

CalSAWS

AMENDED, RESTATED AND REVISED LEADER REPLACEMENT SYSTEM AGREEMENT

Exhibit Z - (Statement of Work for CalSAWS Imaging Project)

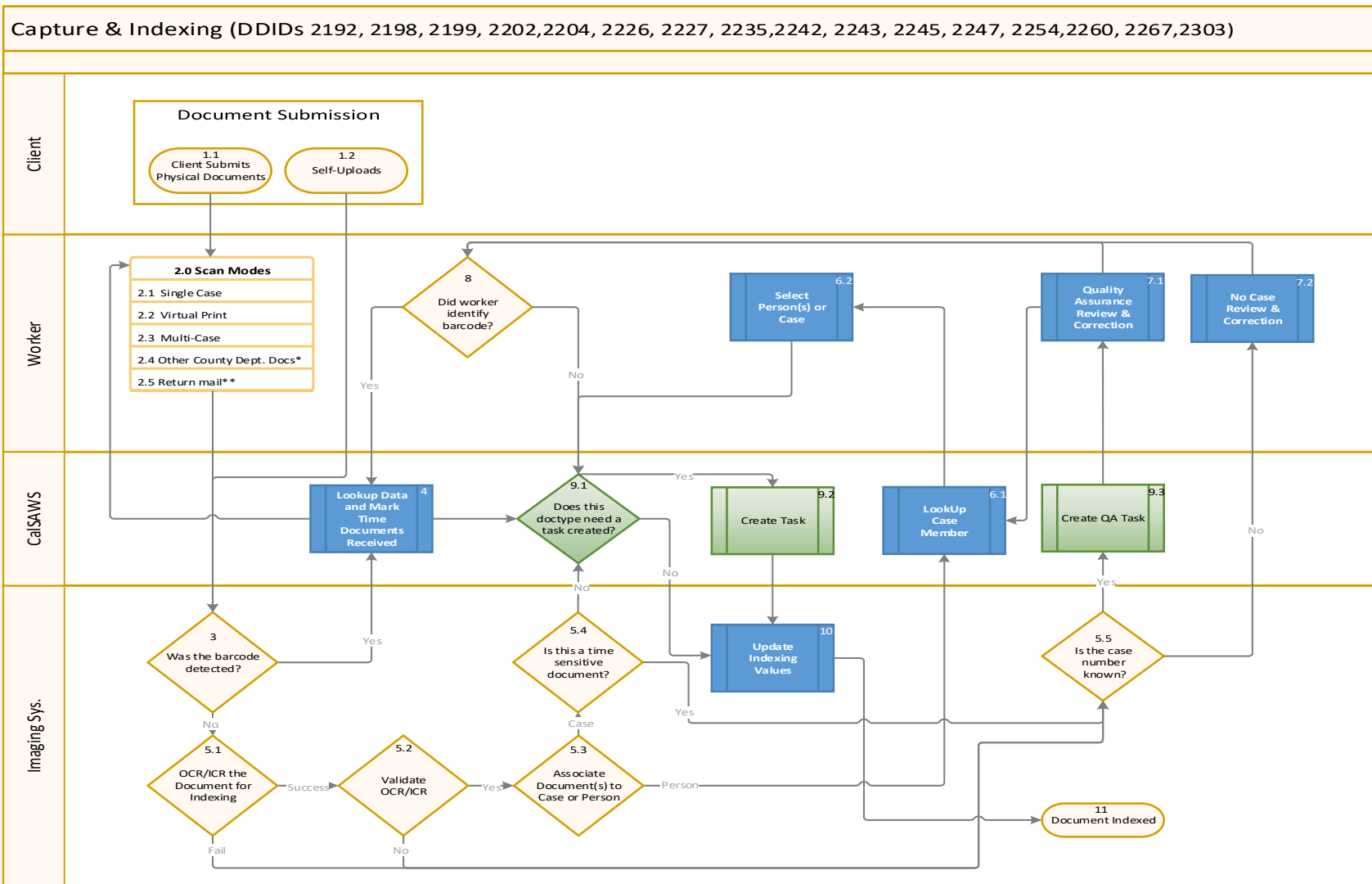
Schedule 3 (CalSAWS Imaging Functional Design Business Process Flows)

**CalSAWS Consortium,
a California Joint Powers Authority**

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1. CAPTURE AND INDEXING



Step	Responsi- bility	Description
1.1	Client	<p>The client submits physical document(s) in one of the following methods:</p> <ul style="list-style-type: none"> • Drop-off at reception • Mail Room • Handed into Eligibility Worker • Dropbox
1.2	Client	<p>The client can self-upload the document(s) in three forms:</p> <ol style="list-style-type: none"> 1) Mobile App Upload: Client uploads a document with their mobile device 2) Statewide Portal: Client uploads a document through the website 3) Self-Service Kiosk: Client uploads a document at a self-service kiosk <p>Quality Assurance - The client is responsible for verifying image legibility as they upload documents via the methods above (e.g. identifying blurry or misaligned images).</p> <p>Assumption:</p> <ol style="list-style-type: none"> i. These modes are only used for single case uploads.
2.0	Worker	<p>The worker takes the document(s) turned in via one of the methods mentioned in Step 1.2 and chooses one of the following scan modes based on the criteria listed below:^{(a)(b)}</p> <ul style="list-style-type: none"> • Single Case: Used when capturing one or more documents for a single case • Virtual Print: Used to print documents directly into the Imaging System for a single case • Multi-Case: Used to capture multiple documents from different cases • Other County Documents: Used to capture non-CalSAWS documents into the Imaging System <ul style="list-style-type: none"> ○ Other county documents do not follow the standard workflow process. This is addressed in an individual business process flow* • Returned Mail: Used to capture 'Return to Sender' mail sent out from the county.

		<ul style="list-style-type: none"> ○ Returned Mail does not follow the standard workflow process. This is addressed in an individual business process flow**
2.1	Worker	<p>Single Case:</p> <p>The worker performs the following steps:</p> <ol style="list-style-type: none"> 1) Log into CalSAWS and navigate to the Case Summary page within the context of the case 2) Optional: Update Applicable Date <ul style="list-style-type: none"> ○ Note: Applicable Date will default to capture date 3) Scan the document(s) 4) Quality Assurance - Validate the following information: <ul style="list-style-type: none"> ○ Case Name ○ Case Number ○ Quality of image (recapture if needed) ○ Applicable Date 5) Finalize scan (system proceeds to Step 3) <p>The worker can choose from the following options:</p> <ol style="list-style-type: none"> 1) Override the creation of a task during scanning 2) Select program from dropdown <ol style="list-style-type: none"> a. This defines which worker is tasked b. List is predefined based on case information 3) Override person selection <ol style="list-style-type: none"> a. Forces person level document(s) to default as case level documents 4) No change SAR7/QR7

