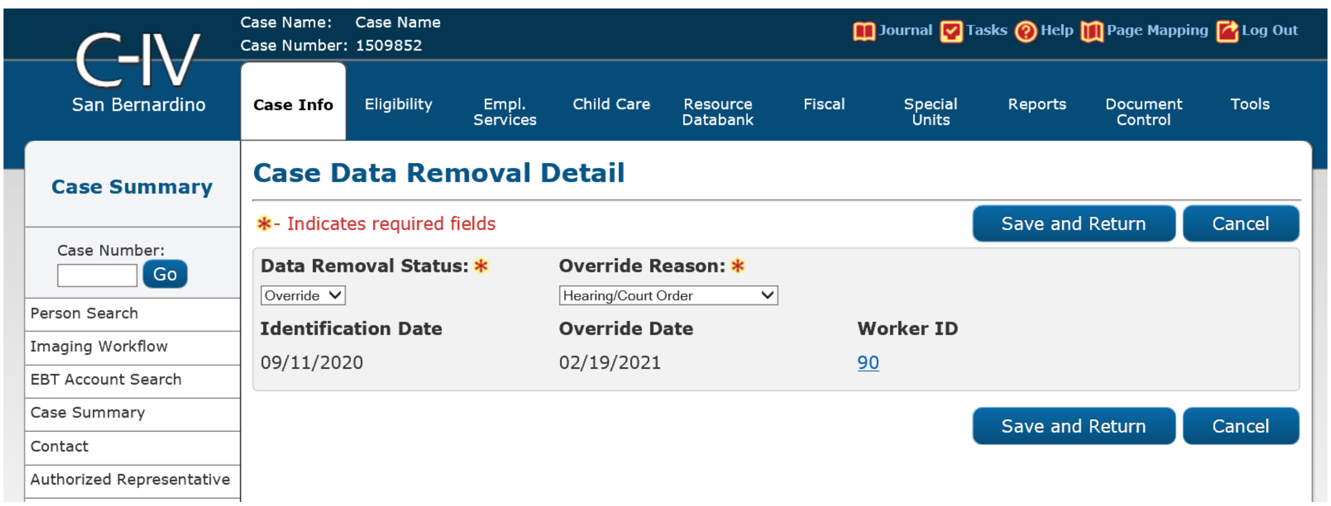
The following image represents the Case Data Removal Detail page in Edit Mode when left in 'Identified' status.



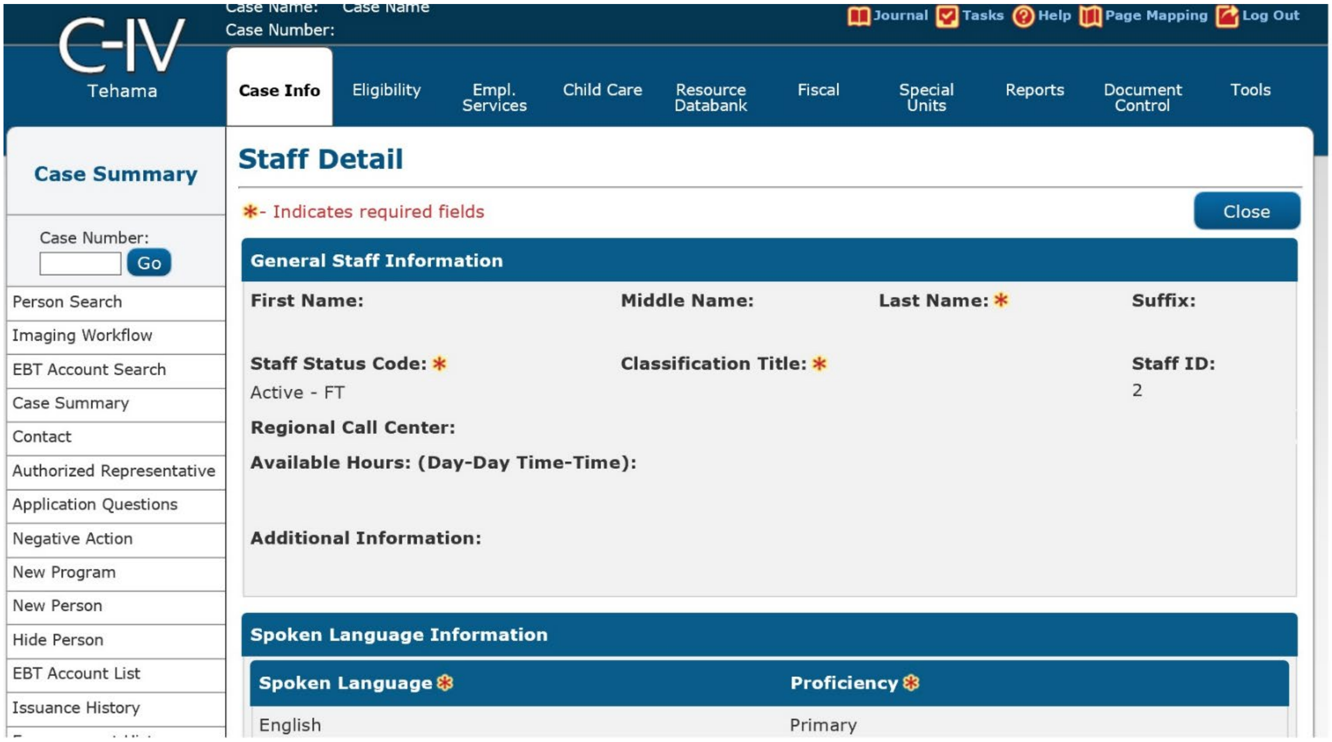
The following image represents the Case Data Removal Detail page in Edit Mode when changing from 'Identified' status to 'Override' status. This status change allows the 'Override Reason' field to display (see Section 2.3.1 for a list of Override Reasons).



The following image represents the Case Data Removal Detail page in Edit Mode when the status has already been updated to 'Override'. The County Staff member will be able to see the Override Date the Override was made in addition to the Worker ID that made the change.

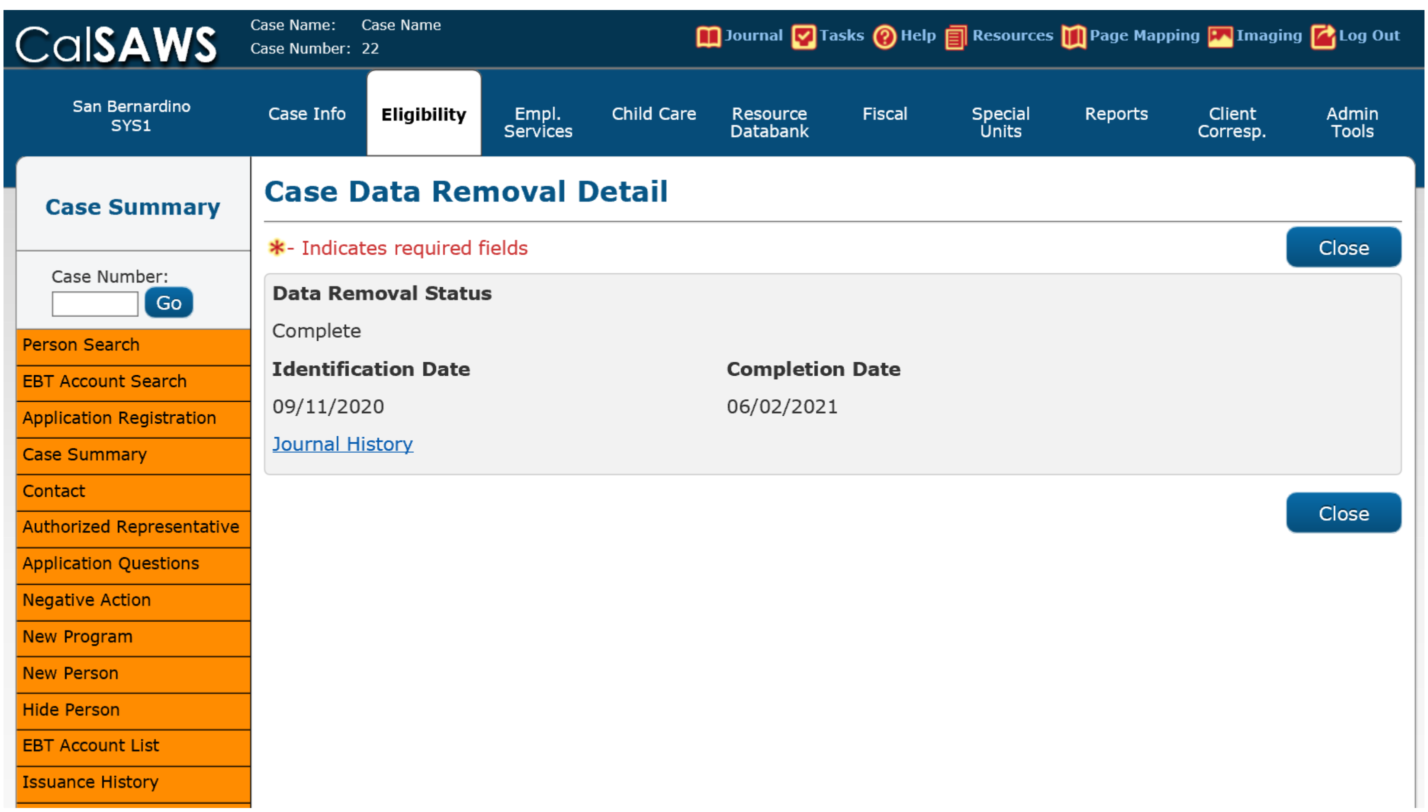


When the Worker switches the Data Removal status between both Identified and Override status, that Worker's ID gets captured on the Detail page as a hyperlink. Clicking on that hyperlink takes you to the Staff Detail page of that Worker that made the change. Once you click the Close button on the Staff Detail page it will route you back to the Data Removal Detail page.



{Insert CalSAWS Case Data Removal Detail page with Data Removal section}

The Case Data Removal Detail page in Complete status displays as follows –



2.5 Case Verification

Workers have been given time, since the original reporting run date of September 11, 2020, to evaluate identified cases before the case data removal is performed. During this time, it is possible that changes on identified cases will make them no longer eligible for the case data removal process. The nightly Re-Verification Job (PB00P803) will evaluate identified cases to confirm their eligibility for the purge.

