

CalSAWS

California Statewide Automated Welfare System

Design Document

Multiple DDIDs

CA 214027 – Security and Auditing

CalSAWS	DOCUMENT APPROVAL HISTORY	
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1 OVERVIEW

1.1 Requests

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

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

The options available at point of scanning are implemented and documented in CA-214172 (Multi, Import, Virtual Capture) and CA-214030 (Capture Single and Barcode Detection).

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

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

The CONTRACTOR shall enable the following scan modes for SIU:

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

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

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

- 1) Case Number
- 2) Case Name

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

The CONTRACTOR shall enable the following scan modes for Hearings:

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

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

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

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

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

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

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

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

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

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

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

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

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

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

- 1) Case Number
- 2) Case Name
- 3) Document Type
- 4) Applicable Date
- 5) Received Date
- 6) Form Name
- 7) Form Number
- 8) Person Name - Only for person level
- 9) CIN - Only for person level

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

The copy and split functionality and the reindex queue is implemented and documented in CA-214035 (Store Index Values).

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

- 1) Resource ID
- 2) Resource Name
- 3) Document Type
- 4) Applicable Date
- 5) Received Date

The CONTRACTOR shall enable the following scan modes for RDB:

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

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

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

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

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

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

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

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

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

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

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

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

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

1.2 Overview of Recommendations

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

1.3 Assumptions

- Documentation of scan modes and routing of documents will not be addressed in this document
- The batch job to update user security rights will be documented and implemented in a subsequent SCR
- Imaging Reports and the security right required for those reports will be documented in a subsequent SCR

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2 RECOMMENDATIONS

2.1 Configure Auditing

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

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

2.2 Imaging Security

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

See the attached Imaging Security Matrix (Supporting Document #1) for the full list and descriptions of imaging security rights and groups within CalSAWS.

2.2.1 Case or Person Drawer Viewing

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

2.2.2 Drawer View Dependent Permissions

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

Drawer View Dependent Permissions
Imaging <Drawer> Export

Imaging Document Remove
Imaging Copy
Imaging <Drawer> Annotations Admin
Imaging <Drawer> Annotations Owner
Imaging Reindex
Imaging Reindex All
Imaging Reindex Route

2.2.3 Case and Person Drawer Capture

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

2.2.4 Point of Scan Options

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

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

2.2.5 Document Removal

The Imaging Solution supports a security driven "Soft Delete" functionality. Users with the "Imaging Document Remove" group permission and a corresponding drawer view permission can route documents to the "Document Removal Queue" this queue processes documents into a document removal drawer. Documents remain in this drawer until the associated document's case falls out of the CalSAWS retention policy. Documents within the removal drawers are only accessible by users with the "Imaging Document Remove" group permission.

2.2.6 Copy/Split

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

2.2.7 Export/Print

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

2.2.8 Annotations Owner

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

2.2.9 Annotations Admin

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

2.2.10 Exception Queues

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

2.2.11 Person Select Queue

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

2.3 County/Office Supervisor Security

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

2.4 SIU, Hearings, RDB Drawer Security

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

2.5 Other County Departments Security

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

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

2.6 Reindex/Reindex All/Reindex Route Security

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

2.6.1 Reindex Route

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

2.6.2 Reindex

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

2.6.3 Reindex All

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

2.7 Confidential Security

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

2.7.1 Access via Case Page

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

2.7.2 Access via Search

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

3 REQUIREMENTS

3.1 Migration Requirements

DDID #	REQUIREMENT TEXT	Contractor Assumptions	How Requirement Met
2204	<p>The CONTRACTOR shall enable other county departments to have a "drawer" in the imaging solution where they can upload, store, and search for documents.</p> <p>The CONTRACTOR shall create security driven scan modes of Other County Documents with the following four (4) options:</p> <ol style="list-style-type: none"> 1) Adoptions (AAP) 2) Adult Aging Services (IHSS) 3) Child Welfare Services 4) Quality Assurance/Quality Control (QA/QC) <p>The scan mode will correspond to a "drawer" that segments the scanned images/documents from the rest of the CalSAWS Software and is controlled via security in the CalSAWS Software.</p>	<ul style="list-style-type: none"> • Documentation of scan modes and routing of documents will not be addressed in this document 	<ul style="list-style-type: none"> • Configure security, and corresponding rights for Other County Departments scanning modes

DDID #	REQUIREMENT TEXT	Contractor Assumptions	How Requirement Met
2500	<p>The CONTRACTOR shall configure the imaging solution to have the following security driven options at the point of scanning:</p> <p>1) Task Override: Will ignore task configuration, no task will be created</p> <p>2) Program Selection: Will define which worker is tasked (the list is pre-defined based on the case information and is available in single case mode or when a coversheet is used in batch mode)</p> <p>3) No Change SAR7/QR7: Will prompt the CalSAWS Software to do the following:</p> <p>3a) Mark the document as received</p> <p>3b) Mark Eligibility as complete</p> <p>3c) Ignore task configuration, no task will be created</p> <p>4) Person Override: Will default person level documents as case level documents.</p> <p>5) Confidential: Will allow designated staff to scan to confidential cases</p>	<ul style="list-style-type: none"> • Documentation of scan modes and routing of documents will not be addressed in this document 	<ul style="list-style-type: none"> • Configure security, and corresponding rights for point of scan options