2.2	Worker	<p>Virtual Print:</p> <p>Used to print documents (e.g. KBB screen captures, MEDs screens, etc.) directly into the Imaging System (do not need to save or print the file first).</p> <p>The worker performs the following steps:</p> <ol style="list-style-type: none">1) Log into CalSAWS and navigate to the Case Summary page within the context of the case2) Initiate print process from appropriate application(a)3) Optional: Update Applicable Date<ol style="list-style-type: none">a. Note: Applicable Date will default to capture date4) Quality Assurance - Validate the following information:<ol style="list-style-type: none">a. Case Nameb. Case Numberc. Quality of image (recapture if needed)d. Applicable Date5) Finalize scan (system proceeds to Step 3) <p>The worker can choose from the following options:</p> <ol style="list-style-type: none">6) Override the creation of a task during scanning7) Select program from dropdown<ol style="list-style-type: none">a. This defines which worker is taskedb. List is predefined based on case information8) Override person selection<ol style="list-style-type: none">a. Forces person level document(s) to default as case level documents9) No change SAR7/QR7 <p>Assumption:</p> <p>10) The worker will also be able to upload files to the system.</p>
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2.3	Worker	<p>Multi-Case:</p> <p>The worker performs the following steps:</p> <ol style="list-style-type: none"> 1) Organize the documents to be scanned <ol style="list-style-type: none"> a. One of the following barcoded documents is placed at the beginning: <ol style="list-style-type: none"> i. System generated barcoded document ii. Cover sheet (printed from Case Summary in CalSAWS) <ol style="list-style-type: none"> 1. Cover sheet will contain a system generated barcode applicable to the non-bar-coded document <ol style="list-style-type: none"> a. The worker can choose from the following options: <ol style="list-style-type: none"> i. Override the creation of a task during scanning ii. Select program from dropdown <ol style="list-style-type: none"> 1. This defines which worker is tasked 2. List is predefined based on case information iii. Override person selection <ol style="list-style-type: none"> 1. Forces person level document(s) to default as case level documents iv. No change SAR7/QR7 iii. No-case cover sheet (generic shelf-stock) <ol style="list-style-type: none"> 1. Cover sheet will contain generic information identifying that the following documents are not associated to a case 2. The non-system generated documents following the no-case cover sheet are then routed to the no-case queue b. Place all non-system generated documents (e.g. bank statements, earnings statement, etc.) that are part of the case from Step a after the barcoded document(s) c. Repeat Steps a and b as necessary for the same or other cases 2) Optional: Update Applicable Date <ol style="list-style-type: none"> a. Note: Applicable Date will default to capture date 3) Scan the document(s)
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		<p>a. Note: This mode does not require the worker be logged into CalSAWS as the information provided by the barcode will be used to associate to the correct case.</p> <p>4) Quality Assurance - Validate the following information:</p> <p style="margin-left: 20px;">a. Barcode number</p> <p style="margin-left: 20px;">b. Quality of image (recapture if needed)</p> <p>5) Finalize scan (system proceeds to Step 3)</p> <p>Assumption:</p> <p style="margin-left: 20px;">i. When scanning in Multi-Case mode there will be at least one system generated barcode document for each case.</p> <p style="margin-left: 20px;">ii. The Imaging System will capture the system generated 'Batch Number' associated with the Multi-Case Scan as metadata.</p>
2.4	Worker	<p>Other County Documents: Used to capture non-CalSAWS documents into the Imaging System.</p> <ul style="list-style-type: none"> • Other county documents do not follow the standard workflow process. This is addressed in an individual business process flow*
2.5	Worker	<p>Returned Mail: Used to capture 'Return to Sender' mail sent out from the county.</p> <ul style="list-style-type: none"> • Returned Mail does not follow the standard workflow process. This is addressed in an individual business process flow**
3	Imaging Sys.	<p>The system attempts to locate a CalSAWS system generated barcode.</p> <ul style="list-style-type: none"> • If a barcode is recognized, the document proceeds to Step 4 to have the barcode processed.^(a)

		<ul style="list-style-type: none"> If no barcode is found, the document is routed to the Optical Character Recognition (OCR)/Intelligent Character Recognition (ICR); Step 5.1. <p>Assumption:</p> <ul style="list-style-type: none"> i. All CalSAWS System generated forms have a unique barcode which is used to identify the document.(a) ii. The CalSAWS barcode will be designed by the Correspondence Team, and the imaging solution will be able to read the data it contains.(b) iii. NA Back 9 forms will be captured as the NOA form number it originated from.
4	CalSAWS	<p>Leveraging the barcode from Step 3, lookup the following information in CalSAWS: Form Name, Form Number, Case Name, Case Number, and Document Type. The data collected in this step will be passed along with the document(s) for use in Steps 9.1 and 10.</p> <p>Once the system collects the information from the barcode, it performs the following:</p> <ul style="list-style-type: none"> The barcode is checked against case information entered during single case or virtual print scan modes. <ul style="list-style-type: none"> The barcode and case information matches: <ul style="list-style-type: none"> If the Document Type is time sensitive, the CalSAWS Application updates the document(s) as Received.(a) If the worker chose No Change SAR7/QR7 in Steps 2.1, 2.2, or 2.3, the document is marked as Complete. The barcode and case information does not match: <ul style="list-style-type: none"> The document(s) get sent back to step 2.1 or 2.2 for review. <p>Assumption:</p> <ul style="list-style-type: none"> i. Time sensitive document(s) are listed in Appendix A.