The Re-verification batch process will execute the same query criteria (section 2.2.2 criteria rules) used in the PB00P800 (case Identification) job. This is a standalone job that will run daily in Production to identify any of the cases in the CASE_PURGE table that no longer meet the criteria and will remove those cases from the table. Cases removed from this table will not be picked up in any downstream case-purge process.

Note: Cases in Overridden status will be excluded from this nightly Re-verification process.

A batch scheduler change request will deactivate the Re-Verification batch job after the final set of data deletions have taken place.

Once this batch job runs in Production and removes the cases from the CASE_PURGE table the following will occur in the C-IV application:

- These cases will have their Case Data Removal status section on Case Summary removed and they will not have a Detail page
- For the Case Data Removal Reports, these cases will drop off from the next version of the reports (generated on the 11th business calendar date of each month), decreasing the overall record counts and total case counts

2.6 Data Deletion Process

The final removal of data associated to identified cases has been split into four separate batch jobs.

1) PDF Generation for Journals and Issuances
2) Removing NOAs and Forms
3) Removing Imaged documents
4) Remove case data

2.6.1 PDF Creation Batch Job - PB00P802

The PDF batch process will write each of the records for the Issuance and Journal History to a separate file for each case and store them to the file server. For cases that have historic information, these PDF files will be accessible on the Case Data Removal Detail page as hyperlinks. These hyperlinks will appear on the page after the case data deletion process has processed the case (reference section 2.3.3 for Batch Deletion Schedule). Further information and examples of each PDF type can be found below in section 2.6.

The initial steps of the Batch Deletion process are to check each case originally identified for deletion still meets the criteria. If so, the System will generate PDFs to capture any Journal and Issuance History prior to deleting any case data. If there is no data for the PDF in question (e.g., if no Issuance History exists for a case), then no PDF will be generated. The generation of each PDF file will be processed through a batch job (reference section 2.5.1.1 for the batch jobs) that will retrieve data from the following C-IV pages per PDF type.

2.6.1.1 Issuance History PDF

This PDF will retrieve the same data from the Issuance Search Detailed Results Page for every issuance record on that case. An example of the Issuance History PDF is shown below:

The County, Date Created, Case Number and Case Name will display at the top portion of the document for each file generated.

All data elements within the document are searchable using the 'Find' option within the PDF application, as shown above.

2.6.1.2 Journal History PDF

This PDF will retrieve the same data from the Journal Detail page results for each journal entry on that case. An example of the Journal History PDF is shown below:

The County, Date Created, Case Number and Case Name will display at the top portion of the document for each file generated.

2.6.1.3 History PDF Hyperlinks in the C-IV Application

The PDF files behind the hyperlink targets will be stored on the AWS S3 storage after the PB00P802 job completes per each case. Each file will be unique and will exclusively contain journal and issuance history data specific to the case processed. The file names, as created on the file storage, are generated as follows:

- journalEntry.pdf
- issuance.pdf

They are stored in the following folder structure:

- CasePurge/[county name]/[case_id]/journalEntry.pdf
- CasePurge/[county name]/[case_id]/issuance.pdf

The Journal and Issuance History PDF hyperlinks will display on the Case Data Removal Detail page if there is data to export from the C-IV database for the case. These hyperlinks will display in the application only after the case deletions batch process has completed for a given case. The following screenshot shows where each hyperlink will display on the Detail page.

2.6.2 Document Removal – PB00P804

The Document Removal batch job (PB00P804) will remove generated notice of actions (NOAs) and forms from the file management system passing in the identified set of cases. It considers records discovered by the Case Identification batch (PB00P804) that are not in either a "Complete" or "Overridden" status. This job will remove all generated NOAs and forms, with the following exceptions:

1) Retain all documents outlined under section 2.1.1.2, which describes what data remains in the shell case.
2) Retain all documents associated to a person who is associated to a case not eligible for case purge. This may occur when a person is associated to multiple cases in the SAWS system. A case is not considered eligible for case purge if:
   a. The case was not discovered by the Case Identification batch (PB00P800).
   b. The case has been overridden in the case purge process (a.k.a. that Case Purge status is set to "Override").

After removing all eligible documents, this job will update the Document Status on the associated case purge record to indicate that documents have been removed for the case by setting CASE_PURGE.DOC_STAT_IDENTIF = 'Y'.

A small percentage of documents this job attempts to remove from the file store will be unavailable, due to broken links between the database and the document. Two batch properties are used to set an error threshold, which allows for some broken links but will terminate the job if too many are missing (potentially indicating a connection issue with the file store):

1) maxErrorPercentage: Compare the number of records processed vs the number of records missing. If the percentage of number of records missing is greater than

the maxErrorPercentage, the job will terminate. The following property will make sure that the job won't terminate if the first case happens to be missing documents. This threshold is currently set to 5%.

2) minErrorCount: The minimum number of errors that occur before the job terminates. This sets an error threshold, where the job won't terminate until we reach the minimum number of errors. This threshold is currently set to 100 errors.

2.6.3 Image Removal – PB00P806

The Image Removal Job (PB00P806) removes all images associated to the case people eligible for the purge associated to the case.

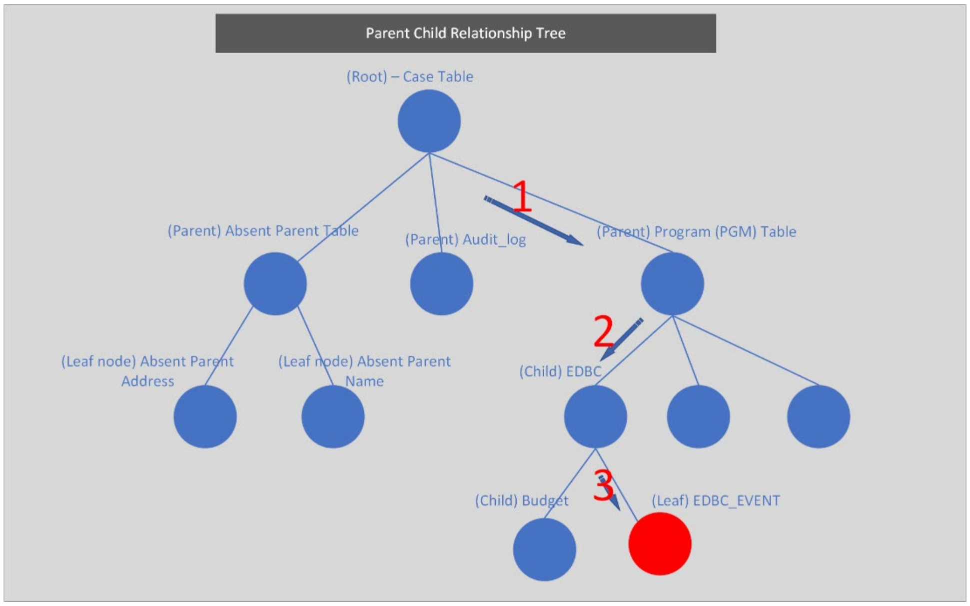
This job reports all Identified cases to the Imaging system that have neither been overridden or already reported to the Imaging server. The imaging system will then execute scripts (invoking third party software's APIs) to remove all images associated to the identified records. Time Limit documents are retained.

The Image Removal batch will also review the status of people and cases who were reported to the imaging system in prior runs. Once processed, this job will update the associated CASE_PURGE record with an IMG_STAT_IDENTIF of "Y" to signify that the image removal is complete.

2.6.4 Data Deletion Batch Job - PB00P801

Data Deletion is an Oracle procedure that physically deletes the data from the database tables for a given Case. The procedure uses configuration tables, defined in the below section, to traverse through the tree to find the leaf node, build the delete SQL statement based on the table key to uniquely identify the data, and execute the SQL statement to physically delete the data. Once the data is deleted from the table, it moves up in the hierarchy to find the next leaf and repeat the process.

The list of database tables that are identified for deletion is loaded into the configuration tables (described in detail in technical design document) with parent and child relationships and appropriate keys to identify unique data. The process reads the configuration tables and will traverse through the relationship to find the leaf node (lowest child). Once the leaf node is identified, it starts deleting the data and moves up the hierarchy until the data from parent table is deleted. An example of the parent and child relationship (tree structure) and traversing logic is defined in the following diagram.



The above diagram represents the parent and child relationship of database tables in a tree structure. This structure is used to traverse through the branches to find the children (leaf node) to start deleting the data. The highlighted steps in red describe how the deletion leaf node logic identifies the child tables at a high level.

1) When a Case is selected from the CASE_PURGE table, Program IDs associated to the Case are selected from the PGM table
2) Based on the Program ID, appropriate records from the EDBC table are selected
3) As we traverse through the EDBC tables, the EDBC_EVENT table is a leaf node, and hence the data from EDBC_EVENT table can be deleted
4) After deleting the data, the logic flow is moved up to find the next child and the leaf node

A new batch process (section 2.5.3) will be created to delete the case data from the database tables. This module will perform the following steps to remove the data:

- Once the Case is verified to still meet all the deletion criteria (section 2.5.1 batch job), the initial step of the PDF Generation batch job will update the Status to 'In Process' and the PDF creation module is called to create PDF files for Journal Entries and Issuance history data.
- Upon successful creation of PDFs, the data deletion module is called to delete the data from identified tables.
- Upon successful deletion of Case data, the process updates the Case Data Removal Status to 'Complete' and will begin processing the next Case for deletion.

2.6.4.1 Configuration table

The data deletion logic will be driven by two configuration tables. The first configuration table lists the immediate child of the root and the second table contains children of the parent and their level, as noted in section 2.6.4. The details of these tables are defined in the technical section 3 of this document.

2.6.4.2 Deletion Logging Mode

The batch deletion process will have an option to turn the deletion logging on or off by passing a parameter in the main batch job. When the logging mode is on, the data deletion module will start logging every action performed in the function, including table name where data is being deleted with the Case ID, Person ID and other key columns to identify a unique record in the table.

2.6.5 Batch Dependencies

The Case Deletion batch (PB00P801) must wait for the PDF Generation (PB00P802) and Document Deletion (PB00P804) to complete processing a case before it can move forward with removing that case's data. It does not wait on the Image Deletion (PB00P806) job. This allows the case data and image removal to occur in parallel.

2.6.6 Batch Process Load Balancing

The PDF creation, Document Deletion and Case Deletion processes each work in single modules. For the April 2021 C-IV run, there are approximately 1.78 million cases up for purge with their respective program records to be processed. Using a single flow to process this many cases will take a significant amount of time and is not feasible. To process a large volume of cases in a reasonable window, we have added a multi-threading capability for both the PDF creation and the case deletion modules.