DDID #	REQUIREMENT TEXT	Contractor Assumptions	How Requirement Met
2516	<p>The CONTRACTOR shall create a security driven scan mode for Special Investigation Unit (SIU) with the following metadata:</p> <ol style="list-style-type: none"> 1) Case Number 2) Case Name 3) Applicable Date 4) Received Date 5) Form Name 6) Form Number 7) Document Type - All images/documents will have the value: 'SIU Documents' <p>The CONTRACTOR shall enable the following scan modes for SIU:</p> <ol style="list-style-type: none"> 1) Single Case - Used for capturing one or more documents for a single case 2) Virtual Print - Used to print documents directly from any desktop application that allows printing into the imaging solution to a single case 	<ul style="list-style-type: none"> • Documentation of scan modes and routing of documents will not be addressed in this document 	<ul style="list-style-type: none"> • Configure security, and corresponding rights for SIU scan mode

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DDID #	REQUIREMENT TEXT	Contractor Assumptions	How Requirement Met
2517	<p>The CONTRACTOR shall create a security driven scan mode for Hearings with the following metadata:</p> <ol style="list-style-type: none"> 1) Case Number 2) Case Name 3) Applicable Date 4) Received Date 5) Form Name 6) Form Number 7) Document Type - All images/documents will have the value: 'Court/Hearings Documents' 8) State Hearings Number - Optional, editable field <p>The CONTRACTOR shall enable the following scan modes for Hearings:</p> <ol style="list-style-type: none"> 1) Single Case - Used for capturing one or more documents for a single case 2) Virtual Print - Used to print documents directly from any desktop application that allows printing into the imaging solution to a single case 	<ul style="list-style-type: none"> • Documentation of scan modes and routing of documents will not be addressed in this document 	<ul style="list-style-type: none"> • Configure security, and corresponding rights for Hearings scan mode

DDID #	REQUIREMENT TEXT	Contractor Assumptions	How Requirement Met
2518	<p>The CONTRACTOR shall configure the imaging solution to allow designated staff to manually index the following values for images/documents scanned into a "Other County Department" drawer:</p> <ol style="list-style-type: none"> 1) Department (Drawer) - field will be pre-populated with chosen scan mode 2) Case Number - freeform text field 3) Document Type - pre-defined based on department 4) Applicable Date - pre-populated with system date, editable by the worker 5) Received Date - pre-populated with system date, editable by the worker <p>The above fields are mandatory to ensure that images/documents are searchable in the document management solution drawer.</p> <p>The CONTRACTOR shall provide the following "Other County Department Documents" search criteria:</p> <ol style="list-style-type: none"> 1) Department (Drawer) 2) Case Number 3) Document Type 4) Applicable Date 5) Received Date 6) Date Scanned 7) Created by 	<ul style="list-style-type: none"> • Documentation of scan modes and routing of documents will not be addressed in this document 	<ul style="list-style-type: none"> • Configure security, and corresponding rights for Other County Departments scanning modes

DDID #	REQUIREMENT TEXT	Contractor Assumptions	How Requirement Met
2519	<p>The CONTRACTOR shall configure the imaging solution to allow designated staff with the appropriate security rights to reindex the following metadata directly from the document and from a designated reindex queue:</p> <ol style="list-style-type: none"> 1) Case Number 2) Case Name 3) Document Type 4) Applicable Date 5) Received Date 6) Form Name 7) Form Number 8) Person Name - Only for person level 9) CIN - Only for person level <p>The CONTRACTOR shall configure the imaging solution to allow the copy and splitting of images/documents.</p>	<ul style="list-style-type: none"> • Documentation of scan modes and routing of documents will not be addressed in this document 	<ul style="list-style-type: none"> • Configure security, and corresponding rights for Reindexing
2521	<p>The CONTRACTOR shall create a security driven scan mode for Resource Data Bank (RDB) with the following metadata:</p> <ol style="list-style-type: none"> 1) Resource ID 2) Resource Name 3) Document Type 4) Applicable Date 5) Received Date <p>The CONTRACTOR shall enable the following scan modes for RDB:</p> <ol style="list-style-type: none"> 1) Single Case - Used for capturing one or more documents for a single case 2) Virtual Print - Used to print documents directly from any desktop application that allows printing into the imaging solution to a single case 	<ul style="list-style-type: none"> • Documentation of scan modes and routing of documents will not be addressed in this document 	<ul style="list-style-type: none"> • Configure security, and corresponding rights for RDB scan mode

DDID #	REQUIREMENT TEXT	Contractor Assumptions	How Requirement Met
2523	<p>The CONTRACTOR shall provide configurable security rights that are maintained by county local security administrators within the CalSAWS Software with the following:</p> <ol style="list-style-type: none"> 1) CalSAWS Software security rights will update the imaging solution during a nightly batch process 2) The No Change SAR7/QR7 override option will only be available to counties that have opted into this functionality 3) Up to 120 individual security rights will be provided as a part of the imaging solution 	<ul style="list-style-type: none"> • The batch job to update user security rights will be documented and implemented in subsequent SCR 	<ul style="list-style-type: none"> • Configure security, and corresponding rights for point of scan options • Configure the No Change SAR7/QR 7 override option to be available only to counties that have opted into this functionality • Configure security, and corresponding rights for applying annotations to documents • Configure security, and corresponding rights for Confidential Cases
2525	<p>The CONTRACTOR shall configure auditing for the 58 County imaging solution repository to record the following data points:</p> <ol style="list-style-type: none"> 1) Indexing Value Change - User information for the person that made the change and the date the value was changed, history of previous values will be preserved. 2) Viewing Document - User information for the person that viewed the document and the date the document was viewed 3) Delete Document (soft delete) - User information for the person that deleted the document and the date the document was deleted 4) Searching - Retain user search criteria for a specified period of time. 		<ul style="list-style-type: none"> • Configure the Imaging Solution to record Indexing Value Changes, Viewing of Documents, Deletion of Documents, and Search Criteria datapoints for the purposes of auditing

4 SUPPORTING DOCUMENTS

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

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