5.1	Imaging Sys.	<p>In the event a barcode is not recognized, OR the document(s) do not have a barcode, the Imaging System will utilize OCR/ICR technology to obtain indexing information. (a)</p> <p>There are three scenarios:</p> <ol style="list-style-type: none"> 1) Scenario 1: A system generated form's barcode was not recognized during the scan (e.g. coffee stains, partial tear) <ol style="list-style-type: none"> a. OCR attempts to capture the following indexing information: <ol style="list-style-type: none"> i. Form Name (OCR) ii. Form Number (OCR) iii. Case Name (OCR) iv. Case Number (OCR) v. Document Type (OCR) 2) Scenario 2: Non-system generated documents (e.g. bank statements, earnings statement, driver's license, etc.) in Appendix B. <ol style="list-style-type: none"> a. OCR attempts to capture the following indexing information: <ol style="list-style-type: none"> i. Document Type (OCR) b. Retains the following information from Step 2 or 3 <ol style="list-style-type: none"> i. Case Name ii. Case Number 3) Scenario 3: All other non-system generated documents <ol style="list-style-type: none"> a. OCR/ICR attempts to capture the following indexing information: <ol style="list-style-type: none"> i. Form Number written/printed in a designated area (OCR/ICR) b. Retains the following information from Step 2 or 3 <ol style="list-style-type: none"> i. Case Name ii. Case Number <p>'Success' path:</p> <ol style="list-style-type: none"> 1) For Scenario 1: The Form Name, Form Number, Case Name, Case Number, and/or Document Type are captured, the document(s) proceed to Step 5.2 for validation. 2) For Scenario 2: The Document Type is captured, then the document(s) proceed to Step 5.2 for validation. 3) For Scenario 3: The Form Number is captured, the document(s) proceed to Step 5.2 for validation.
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		<p>'Fail' path:</p> <ol style="list-style-type: none"> 1) For Scenario 1: If OCR/ICR is unable to identify the Form Name, Form Number, Case Name, Case Number or Document Type, the document(s) proceed to Step 5.5. 2) For Scenario 2: If OCR/ICR is unable to identify the Document Type, the document(s) proceed to Step 5.5. 3) For Scenario 3: If OCR/ICR is unable to identify the Form Number, the document(s) proceed to Step 5.5. <p>Assumption:</p> <ol style="list-style-type: none"> i. The Imaging System will identify all English and Spanish system generated documents and categorize the following non-system generated Document Types listed in Appendix B. ^(a) ii. For system generated forms, the location of Case Name, Case Number, and Barcode will be standardized across all documents. iii. The system will not leverage OCR/ICR to pull customer entered data off forms. Since we are not capturing this data, it will not be searchable metadata. ^(b) iv. The system will be trained to classify documents listed in Appendix B.
5.2	Imaging Sys.	<p>After OCR/ICR successfully completes, the validation will consist of the following:</p> <ul style="list-style-type: none"> • Imaging System validates the indexing information obtained in Step 5.1 • Verify the Case Number for the document(s) • Compare the values obtained against sample documents • Determine a confidence score based on how accurate the captured data is during the OCR/ICR process^{(a)(b)} <p>'Yes' path:</p> <ul style="list-style-type: none"> • The Case Number, Case Name, and Document Type are known. <ul style="list-style-type: none"> ○ Lookup Case Number and verify that the Case Name matches the information from OCR/ICR^(b)

		<ul style="list-style-type: none"> The Case Number and Document Type are known. <ul style="list-style-type: none"> Lookup Case Number and get the Case Name The Case Number, Case Name, and Form Number are known. <ul style="list-style-type: none"> Lookup Case Number and verify that the Case Name matches the information from OCR/ICR Proceeds to Step 5.3 <p>'No' path:</p> <ul style="list-style-type: none"> All other scenarios not included in the 'Yes' path proceed to Step 5.5 <ul style="list-style-type: none"> E.g. If a no-case cover sheet was detected during multi-case scanning in Step 2.3 <p>Assumption:</p> <ul style="list-style-type: none"> As stated in the 'Yes' path we are using the Case Name instead of the customer name to verify the information is correct. We are using the Case Number instead of the barcode in this scenario.^(c) The confidence score threshold will be determined and approved during the detailed design phase.
5.3	Imaging Sys.	<p>Analyze the Document Type(s) that were identified during Step 5.2 to determine if the Document Type is in the predefined list of person specific Document Type(s).</p> <ul style="list-style-type: none"> Person specific document(s) proceed to Step 6.1 All documents scanned with the 'Override person selection' will default to case level documents and proceed to Step 5.4 All other document(s) default to case specific and proceed to Step 5.4 <p>Assumption:</p> <ol style="list-style-type: none"> We will configure up to 63 Document Types which will be identified as person specific documents (e.g. drivers' licenses, birth certificates, social security card, etc.).

5.4	Imaging Sys.	<p>Analyze the Document Type(s) that were identified during Step 5.2 to determine if the Document Type is one of the following time sensitive documents (See Appendix A).</p> <ul style="list-style-type: none"> • Time sensitive document(s) proceed to Step 5.5 • All other document(S) proceed to Step 9.1
5.5	Imaging Sys.	<p>Analyze the document(s) based on the OCR/ICR results to determine the Case Number.</p> <p>‘Yes’ path:</p> <ul style="list-style-type: none"> • If the Case Number is known, proceed to Step 9.3 <p>‘No’ path:</p> <ul style="list-style-type: none"> • Document(s) with an unknown Case Number proceed to Step 7.2
6.1	CalSAWS	<p>The system performs a WSDL call that submits the case unique ID (primary key) to CalSAWS, returning all case members associated with the case. The case members are then presented to the worker in Step 6.2.</p>
6.2	Worker	<p>The worker has the following options:</p> <ul style="list-style-type: none"> • Select one person from the list of names provided from Step 6.1 • Selects multiple people from the list of names provided from Step 6.1 • Selects ‘No person’ (defaults to case)

		The document(s) proceed to Step 9.1.
7.1	Worker	<p>There are 3 Scenarios in how to correct items in the QA:</p> <ol style="list-style-type: none"> 1) 5.1: <i>OCR/ICR the document for indexing 'Fail' Path</i> <ol style="list-style-type: none"> a. Scenario 1: OCR/ICR is unable to identify the Form Name, Form Number, Case Name, Case Number or Document Type. The worker will manually review the document for the information. b. Scenario 2: OCR/ICR is unable to identify the Document Type. The document(s) will be manually reviewed by the worker. c. Scenario 3: OCR/ICR is unable to identify the Form Number. The document(s) will be manually reviewed by the worker. 2) 5.2: <i>Validate OCR/ICR 'No' Path</i> <ol style="list-style-type: none"> a. The Case Number or Document Type is not known. The worker must index the document(s) to the correct values: Case Name, Case Number, Document Type. 3) 5.4: <i>Is this a time sensitive document? 'Yes' Path</i> <ol style="list-style-type: none"> a. The system is unable to read a barcode. The worker associates a barcode to the document(s). <p>Note: If a worker determines that the document is a person level document, it will proceed to Step 6.1.</p>
7.2	Worker	<p>No-Case Review & Correction:</p> <p>Document(s) sent to this queue are those that do not have a case name, case number, or were scanned in with a no-case cover sheet. The worker associates the document(s) with a case and then proceed to Step 8.</p>
8	Worker	Did the QA reviewer assign a barcode to document(s) in Step 7.1?