The following batch properties are available to configure our multi-threading approach for the Case Delete (PB00P801), Generate PDFs (PB00P802) and Delete Documents (PB00P804) batch jobs:

1) restrictStatuses: Used in testing environments to limit which records are processed by the job. Normally, the job pulls all records where the status on the case purge record is set to either null or "N". When restrictStatuses=Y, the job will exclude any records where the status is null and instead only process records where the status is explicitly set to "N".
2) verbose: Adds additional logging that tracks which documents are removed and which documents are skipped, along with the skip reason. This property should be left off in production, since it results in much larger log files.
3) numOfThreads: This job employs multiple threads to allow for parallel processing. In test environments we default the thread count to 15, while in production we will default to 100.
4) max.workload.size: Since this job may run for millions of records, this property allows us to set the size of the "chunks" of data being considered at a given time. Increasing the size of the max workload will reduce the amount of time spent waiting for threads to complete, at the trade-off of increasing the amount of memory required to run the job.

2.6.7 Exception Logging

A standard batch framework is used to log all exceptions encountered in the data deletion process. These exceptions will be monitored as part of standard batch operations. Depending on the reason for the exception, Defects or Changes will be logged and tracked in Jira.

2.6.8 Batch Restart

Restartability for all jobs is managed by records inserted and updated in the CASE_PURGE table. Should a job terminate unexpectedly, it should be resubmitted with restart.mode=false. It will continue from the last commit of the previous run.

2.7 Case Completion Report

The Case Completion report lists all cases that have successfully completed the case purge process. It will display the following information:

Case Number: Case that has completed the case purge.
Case Name: Name associated to the Case.
Identification Date: The date the case was originally identified for the case purge process.
Completion date: Date that the case was purged from the system.

Navigation to the Report: Homepage > Reports > Scheduled > Case Activity > Title 'Case Data Removal Completion Report'

2.7.1 Batch Job

The PBxxR803 job will be run on-demand once the case deletion process is complete.

2.8 What's Next

Our planned timeline for the C-IV scheduling of these jobs are shown below. The Completion Report will be scheduled to run in Production after the final case has completed through Data Removal. Once all jobs have completed for C-IV Case Purge we will submit the BPCR's to deactivate each job.

The CalSAWS porting Epic for Case Purge includes a ten Sprint product timeline to modify and port in the original solution, with customizations made for the CalSAWS application and system.

The following is a list of pending scope that will be developed in the upcoming sprints. These sprints will focus on implementing the changes for CalSAWS.

Sprint #	Sprint Scope
Sprint 1	Case Summary and Data Removal Detail page updates, PDF's to S3 Storage from Alfresco
Sprint 2	Case Locking, Image View only
Sprint 3	Remove CalHEER's related tables, Add new EDBC/RA Rules to Identification Sweeps, PDF Character Limit increase
Sprint 4	Deletion Batch process for PGM_DETL and Child Tables, Case Data Removal Identification Report, PDF Configuration to S3
Sprint 5	Document Removal process, Re-Verification logic, YBN e-app logic to block transfers, History PDF Batch, Override Report
Sprint 6	Image Removal, CalSAWS PDF Generation process
Sprint 7	Time Limit Aid Summary page, Completion Report
Sprint 8	Disaster Recovery Document Deletion, OBIEE/EDR Cleanup for Delete Track, VLP
Sprint 9	Batch Performance Environment Preparation & Test Execution
Sprint 10	Performance Environment Preparation & Execution

3 TECHNICAL DESIGN

3.1 Delete Process

The case purge process is driven primarily off the CASE_PURGE and the CASE_PURGE_DEL_TABLE_CONF tables. The Case Purge table identifies the list of cases to be deleted from the C-IV database tables and the Case Purge Configuration table identifies the list of tables where case data will be deleted. The tables logical structure is as follows:

Case Purge table structure:

CASE_PURGE				
ID	NUMBER	NN	(PK)	(IX2)
CASE_ID	NUMBER	NN	(FK)	(AK0,IX6)
SELECT_DATE	DATE	NN		
START_DATE	DATE			(IX3)
COMPL_DATE	DATE			(IX4)
STAT_CODE	VARCHAR2 (3 Byte)			(IX5)
OVERRD_DATE	DATE			(IX8)
OVERRD_STAFF_ID	NUMBER		(FK)	(IX7)
OVERRD_RSN_CODE	VARCHAR2 (3 Byte)			(IX1)
CREATED_BY	VARCHAR2 (30 Byte)	NN		
UPDATED_BY	VARCHAR2 (30 Byte)	NN		
CREATED_ON	TIMESTAMP(6)	NN		
UPDATED_ON	TIMESTAMP(6)	NN		
ISSUANCE_FORMS_STAT_IDENTIF	VARCHAR2 (1 Byte)			
ISSUANCE_FORMS_URL	VARCHAR2 (500 Byte)			
JOURNAL_FORMS_STAT_IDENTIF	VARCHAR2 (1 Byte)			
JOURNAL_FORMS_URL	VARCHAR2 (500 Byte)			

CASE_PURGE_DEL_TABLE_CONF:

CASE_PURGE_DEL_TABLE_CONF	
TABLE_GRP	VARCHAR2 (50 Byte)
DEL_SEQ	INTEGER
PARENT_TABLE	VARCHAR2 (50 Byte)
CHILD_TABLE	VARCHAR2 (50 Byte)
DML_ACTION	VARCHAR2 (2 Byte)
FOREIGN_KEY	VARCHAR2 (50 Byte)
CHILD_TABLE_KEY	VARCHAR2 (50 Byte)
DML_QUERY	VARCHAR2 (500 Byte)

As part of the deletion process, two batch jobs (PB00P801 and PB00P802) along with a PL/SQL stored procedure have been developed, as defined in section 2.5.1 and 2.5.2. The batch job (PB00P801) picks up all the cases that are identified for deletion (CASE_PURGE) and calls the PL/SQL stored procedure for each case to delete the case/person data from the database tables. The procedure uses the configuration table, list of tables where case/person data can be deleted, to drive the deletion process as defined in section 2.5.

The attached spreadsheet contains two tab pages – Delete Tables and Do not Delete Tables. The first tab page contains list of tables configured in CASE_PURGE_DEL_TABLE_CONF table for data deletion. The second tab page contains the list of tables where case/person data will be retained. For example – Time tracking data.

Delete Tables.xlsx

To support the deletion process we have created a series of DBCR's to perform On Delete Set to Null value operations for the following tables:

- On Delete Set EXPNGMNT_ID to Null on ISSUANCE table
- On Delete set ISSUANCE_ID to NULL on ISSUANCE table
- On Delete set RELATED_TRANSACT_ID to NULL on RECOV_ACCT_TRANSACT table
- On Delete set PGM_PERS_ID to Null on TIME_LIMIT_DETL table
- On Delete set TEMP_EDBC_SRC_PGM_ID to Null on PGM table
- On Delete set PGM_ID to Null on GENERATE_DOC table
- On Delete set SERV_ARRGMT_ID to Null on GENERATE_DOC table

To break the CalHEER's linkage to purged cases we are deleting from the following list of tables, per CalHEER's Design and Development Teams:

- ICT_CIV_CASE
- ICT_CIV_PERS
- CH_TRANSACT_INFO
- CH_CASE_INFO

3.2 Stage Document Utility

Testing environments do not include copies of forms and NOAs from the production environment. References to forms and documents stored in GENERATE_DOC end up as broken links since the documents don't exist in the testing file management system.

The Stage Documents Utility (PB00P805) will resolve these broken links by mocking files in the testing file management system. This ultimately allows for more accurate testing of the Document Removal batch (PB00P804).

The Stage Documents utility is also capable of storing mocked image files for the ImageNow system. You can control whether mocked forms or mocked images are generated with the following batch properties:

1) generateDocuments: Set to "Y" if you would like to generate documents.
2) generateImages: Set to "Y" if you would like to generate images.

Generating images also requires setting the following property:

1) sampleImagePath: The filepath of a sample .TIF image file. Note: it is best to keep the filesize of this image relatively small, since the job will generate several thousand copies of the image.

The Stage Documents Utility will identify all generated documents for a given case ID. Case IDs can be provided to the utility in two ways:

1) caseId: Set this property to match a single case ID which contains documents you would like to mock.
2) caseListPath: You may provide a list of Case IDs to feed into the utility by employing the caseListPath property. First, you need to create a text file that contains all the case IDs you would like to mock with each case ID on its own line. You'll need to upload this file to the batch server, then provide the file's path as the caseListPath parameter. For example: caseListPath=" /export/batch/scripts/CaseList.txt".

Mocked files will appear on the testing file management system under the casePurge/mockedForms. Mocked images will appear under the server's output_agent directory under eict_import.

Note: This utility cannot (and should not) be run in production. All batch properties associated to this job have been labeled as test properties, which prevents the job's execution on production batch servers.

4 REQUIREMENTS

4.1 Project Requirements

DDID	Description	Notes
CIV-105446	Monthly Batch job - case data removal – Discontinued / Inactive cases.	The scope of this DDID is covered in SCR-107763.
CA-208415	Monthly Batch job - case data removal - Discontinued / Inactive cases.	

5 MIGRATION IMPACTS

It was determined to start with building a C-IV Case Data Removal process first, due to the large amount of data that would get removed from that database. Deletion of a large amount of data will help with the conversion cutover window when C-IV migrates to CalSAWS. The current timeline of the planned Sprints has been confirmed to dovetail nicely with the Conversion timeline.