		<ul style="list-style-type: none"> • If a barcode is assigned, the document(s) will proceed back to Step 4 • If not, the document(s) move to Step 9.1
9.1	CalSAWS	<p>Leveraging the Document Type from Step 4 or Step 5.2, CalSAWS determines the Document Types that will generate a task. ^{(a)(b)}</p> <p>Assumption:</p> <ul style="list-style-type: none"> i. The thumbnail will not be shown. ^(c) ii. A link to the document will be added. ^(d) iii. Each county will configure its own rules for task creation. ^(e)
9.2	CalSAWS	<p>If the Document Type for the document(s) requires a task, the appropriate task type is created, and the document(s) move to Step 10. ^{(a)(b)}</p> <p>Note:</p> <ul style="list-style-type: none"> • If the program was chosen in Steps 2.1, 2.2, or 2.3, override the CalSAWS task configuration/categories to target the worker assigned to the program. • A task will not be created if it was overridden in Steps 2.1, 2.2, or 2.3.
9.3	CalSAWS	<p>Generate a QA task for the case identified in Step 5.5. ^(a)</p> <ul style="list-style-type: none"> • The system will create a task if one does not already exist for the case. <p>Once a task is created, proceed to Step 7.</p>

10	Imaging Sys.	<p>Update the Imaging System with the following indexing values obtained from the previous steps:</p> <ul style="list-style-type: none">• Case Number• Case Name• Document Type• Applicable Date• Form Name• Form Number <p>Assumption:</p> <ol style="list-style-type: none">i. All document(s) with the same indexing values (Form Name, Form Number, Document Type, Applicable Date, Case Name, and Case Number) will be appended into a single document.^(a)
11	Imaging Sys.	<p>The final step is to store the document(s) for later retrieval by workers in the document repository.</p>

1.1 APPENDIX A: TIME SENSITIVE DOCUMENTS

State Forms	Mapped Forms to Doc Types	Forms Included
ABD MC RE Packet	MC Redetermination	MC 210 RV Notice, MC 210 RV, MC 210 PS, MC 200, MC 219, MC 007, MC Info Notice 372, NA 1273 (e-notification opt-in), ADM 109 CIV (Self-Service Options)
CCRR 100 CIV	Child Care Reimbursement Request	CCRR
CF RE Packet	CW/CF Redetermination	MC 200, Appointment Letter, CF 37, EBT 2216, SAR 7A, Pub 13, Pub 275, Pub 388, NA 1273 (e-notification opt-in), ADM 109 CIV (Self-Service Options)
CW RE Packet	CW/CF Redetermination	MC 200, Appointment Letter, CCP 7, SAWS 2A SAR, CW 2166, CW 2184, WTW 5, Temp 2226, CW 101, EBT 2216, SAR 7A, Pub 13, Pub 275 Pub 183, Pub 388, CW 52, NA 1273 (e-notification opt-in), ADM 109 CIV (Self-Service Options)
CW/CF RE Packet	CW/CF Redetermination	MC 200, Appointment Letter, CCP 7, SAWS 2A SAR, CW 2166, CW 2184, WTW 5, Temp 2226, CW 101, EBT 2216, SAR 7A, Pub 13, Pub 388, CW 52, NA 1273 (e-notification opt-in), ADM 109 CIV (Self-Service Options)

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State Forms	Mapped Forms to Doc Types	Forms Included
LTC MC RE Packet	MC Redetermination	MC 210 RV Notice, MC 210 PS, MC 262, MC 200, MC 219, MC Info Notice 372, Pub 13, NA 1273 (e-notification opt-in)
MAGI RE Packet	MC Redetermination	MC 0216, MC 200, MC 219, Pub 183, MC 003, MC Info Notice 372, Pub 13
MC 176S	MC 176S - Medi-Cal Status Report	Form No Longer Available
MC 176 TMC	MC Redetermination	MC 176 TMC
MC RE Packet	MC Redetermination	MC 210 RV Notice, MC 210 RV, MC 210 PS, MC 200, MC 219, Pub 183, MC 003, MC Info Notice 372, Pub 13, NA 1273 (e-notification opt-in), ADM 109 CIV (Self-Service Options)
Mixed MC RE Packet	MC Redetermination	MC 0216, MC 604 IPS, MC 200, MC 219, Pub 183, MC 003, MC Info Notice 372, Pub 13
Non-MAGI LTC Mixed HH RE Packet	MC Redetermination	MC 200, MC 210 RV, MC 262, MC 210 PS, MC 219, Pub 183, MC 003, MC Info Notice 372, Pub 13, NA 1273 (e-notification opt-in), ADM 109 CIV (Self-Service Options)
Non-MAGI Packet	MC Redetermination	MC 604 IPS, Non-MAGI Informing Notice, MC Informing Notice

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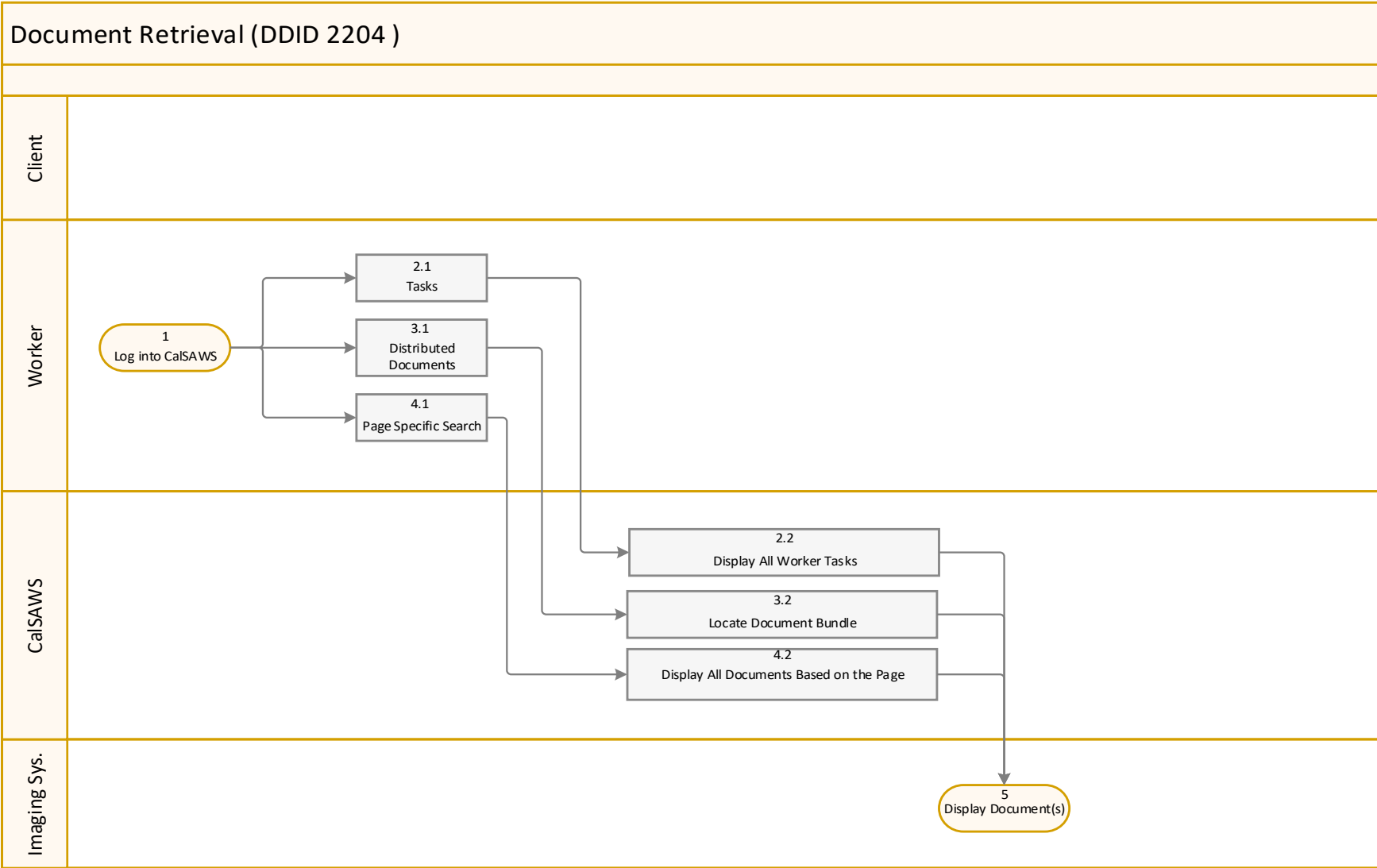
State Forms	Mapped Forms to Doc Types	Forms Included
		007, Pub 10, DHCS 7077A, Covered California Publication
Non-MAGI Screening Aged 65 Packet	MC Redetermination	MC 604 IPS, Non-MAGI Informing Notice, MC Informing Notice 007, Pub 10, DHCS 7077A
QR 7/QR 2	QR 7 - Quarterly Report	Form No Longer Available
QR 72	QR 72 - Sponsor's Qtr Report	Form No Longer Available
QR 73	Other Customer Reporting	Form No Longer Available
SAR 7/SAR 2	SAR 7 - Semi Annual Report	SAR 7 Addendum, SAR 2, SAR 7/SAR 2, NA 1273 (e-notification opt-in), ADM 109 CIV (Self-Service Options)
SAR 72	SAR 72 - Sponsor's Report	SAR 72
SAR 73	Other Customer Reporting	SAR 73
WTW 733.4	Progress and Attendance	WTW Attendance & Progress Report
WTW 735.2	Progress and Attendance	WTW School Attendance Report
WTW 753A	Travel Assist Claim	Travel Assistance Claim

1.2 APPENDIX B: PERSON SPECIFIC DOCUMENTS

Person Specific Documents		
Attendance Records	Funeral Statements	Pregnancy verification
Authorized representative	Good cause	Promissory Note
Bank Verification	Hospital Reports	Receipts
Bills	Housing cost	Report Card
Birth Certificate	Immunization Records	Retirement
Burial Fund	Income Tax Forms	Sanctions
Certificate of Completion/Diploma	Institutional verification	Savings Bond
Child Custody	Intentional Program Violations	School Registration
Child support paid and/or received	Irrevocable/ revocable trust	School schedule
Child Support	Life Insurance	Social Security Award Letter/Benefits
Childcare paid	Long term care facility verification	Social Security Card
Citizenship Verification	Marriage/RDP Certificate	Stocks and Bonds

Person Specific Documents		
Court order	Medical Expense	Tax Return
Death Certificate	Medicare	Third Party Liability
Disability (SDI)	Mortgage Deed	Trust Funds
Disability verification/Doctor note	Other health care insurance	Unemployment Benefits (UIB)
Divorce Decree	Other ID Cards	Utility Expense
Drivers' License	Other Income	Vehicle Registration
Earnings	Overpayment/Overissuance information	Veteran information
Educational Expense	Passport	Voter Registration
Financial Aid	Police Report	Workers Comp

2. DOCUMENT RETREIVAL



Step	Responsibility	Description
1	Worker	<p>The worker chooses one of the following methods to search for documents:</p> <ul style="list-style-type: none"> • System Generated Tasks • Distributed Documents • Page Specific Search
2.1	Worker	The worker navigates to 'Tasks' in CalSAWS.
2.2	CalSAWS	The CalSAWS System displays the list of tasks assigned to the worker or case. The worker locates a specific task for the document they want to access. The CalSAWS System provides a link to the document.
3.1	Worker	The worker navigates to 'Distributed Documents' in CalSAWS.
3.2	CalSAWS	<p>The CalSAWS System appends a '+' sign to all time sensitive documents associated to the case. The worker expands the '+' sign and clicks the document link. This will return the time sensitive document and a list of verifications associated to that document. What documents appear in the associated documents list will be determined during detailed design.</p> <ul style="list-style-type: none"> • E.g. All verification documents imaged within 45 days of the date the SAR 7 was sent. <p>The CalSAWS System passes the search criteria to the Imaging System in Step 5.</p>

4.1	Worker	The worker will navigate to a specific program page within CalSAWS (e.g. Eligibility → Income page), and click on the link to display documents.
4.2	CalSAWS	<p>All documents applicable to that page (e.g. earnings, bank statements, etc.) will be displayed using the following criteria:</p> <ul style="list-style-type: none"> • All document types associated to that page • Creation date within 365 days of current date • The case and/or person unique identifier <p>The CalSAWS System passes the search criteria to the Imaging System in Step 7.</p>
5	Imaging Sys.	The document(s) are displayed to the worker.

Assumptions:

- i. Searching within the Imaging System itself is dependent on the final solution and design. This flow only discusses how documents can be searched and viewed within the CalSAWS application.
- ii. Search functionality for 'Other County Department' documents will **not** happen through the CalSAWS application and is dependent on the final solution.