6 SUPPORTING DOCUMENTS

Number	Functional Area	Description	Attachment
107763	SCR	Create Case Data Removal Functionality	
107825	SCR	Implement Case Data Removal Sprint 1 Features	
107834	SCR	Implement Case Data Removal Sprint 2 Features	
107924	SCR	Implement Case Data Removal Sprint 3 Features	
107957	SCR	Implement Case Data Removal Sprint 4 Features	

108104	SCR	Implement Case Data Removal Sprint 5 Features	
108106	SCR	Implement Case Data Removal Sprint 6 Features	
108107	SCR	Implement Case Data Removal Sprint 7 Features	
108108		Implement Case Data Removal Sprint 8 Features	
108109	SCR	Implement Case Data Removal Sprint 9 Features	
108110	SCR	Implement Case Data Removal Sprint 10 Features	
108111	SCR	Implement Case Data Removal Sprint 11 Features	
108215	SCR	Data Change - Sutter County - Override 2014 cases from data removal per Board of Supervisors Decision	
220458	SCR (CalSAWS)	Create CASE_PURGE table and Codes Table references to align with C-IV	
224147	SCR (CalSAWS)	Update CASE_PURGE table to include deletion status fields for documents and images to align with C-IV	
108554	SCR	Tehama County - Data Retention Flag Due to Opioid Litigation	
108616	SCR	Case Data Removal Sprint 9 On Delete Set Null CR's	
108630	SCR	Case Data Removal Sprint 10 On Delete Set Null CR's	
CA 229298	SCR (CalSAWS)	Port Case Data Removal Functionality into CalSAWS	
CA 229300	SCR (CalSAWS)	Implement CalSAWS Case Data Removal Functionality Sprint 1	
CA 229302	SCR (CalSAWS)	Implement CalSAWS Case Data Removal Functionality Sprint 2	

CA 229301	SCR (CalSAWS)	Implement CalSAWS Case Data Removal Functionality Sprint 3	
CA 229303	SCR (CalSAWS)	Implement CalSAWS Case Data Removal Functionality Sprint 4	
CA 229305	SCR (CalSAWS)	Implement CalSAWS Case Data Removal Functionality Sprint 5	
CA 229306	SCR (CalSAWS)	Implement CalSAWS Case Data Removal Functionality Sprint 6	
CA 229308	SCR (CalSAWS)	Implement CalSAWS Case Data Removal Functionality Sprint 7	
CA 229309	SCR (CalSAWS)	Implement CalSAWS Case Data Removal Functionality Sprint 8	
CA 235667	SCR (CalSAWS)	Implement CalSAWS Case Data Removal Functionality Sprint 9	
CA 235669	SCR (CalSAWS)	Implement CalSAWS Case Data Removal Functionality Sprint 10	

CalSAWS

California Statewide Automated Welfare System

Design Document

CA-233077

Add a notice to the Security Assignment page when specific Security Groups are added to a user

CalSAWS	DOCUMENT APPROVAL HISTORY	
	Prepared By	Franchine Ninh
	Reviewed By	Naga Chinduluru, Shilpa Suddavanda, William Baretsky

DATE	DOCUMENT VERSION	REVISION DESCRIPTION	AUTHOR
09/30/2021	1.0	Initial Draft	Franchine Ninh
10/27/2021	2.0	BA Review – Updated Mockups	Franchine Ninh

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3.1 Project Requirements 8

1 OVERVIEW

1.1 Current Design

There are specific security groups that restrict functionality and content in the CalSAWS system. It is not universally known which security groups do this. Informing the user when a security group limits system functionality allows the user to know and understand the full context of the security assignment.

1.2 Requests

Display a notification when a user assigns a security group that restricts functionality in the CalSAWS system to a Staff member.

1.3 Overview of Recommendations

1. Update the Security Assignment page to display a notification regarding restricted functionality when a user is assigning one of the following security groups to a Staff Record:
    a. Collaborator
    b. Contracted Staff - Work Registration Volunteer
    c. Contracted Staff - Non-Compliance
    d. Contracted Staff - Issuance Approve
    e. Housing Authority

1.4 Assumptions

1. Fields not modified within the description of changes will retain their current functionality.

2 RECOMMENDATIONS

2.1 Security Assignment

2.1.1 Overview

The Security Assignment page allows a user to add and remove staff security rights in the system. Update the page to display a notification regarding limited functionality when a user is adding specific security groups to a Staff record in Edit mode.

2.1.2 Security Assignment Mockup

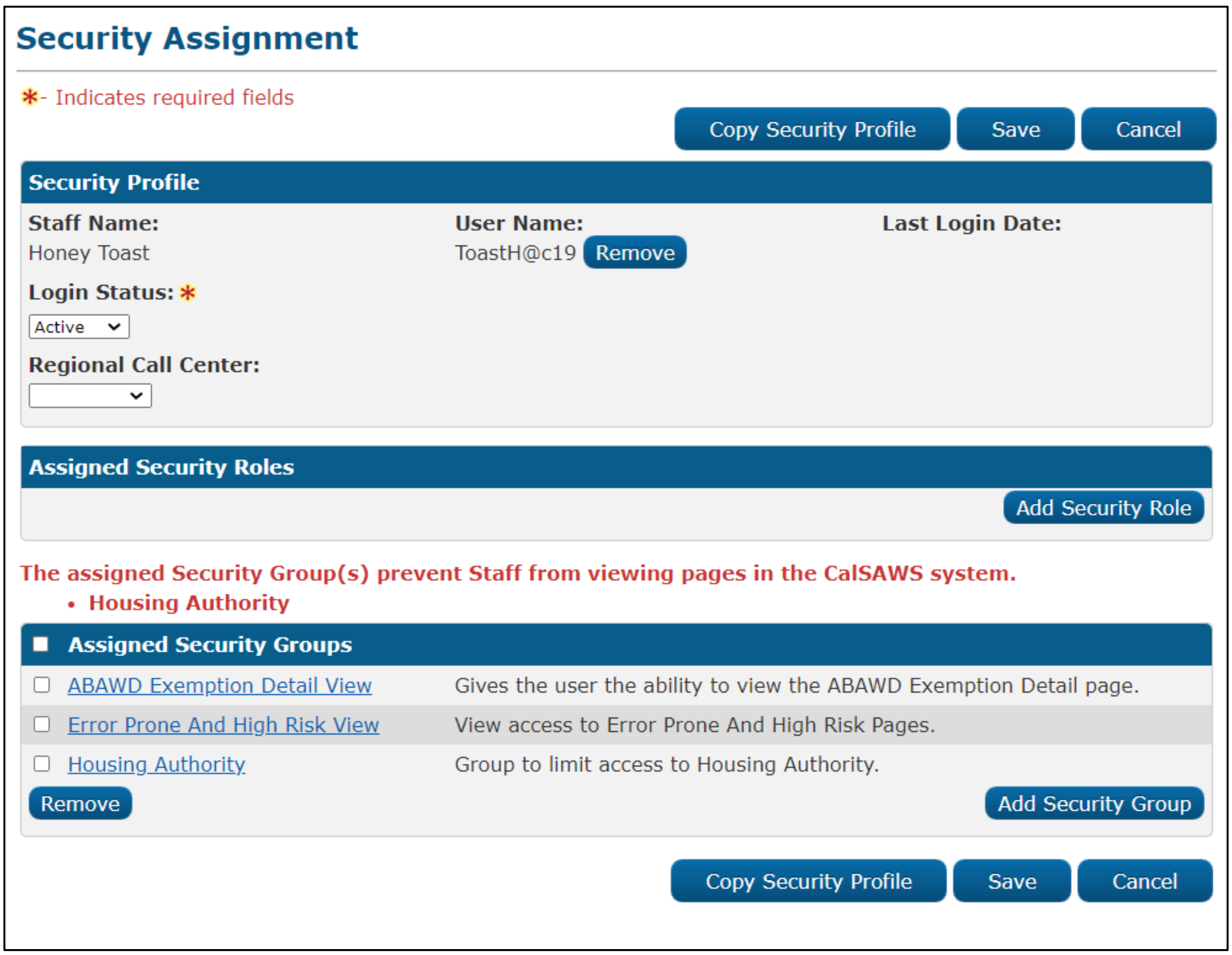

Figure 2.1.2.1 - Security Assignment Notification 1 Listed Security Group Mockup

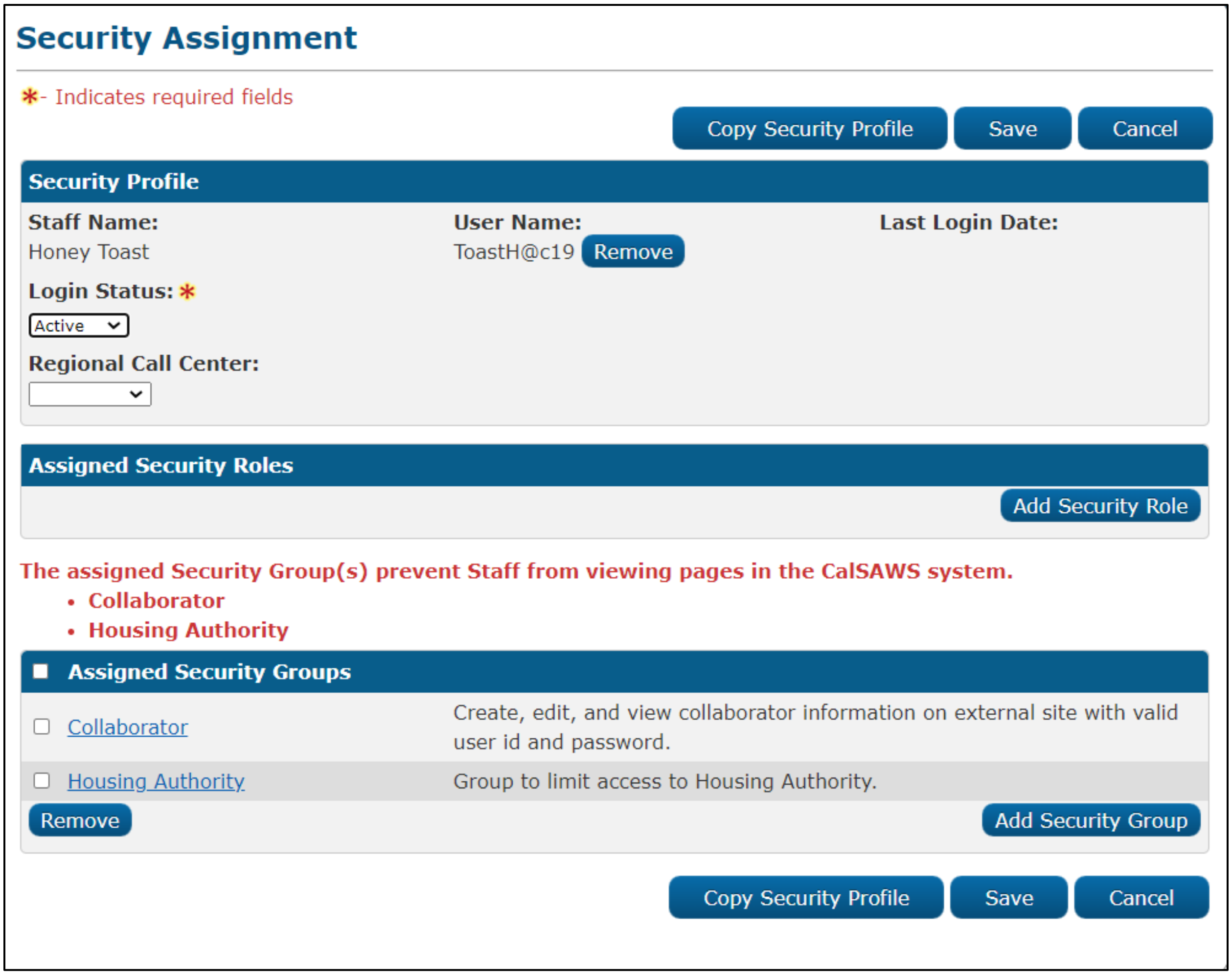

Figure 2.1.2.2 - Security Assignment Notification Multiple Listed Security Group Mockup