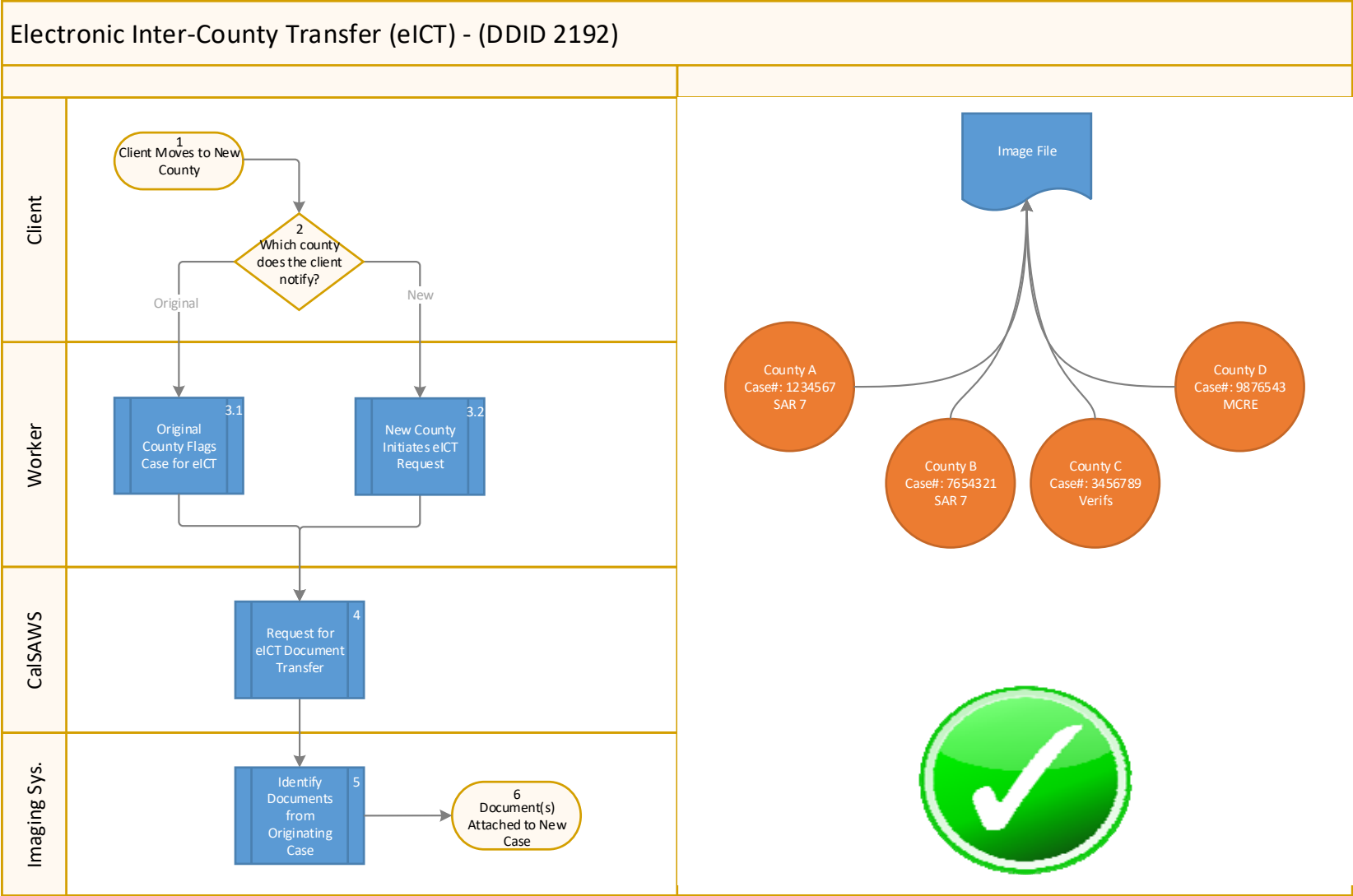
2.1 APPENDIX E: PAGE NAMES

Page Names			
Absent/Unmarried Parent List	Distributed Documents Search	Placement Authority List	Service Arrangements List
Action Plan List	e-Application Summary	Point of Service Image List	SIP Detail
Activity Agreement Detail	Education Travel Reimbursement Detail	Pregnancy Detail	SIP List
Activity Agreements List	Expense Detail	Pregnancy List	Self-Employment Deduction Type Detail
Case Summary	Expense List	Probation Authority Detail	Seriously Emotionally Disturbed Authority Detail
Child Care Certificate Detail	Foster Care Re-Evaluation Detail	Property List	Service Arrangement Detail
Child Care Certificates List	Foster Care Re-Evaluation List	Protective Custody Authority Detail	Special Care Increment Detail
Child Care Payment Calculation Detail	Income Detail	Purchase and Prepare Detail	Special Investigation Detail

Page Names			
Child Care Payment Calculation List	Income List	Purchase and Prepare List	Support Questionnaire
Child Care Program Detail	Individual Demographics Detail	Real Property Detail	Task Detail
Child Placement Detail	Individual Demographics List	Recurring Special Needs Detail	Third Party Liability Detail
Child Placement List	Liquid Property Detail	Recurring Special Needs List	Third Party Liability List
Child Welfare Services Authority Detail	Medical Condition Detail	Relationship Detail	Transferred Property/Income Detail
Citizenship Status Detail	Medical Condition List	Relationship List	Utility Navigation Bar (Images icon and DCFS Images icon)
Citizenship Status List	Medicare Detail	Relinquishment Authority Detail	Veterans Detail
Customer Activities List	Medicare List	Residency Detail	Veterans List
Customer Activity Detail	Motor Vehicle Detail	Residency List	Vital Statistics Detail

Page Names			
Customer Reporting Detail	Non-Related Legal Guardianship Authority Detail	School Attendance Detail	Vital Statistics List
Customer Reporting List	Other Health Care Detail	School Attendance List	VLP Step 3 Initiate Third Verification Request Detail
Degrees List	Personal Property Detail	Select VLP Step 3 Image	Voluntary Placement Authority Detail

3. ELECTRONIC INTER-COUNTY TRANSFER (eICT)



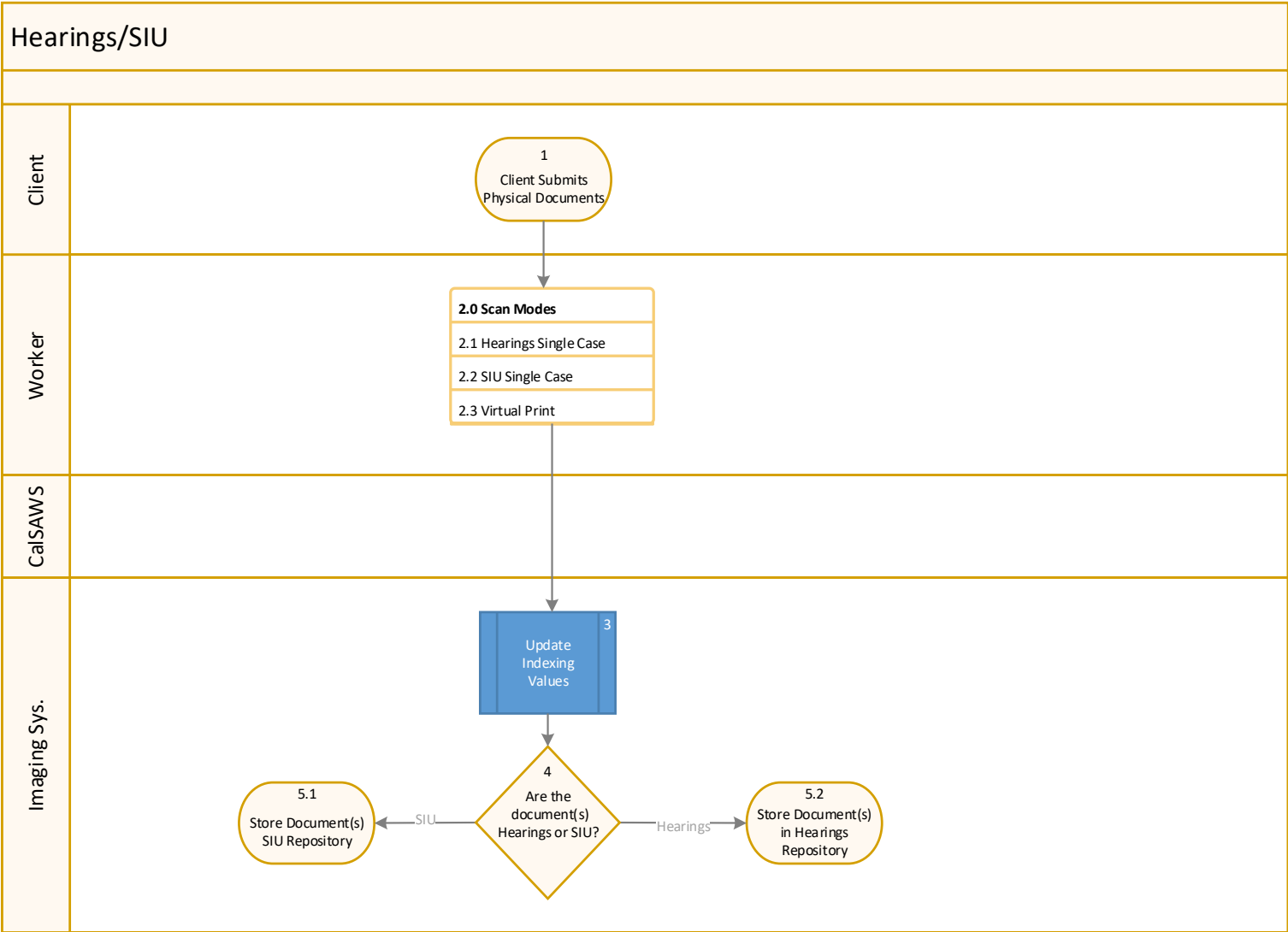
Internal		
Step	Responsibility	Description
1	Client	A client moves to a new county and notifies either their original county or their new county.
2	Client	<p>There are two scenarios that initiate an Electronic Inter-County Transfer (eICT):</p> <p>‘Original’ Path:</p> <ul style="list-style-type: none"> Client notifies original county of the move, proceed to Step 3.1 <p>‘New’ Path:</p> <ul style="list-style-type: none"> Client notifies new county of the move, proceed to Step 3.2
3.1	Worker	The worker in the original county flags the case for eICT in the CalSAWS application, proceed to Step 4.
3.2	Worker	The worker in the new county flags the case for eICT in the CalSAWS application, proceed to Step 4.
4	CalSAWS	The CalSAWS Application creates a manifest file of the documents associated to the case and all persons on that case. The resulting manifest is passed to the Imaging System in Step 5.