2.1.3 Description of Changes

1. Display the below notification message when one of below Security Groups is selected in the Assigned Security Groups section. This is to notify the user that system functionality is limited when any of the below Security Groups is assigned to a Staff member. This notification will only display if one of the below Security Groups is selected in the Assigned Security Groups section and the page is in Edit mode. Once the 'Save' button is clicked the notification will no longer appear.
    a. Notification message
        i. "The assigned Security Group(s) prevent Staff from viewing pages in the CalSAWS system.
            - <Security Group>
            - <Security Group>
            - …"
    b. Security Groups
        i. Collaborator
        ii. Contracted Staff - Work Registration Volunteer

    iii. Contracted Staff - Non-Compliance
    iv. Contracted Staff - Issuance Approve
    v. Housing Authority

2.1.4 Page Location

- **Global: Admin Tools**
- **Local: Office Admin**
- **Task: Staff**

2.1.5 Security Updates

N/A

2.1.6 Page Mapping

N/A

2.1.7 Page Usage/Data Volume Impacts

N/A

2.2 Automated Regression Test

2.2.1 Overview

Create new automated regression test scripts to verify the validation message displayed when an applicable security right is being added to an existing Staff record on the Security Assignment Detail page in Edit mode.

2.2.2 Description of Changes

1. Create one or more new regression scripts to verify the validation message displays when adding each of the following Security Groups to an existing Staff record that did not previously have these groups assigned:
    a. Collaborator
    b. Contracted Staff - Work Registration Volunteer
    c. Contracted Staff - Non-Compliance
    d. Contracted Staff - Issuance Approve
    e. Housing Authority
2. Create one or more new regression scripts to verify the validation message does not display when adding at least one other Security Group (not mentioned in #1 above) to an existing Staff record.

3 REQUIREMENTS

3.1 Project Requirements

REQ #	REQUIREMENT TEXT	How Requirement Met
3.4.1.5.1	1. The LRS shall be capable of notifying COUNTY-specified Users, such as CSOs, when a User s security profile has been changed a COUNTY-specified number of times within a COUNTY-specified time period.	User receives a notification when a Staff member is assigned a security group that limits system functionality.

CalSAWS

California Statewide Automated Welfare System

Design Document

CA-234795

Update CF PACF Determination Based on Non-Managed GA Status

CalSAWS	DOCUMENT APPROVAL HISTORY	
	Prepared By	Yale Yee, Lena Lam
	Reviewed By	Caroline Bui

DATE	DOCUMENT VERSION	REVISION DESCRIPTION	AUTHOR
11/17/2021	1.0	Initial Document	Yale Yee

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1 OVERVIEW

Eligible CF household members are considered in receipt of Public Assistance from Non-Managed General Assistance (GA) when their Non-Managed GA program status is not Active.

1.1 Current Design

When running a CalFresh EDBC, eligible CF household members are considered in receipt of Public Assistance when their Non-Managed GA program status is not Denied or Discontinued.

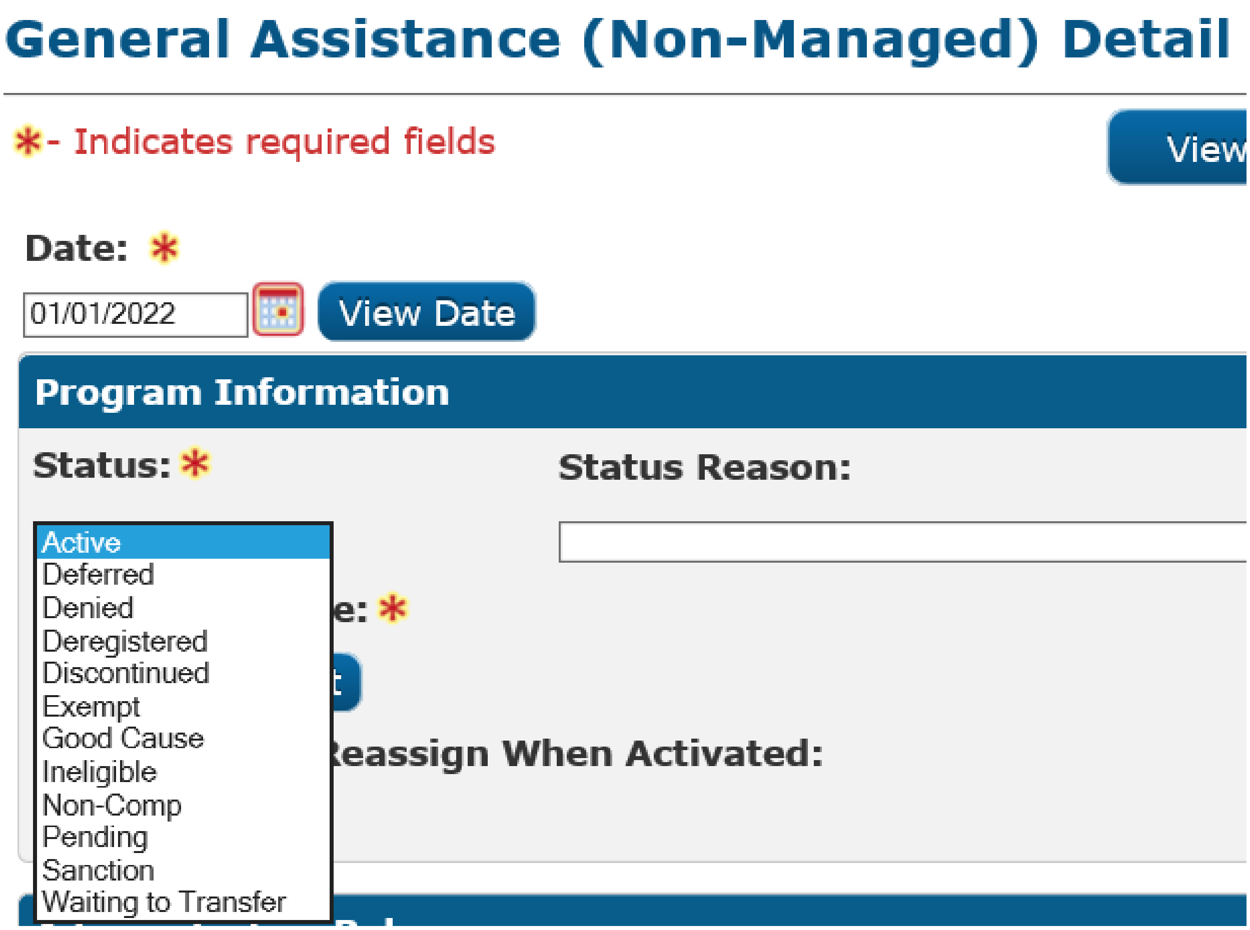

Figure 1.1.1 – General Assistance (Non-Managed) Statuses

1.2 Requests

When running a CalFresh EDBC, eligible CF household members will be considered in receipt of Public Assistance when their Non-Managed GA program status is 'Active' .

1.3 Overview of Recommendations

1. Update CalFresh EDBC to determine eligible CF household members to be in receipt of Public Assistance when their Non-Managed GA program status is 'Active'.

1.4 Assumptions

- These changes do not impact LA County.
- An Other Program Assistance (OPA) of GA is considered when determining eligibility in a CF EDBC.

2 RECOMMENDATIONS

2.1 Update CalFresh EDBC when determining Public Assistance

2.1.1 Overview

The CalFresh EDBC determines eligible CF household members to be in receipt of Public Assistance when their Non-Managed GA program status is 'Active'.

2.1.2 Description of Changes

1. Update CalFresh EDBC to determine eligible CF household members to be in receipt of Public Assistance when their Non-Managed GA program status is 'Active'.

Note: This change is for converted C-IV counties only.

2.1.3 Programs Impacted

CalFresh

2.1.4 Performance Impacts

N/A

2.2 Automated Regression Test

2.2.1 Overview

Create new ART scripts to confirm the following changes.

2.2.2 Description of Changes

1. Create a CF case with an Active Non-Managed GA program. Running CF EDBC will consider the case as receiving Public Assistance.

CalSAWS

California Statewide Automated Welfare System

Design Document

CA-235963: MEDS Alerts for Postpartum Care Extension

CalSAWS	DOCUMENT APPROVAL HISTORY	
	Prepared By	Jennifer Muna
	Reviewed By	Nina Butler

DATE	DOCUMENT VERSION	REVISION DESCRIPTION	AUTHOR
12/18/2021	1.0	Initial version	Jennifer Muna

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1 OVERVIEW

This SCR outlines the necessary modifications for MEDS Alerts for Postpartum Care Extension (PCE).

1.1 Current Design

CalSAWS currently does not display MEDS Alert for Postpartum Care Extension on the MEDS Alert Search page and MEDS Alert Admin page. These alerts are sent from MEDS to notify workers of the status of an individual's PCE period.

1.2 Requests

Add new MEDS Alert for PCE to display on the MEDS Alert Search page and MEDS Alert Admin page in CalSAWS.

1.3 Overview of Recommendations

1. Add new MEDS Alerts for PCE (effective April 2022) to display on the MEDS Alert Search page and MEDS Alert Admin page in CalSAWS.
2. Update existing MEDS Alert (9504) Alert Type and description.
3. Update Postpartum aid code (76) description.

1.4 Assumptions

1. The Task Information panel will have an initial Status of 'Inactive' on the MEDS Alert Admin page. If the County activates the Task Information panel, they can complete the configuration options for the Task processing. A page validation will also require the county to select a Task Type to be used.

2 RECOMMENDATIONS

2.1 Add New MEDS Alerts for PCE

2.1.1 Overview

This section outlines the necessary updates to add new MEDS Alerts (effective April 2022) in the CalSAWS system to notify workers of the status of an individual's PCE period and to take appropriate action to the case.

2.1.2 Description of Change

1. Add new MEDS Alert for PCE (effective April 2022 benefit month) for 9th and 10th month Renewal WA (M Series and 76 aid code) with the following details:
    a. Alert ID (External Number): 9592
    b. Internal Number (System use only): 0833
    c. Alert Description (Title Description): POSTPARTUM PERIOD EXPIRING – REVIEW NEEDED
    d. Alert Type: ACTION
    e. Text Description: The client is within either 60 or 90 days of completion of the 365-day postpartum period based on the Expected Delivery Date (EDD) field.
    f. Action Description: Review the EDD field for the correct pregnancy end date.

2. Add new MEDS Alert for PCE (effective April 2022 benefit month) for 12th month Renewal WA (M Series and 76 aid code) with the following details:
    a. Alert ID (External Number): 9593
    b. Internal Number (System use only): 0834
    c. Alert Description (Title Description): POSTPARTUM EXPIRED – EVALUATION FOR ONGOING ELIG OVERDUE
    d. Alert Type: URGENT
    e. Text Description: The client has completed the 365-day postpartum period.
    f. Action Description: Review the Expected Delivery Date and either terminate the eligibility or continue the eligibility in a postpartum only aid code by correcting the EDD, or in a non-postpartum aid code, reevaluate for continuing eligibility for the aid code.

3. Add new MEDS Alert for PCE (effective April 2022 benefit month) for 9th and 10th month Renewal WA (MCAP) with the following details:
    a. Alert ID (External Number): 9594

b. Internal Number (System use only): 0835
c. Alert Description (Title Description): ARPA EXTENSION EXPIRING – REEVALUATION NEEDED
d. Alert Type: ACTION
e. Text Description: The 365- day postpartum coverage period is set to end in 60 days. A redetermination must be completed to evaluate for other Medi-Cal Program eligibility or other Insurance Affordability Programs (IAP) through Covered California.
f. Action Description: Begin redetermination process. If the upcoming Transition Expiration Date is the Annual Eligibility Redetermination date, receipt of Annual Eligibility Redetermination (AER) documents is expected.

4. Add new MEDS Alert for PCE (effective April 2022 benefit month) for 12th month Renewal WA (MCAP) with the following details:
    a. Alert ID (External Number): 9595
    b. Internal Number (System use only): 0836
    c. Alert Description (Title Description): POSTPARTUM EXCEEDED TWELVE MONTHS - ELIG TERMINATED BY MEDS
    d. Alert Type: PRI-ALT
    e. Text Description: For the 365-Day Postpartum Program, renewal checked to determine whether the recipient has already received twelve months of postpartum eligibility. If the recipient has, and the county has not terminated eligibility, MEDS will terminate eligibility, post a "PP" in the "TERM-REAS" field.
    f. Action Description: The County should ensure that proper notices have been sent and determine if the recipient is eligible for another Medi-Cal program.
5. Update existing MEDS alert (9504 – ELIGIBILITY REDETERMINATION DUE) with the following:
    a. Alert Type: PRIORITY
    b. Text Description: Recipient's eligibility is due to be redetermined one month from now.
    c. Action Description: Begin redetermination process.

2.2 Update Description for Postpartum Aid Code

2.2.1 Overview

This section outlines the necessary modifications to the existing aid code (76) description for Postpartum.

2.2.2 Description of Change

1. Update CT184 code num identif '76' description to the following:
    a. Short Decode Name: 76 – Postpartum
    b. Long Decode Name: Postpartum – Pregnancy Related Services

3 REQUIREMENTS

3.1 Project Requirements

REQ #	REQUIREMENT TEXT	How Requirement Met
2.19.1.5	The LRS shall allow COUNTY-specified Users to access alerts, reminders, and controls by using the following criteria in order to initiate a search: a. All alerts, reminders, and controls on a case or a file; b. A specified due date or a range of due dates; c. Type of alert, reminder, or control; and d. Status of alert, reminder, or control.	Add new MEDS Alert to CalSAWS System to notify workers of changes in a recipient's PCE period and to take appropriate action. The new MEDS Alert will display on the MEDS Alert Search page and MEDS Alert Admin page.

CalSAWS

California Statewide Automated Welfare System

SCR CA-237959

Integration of Spring Boot services with AWS Secrets Manager

CalSAWS	DOCUMENT APPROVAL HISTORY	
	Prepared By	Jonathan Goldsmith
	Reviewed By	

DATE	DOCUMENT VERSION	REVISION DESCRIPTION	AUTHOR
1/03/2022	1.0	Initial Revision	

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1 OVERVIEW

1.1 Current Design

The current CalSAWS spring boot applications (microservices) have embedded (hard-coded) database credentials listed in one or more application configuration files. These credentials are loaded, evaluated and decrypted during application startup to establish a database connection. The configuration files also contain other secrets for other services like the messaging queue.

1.2 Requests

Investigate the CalSAWS spring boot applications for updates required to fetch database passwords from from AWS Secrets Manager.

1.3 Assumptions

2 RECOMMENDATIONS

2.1 Secret Manager Entry for Database Passwords

A new secret manger entry should be created for each environment database. This entry will contain the current database credentials needed for the application to connect to the corresponding environment database.

Secret Name Environment Format:

/oracle/sm/{applicationName}/{environmentName}/{dbUserOrProfile}

Example Secret Manager entry for Email Webservice AT1 environment:

Secret Name:

/oracle/sm/email-service/at1/online

Secret Value:

```
{
 "user":  "at1_online"
  "pwd":  "mypassword
}
```

Technical Note:

Database passwords in AWS Secret Manager will be updated every 30 days.

2.2 Update Spring Boot applications to support reading AWS Secret Manager entries

2.2.1 Current approach

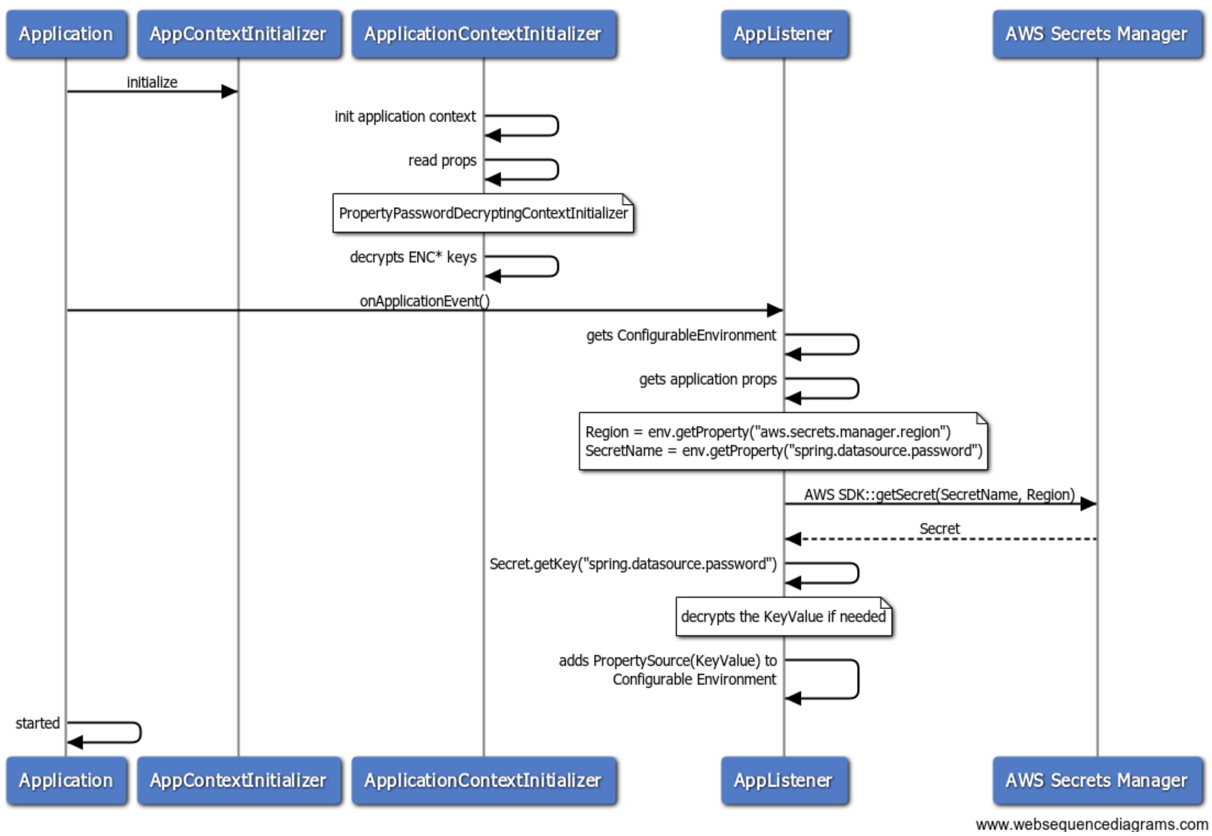
The current CalSAWS spring boot applications (microservices) have embedded (hard-coded) DB credentials listed in one or more application configuration files. These credentials are loaded, evaluated and decrypted during application startup to establish a database connection. The configuration files also contain other secrets for other services like the messaging queue.

2.2.2 Approach

Update to PropertyPasswordDecryptingContextInitializer by registering a new encryption Implementations

Reference: **ca_arch/ca-architecure-core/ net.calsaws.architecture.utility.PropertyPasswordDecryptingContextInitializerIntegrationTest**

Use of Application Listener

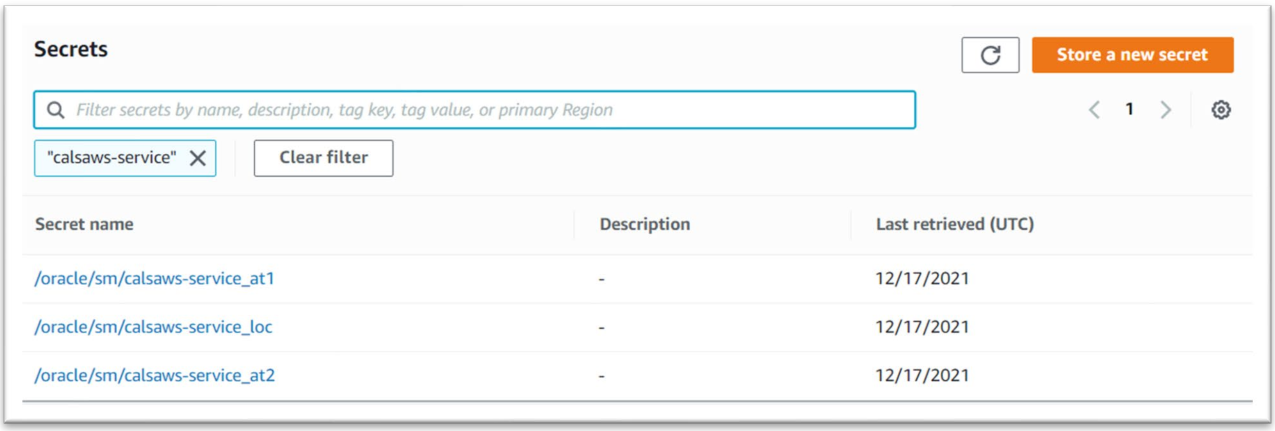


The sequence diagram above highlights the interaction of the AppListener to the ConfigurableEnvironment object that's being prepared and the access to AWS Secrets Manager via AWS SDK. The listener also performs additional check if the value of the key(password) needs to be decrypted using the current logic from PasswordEncryptor class.