5	Imaging Sys.	<p>The Imaging System associates the document(s) in the manifest file to the new county. The original county will retain access to their document(s).</p> <p>A new document pointer will be created in the receiving county containing the following indexing values from the previous county:</p> <ul style="list-style-type: none">• Document Type• Form Name• Form Number• Applicable Date
6	Imaging Sys.	The document(s) transfer is complete.

Assumptions:

- i. **There will be a link to the document(s) within the CalSAWS Application associated to the eICT process.**
- ii. The CalHEERS eICT process will continue to function the same way it does today.
- iii. During the migration process, inter county transfers for counties that have not migrated to CalSAWS will continue to function the way it does today.

4. HEARINGS & SPECIAL INVESTIGATIONS UNIT



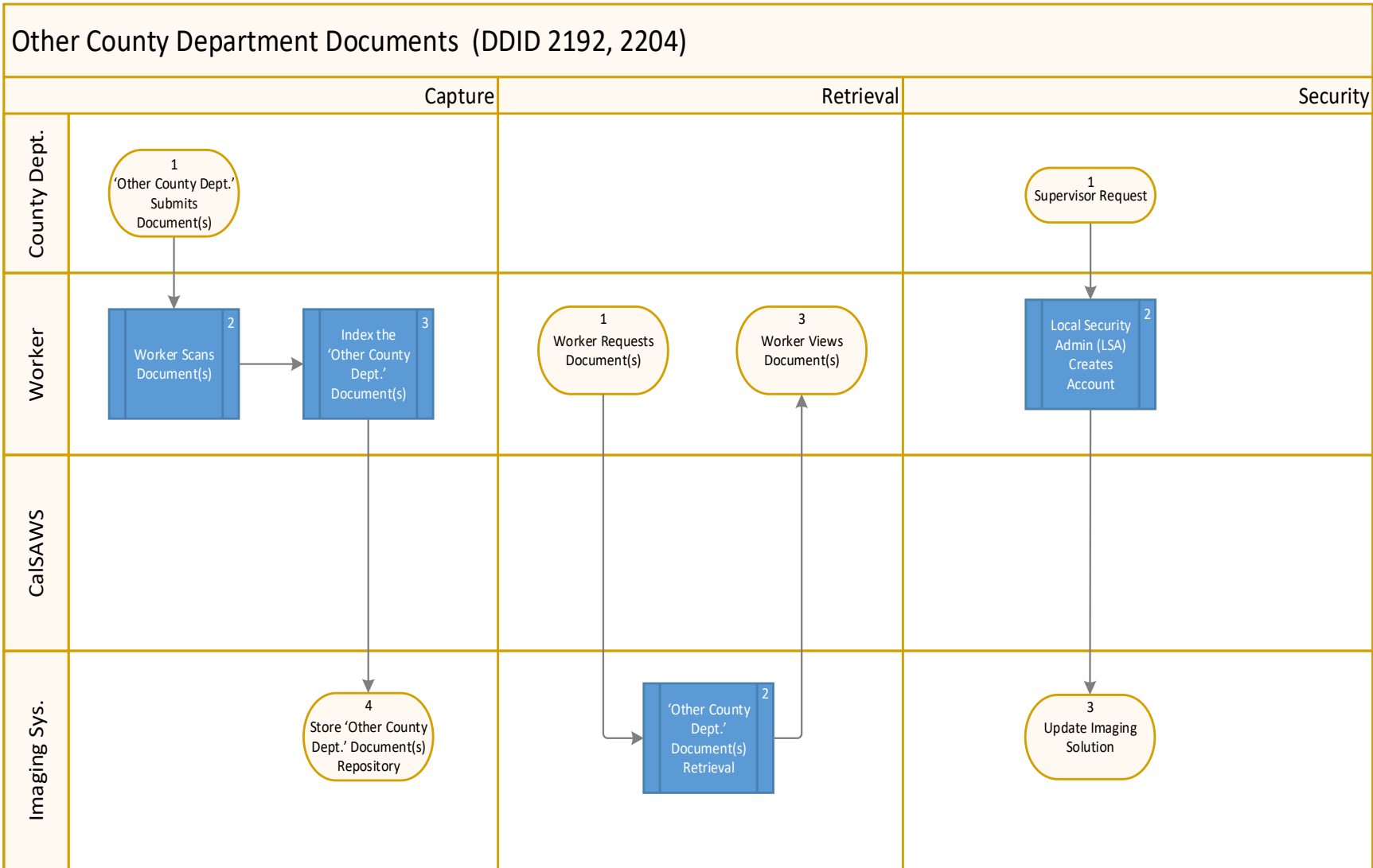
Step	Responsibility	Description
1	Client	<p>The client submits physical document(s) in one of the following methods:</p> <ul style="list-style-type: none"> • Drop-off at reception • Mail Room • Handed into Eligibility Worker • Dropbox
2.0	Worker	<p>Scan Modes:</p> <p>The worker takes the document(s) turned in via one of the methods mentioned in Step 1 and chooses one of the following scan modes based on the criteria listed below:</p> <ul style="list-style-type: none"> • Hearings Single Case: Used when capturing one or more hearings documents for a single case • Special Investigations Unit (SIU) Single Case: Used when capturing one or more SIU documents for a single case • Virtual Print: Used to print Hearings or SIU documents directly into the Imaging System for a single case
2.1	Worker	<p>Hearings Single Case:</p> <ol style="list-style-type: none"> 1) Log into CalSAWS and navigate to the Case Summary page within the context of the case 2) Scan the document(s) 3) Optional: Update Applicable Date <ul style="list-style-type: none"> ○ Note: Applicable Date will default to capture date 4) Quality Assurance - Validate the following information: <ul style="list-style-type: none"> ○ Case Name ○ Case Number ○ Form Name ○ Form Number ○ Quality of image (recapture if needed) ○ Applicable Date ○ State Hearings Number – Optional, editable field 5) The Document Type defaults to 'Court/Hearings Documents'