In order for the AppListener to work, we need to setup secrets and update yaml file.

Secrets

The sample naming convention below corresponds to the database type, source of the secret, the application name and environment name. The secret corresponds to a specific key in the spring boot configuration file. The secret contains Key/value pair for the encrypted or raw password. The value is basically the hard-coded text from the config file.



application.yaml

The hard-coded secret like the spring.datasource.password in the config file should map to a Secret name and should be wrapped around AWSSM(<secret name>) to tell the Application Listener to retrieve it from the secrets manager

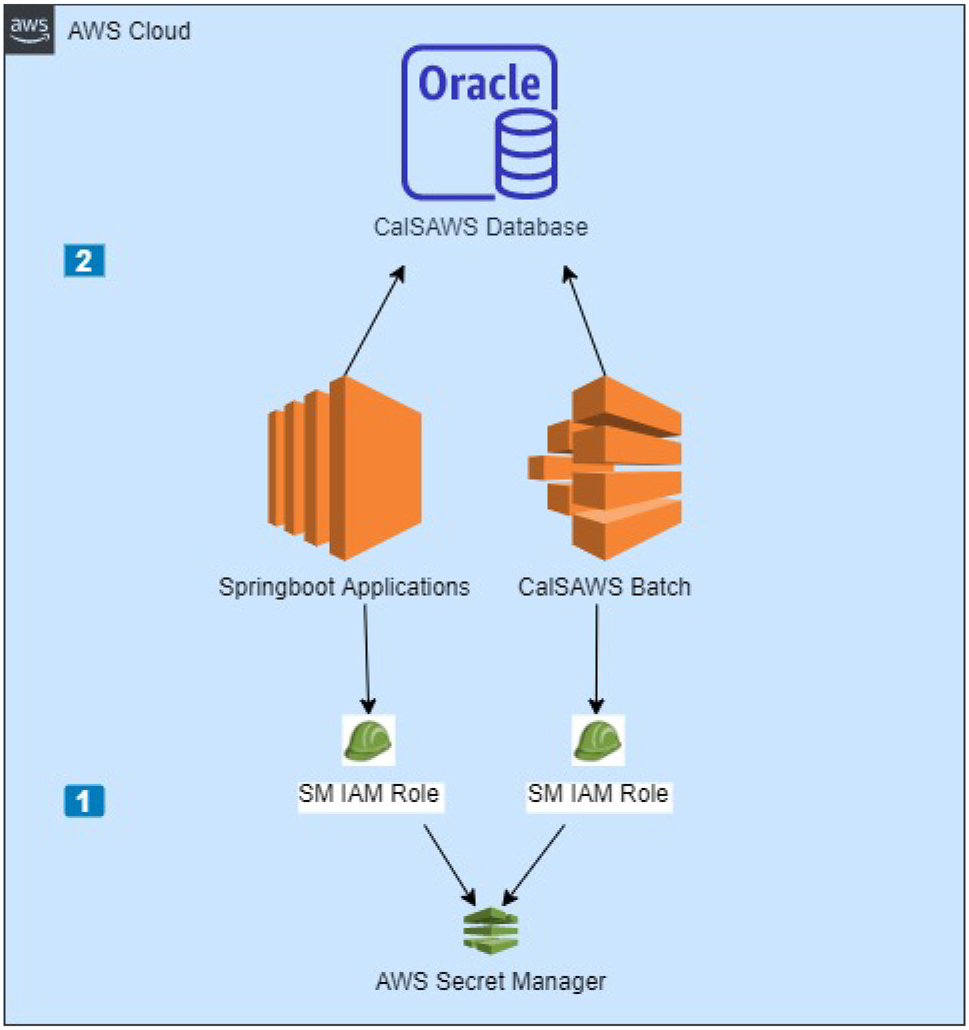
```
spring.profiles: at1
spring.profiles.include: appdev
environment.name: at1
environment.name.group: dev
spring.datasource.password: AWSSM(/oracle/sm/calsaws-service_at1)
---
spring.profiles: at2
spring.profiles.include: appdev
environment.name: at2
environment.name.group: dev

spring.datasource.password: AWSSM(/oracle/sm/calsaws-service_at2)
---
```

Update PropertyPasswordDecryptingContextInitializer

There's an attempt to use Secrets Manager by simply registering another encryption implementation. This is implementation is under "net.calsaws.architecture.utility.SecretsManagerPasswordEncryptor" class. The class invocation happens in the PropertyPasswordDecryptingContextInitializer and the appropriate password provided is selected based on the prefix of the property. If the property starts with ENC*, PasswordEncryptor is used. When the property starts with AWSSM*, then it's SecretsManagerPasswordEncryptor to provide the secret.

The hard-coded password in the property file should map to a Secret name and should be wrapped around AWSSM(<secret name>) to tell the Application Listener to retrieve it from the secrets manager.

3 APPENDIX



1	CalSAWS Batch & Springboot applications will retrieve database credentials from secret manager using a resource based IAM role.
2	CalSAWS Batch & Springboot applications will use the credentials retrieved from Secret Manager when talking to the database.

CalSAWS

California Statewide Automated Welfare System

SCR CA-238754

CalSAWS Application Secrets Manager Integration

CalSAWS	DOCUMENT APPROVAL HISTORY	
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	Reviewed By	

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1 OVERVIEW

1.1 Current Design

CalSAWS Online Weblogic app servers use Data Source configuration, which stores the DB password in an encrypted format. The CalSAWS Batch framework uses property files to store the DB password in an encrypted format. The database passwords are currently not rotated.

1.2 Requests

Update the CalSAWS application framework to support fetching database passwords from from AWS Secrets Manager.

1.3 Assumptions

2 RECOMMENDATIONS

2.1 Secret Manager Entry for Database Passwords

A new secret manger entry should be created for each environment database. This entry will contain the current database credentials needed for the application to connect to the corresponding environment database.

Secret Name Environment Format:

/oracle/sm/{applicationName}/{environmentName}/{dbUserOrProfile}

Example Secret Manager entry for CalSAWS Online AT1 environment:

Secret Name:

/oracle/sm/calsaws-app/at1/online

Secret Value:

```
{
 “user”:  “at1_online”
  “pwd”:  “mypassword
}
```

2.2 Online Weblogic Data Souce script

2.2.1 Current approach

Currently the Online Weblogic Data Source is manually set through the Weblogic console.

2.2.2 Approach

Create a new script to update the Online Weblogic data source password whenever it is changed. An example would be a script that can pull the database password from AWS Secret Manager and then call a Weblogic WLST script to update the Online Weblogic Data Source with the new password.

2.3 Update Spring Boot applications to support reading AWS Secret Manager entries

2.3.1 Current approach

The current CalSAWS spring boot applications (microservices) have embedded (hard-coded) DB credentials listed in one or more application configuration files. These credentials are loaded, evaluated and decrypted during application startup to establish a database connection. The configuration files also contain other secrets for other services like the messaging queue.

2.4 Update Batch framework to support reading AWS Secret Manager entries

2.4.1 Current Approach

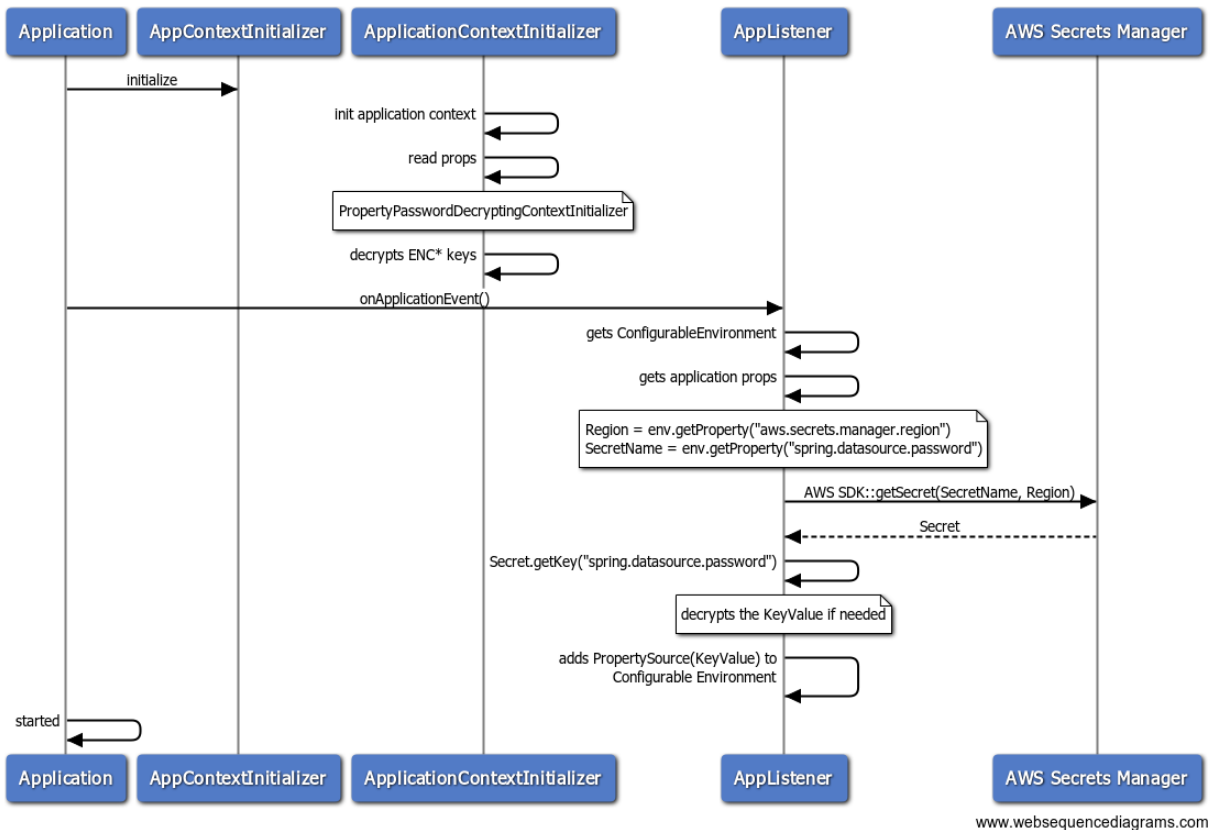
The CalSAWS Batch framework currently have embedded (hard-coded) DB credentials listed in one or more property files. These credentials are loaded, evaluated and decrypted during batch startup/execution to establish a database connection.

2.4.2 Approach

Update to PropertyPasswordDecryptingContextInitializer by registering a new encryption Implementations

Reference: **ca_arch/ca-architecure-core/ net.calsaws.architecture.utility.PropertyPasswordDecryptingContextInitializerIntegrationTest**

Use of Application Listener

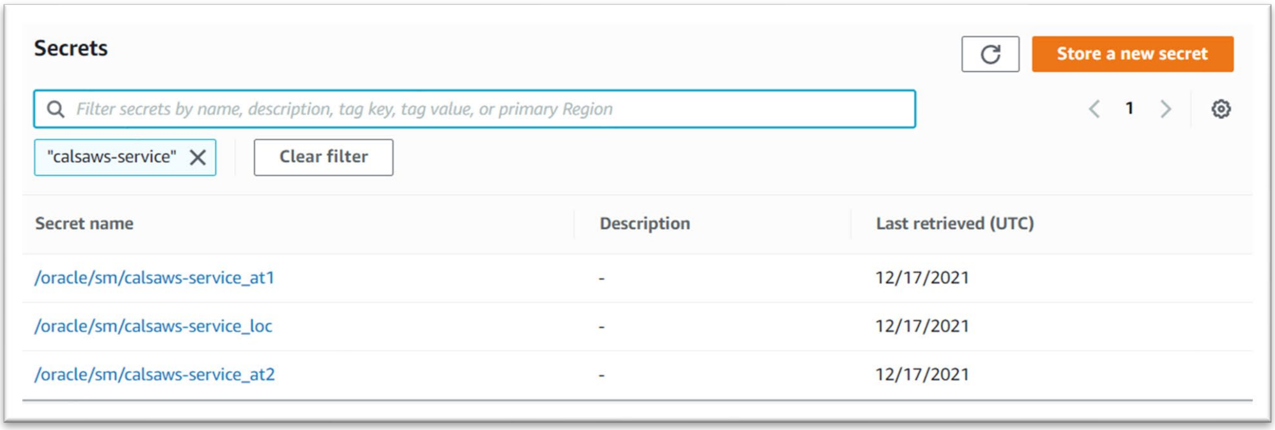


The sequence diagram above highlights the interaction of the AppListener to the ConfigurableEnvironment object that's being prepared and the access to AWS Secrets Manager via AWS SDK. The listener also performs additional check if the value of the key(password) needs to be decrypted using the current logic from PasswordEncryptor class.

In order for the AppListener to work, we need to setup secrets and update yaml file.

Secrets

The sample naming convention below corresponds to the database type, source of the secret, the application name and environment name. The secret corresponds to a specific key in the spring boot configuration file. The secret contains Key/value pair for the encrypted or raw password. The value is basically the hard-coded text from the config file.



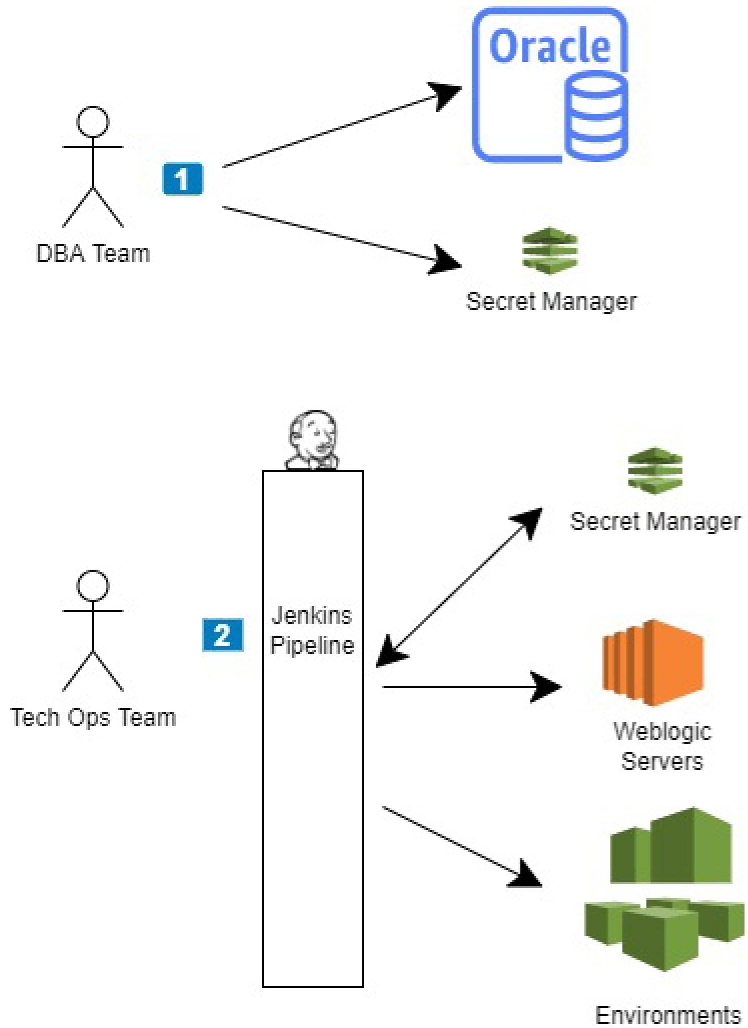
Properties Files (Architecture, Batch, etc)

The hard-coded secret like the batch database password in the properties file should map to a Secret name and should be wrapped around AWSSM(<secret name>) to tell the Application Listener to retrieve it from the secrets manager

Update PropertyPasswordDecryptingContextInitializer

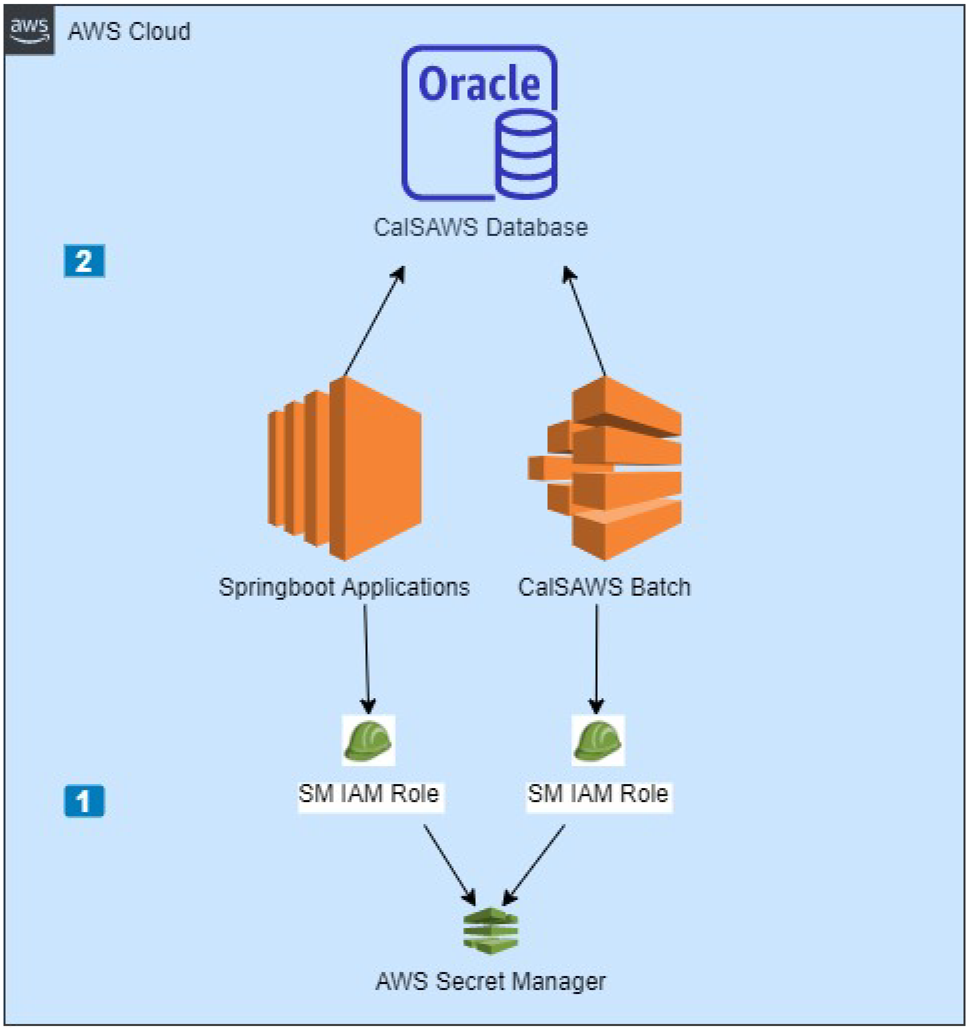
There's an attempt to use Secrets Manager by simply registering another encryption implementation. This is implementation is under "net.calsaws.architecture.utility.SecretsManagerPasswordEncryptor" class. The class invocation happens in the PropertyPasswordDecryptingContextInitializer and the appropriate password provided is selected based on the prefix of the property. If the property starts with ENC*, PasswordEncryptor is used. When the property starts with AWSSM*, then it's SecretsManagerPasswordEncryptor to provide the secret.

2.5 Operations flow for updating passwords



1) DBA Team will update the new passwords in the Oracle Database and then update the secret manager entries for each of the corresponding database credentials.
2) Tech Ops team will then run a new Jenkins pipeline task that will retrieve the database credentials from secret manager and update the Weblogic datasource for each of the new credentials. Then the Jenkins pipeline will restart all environment applications.

3 APPENDIX



CalSAWS Batch & Springboot applications will retrieve database credentials from secret manager using a resource based IAM role.

CalSAWS Batch & Springboot applications will use the credentials retrieved from Secret Manager when talking to the database.