		<p>6) Finalize scan (system proceeds to Step 3)</p> <p>Assumption:</p> <p>i. Form names/numbers will be determined during detailed design. Document type will remain the same for all documents scanned in this mode.</p>
2.2	Worker	<p>SIU Single Case:</p> <ol style="list-style-type: none"> 1) Log into CalSAWS and navigate to the Case Summary page within the context of the case 2) Scan the document(s) 3) Optional: Update Applicable Date <ul style="list-style-type: none"> o Note: Applicable Date will default to capture date 4) Quality Assurance - Validate the following information: <ul style="list-style-type: none"> o Case Name o Case Number o Form Name o Form Number o Quality of image (recapture if needed) o Applicable Date 5) The Document Type defaults to 'SIU Documents' 6) Finalize scan (system proceeds to Step 3) <p>Assumption:</p> <p>i. Form names/numbers will be determined during detailed design. Document type will remain the same for all documents scanned in this mode.</p>
2.3	Worker	<p>Virtual Print:</p>

		<p>Used to print documents directly into the Imaging System (do not need to save or print the file first).</p> <p>The worker performs the following steps:</p> <ol style="list-style-type: none"> 1) Log into CalSAWS and navigate to the Case Summary page within the context of the case 2) Initiate print process from appropriate application 3) Choose 'Hearings Single Case' or 'SIU Single Case' 4) Optional: Update Applicable Date <ol style="list-style-type: none"> a. Note: Applicable Date will default to capture date 5) Quality Assurance - Validate the following information: <ul style="list-style-type: none"> o Case Name o Case Number o Form Name o Form Number o Quality of image (recapture if needed) 6) Applicable Date The Document Type defaults to the mode chosen in Step 2.3.3 7) Form name defaults to mode chosen in Step 2.3.3 8) Finalize scan (system proceeds to Step 3)
3	Imaging Sys.	<p>Update the Imaging System with the following indexing values obtained from the previous steps:</p> <ul style="list-style-type: none"> • Case Number • Case Name • Document Type • Applicable Date • Form Name • Form Number <p>Assumption:</p>

		<p>i. All document(s) with the same indexing values (Form Name, Form Number, Document Type, Applicable Date, Case Name, and Case Number) will be appended into a single document.</p>
4	Imaging Sys.	<p>Based on the Document Type from Step 2.1, Step 2.2, and Step 2.3, the Imaging System routes the documents to one of the following paths:</p> <ul style="list-style-type: none"> • ‘SIU’ Path: <ul style="list-style-type: none"> ○ If they are the ‘SIU Documents’ Document Type, the document(s) proceed to Step 5.1 • ‘Hearings’ Path: <ul style="list-style-type: none"> ○ If they are the ‘Court/Hearings Documents’ Document Type, the document(s) proceed to Step 5.2
5.1	Imaging Sys.	The final step is to store the document(s) for later retrieval by workers in the ‘SIU Documents’ repository.
5.2	Imaging Sys.	The final step is to store the document(s) for later retrieval by workers in the ‘Court/Hearings Documents’ repository.

5. OTHER COUNTY DEPARTMENT DOCUMENTS



Capture		
Step	Responsibility	Description
1	County Dept.	Other County Departments submit physical document(s).
2	Worker	<p>The worker scans document(s) received in Step 1 using one of the following ‘Other County Documents’ scan modes:</p> <ul style="list-style-type: none"> • Adoptions • Adult Aging Services • Child Welfare Services • Public Guardian/Public Administrator (PG/PA) • Quality Assurance/Quality Control (QA/QC) <p>These four scan modes correspond to the four drawers that segment the ‘Other County Documents’ departments from the rest of the CalSAWS System.</p> <p>Quality Assurance - The worker is responsible for verifying image legibility as they upload documents via the methods above (e.g. identifying blurry or misaligned images).</p>
3	Worker	<p>The worker must manually index the documents with the values necessary before proceeding onto Step 4. The indexing fields are as follows:</p> <ul style="list-style-type: none"> • Department (Drawer) - This value is pre-populated from Step 2 <ul style="list-style-type: none"> ○ Adoptions ○ Adult Aging Services ○ Child Welfare Services ○ PG/PA

		<ul style="list-style-type: none"> ○ QA/QC • Case number - This field is freeform text and not validated • Document Type - This field is a list of pre-defined document types based on department <ul style="list-style-type: none"> ○ Document type lists (see Appendix C) for each drawer are as follows: <ul style="list-style-type: none"> ▪ Adoptions ▪ Adult Aging Services ▪ Child Welfare Services ▪ PG/PA ▪ QA/QC – To be determined • Applicable Date - This field is pre-populated with today's date, editable by the worker • Optional: Client Identification Number (CIN) - This field is freeform text and not validated <p>Values are required in each of the index fields to ensure documents remain searchable.</p>
4	Imaging Sys.	<p>The document(s) are stored in the Imaging System.</p> <p>Assumption:</p> <p>No notifications will be generated for the 'Other County Documents' drawers.</p>

Retrieval		
Step	Responsibility	Description
1	Worker	Worker logs into Imaging System and chooses 'Other County Documents' search template. Worker will be able to search using the following fields:

		<ul style="list-style-type: none"> • Department (Drawer) • Case Number • Document Type • Applicable Date • Date Scanned • Created by “Worker”
2	Imaging Sys.	The Imaging System locates document(s) based off the search criteria passed from Step 1.
3	Worker	The worker is presented with the document(s) from Step 2.

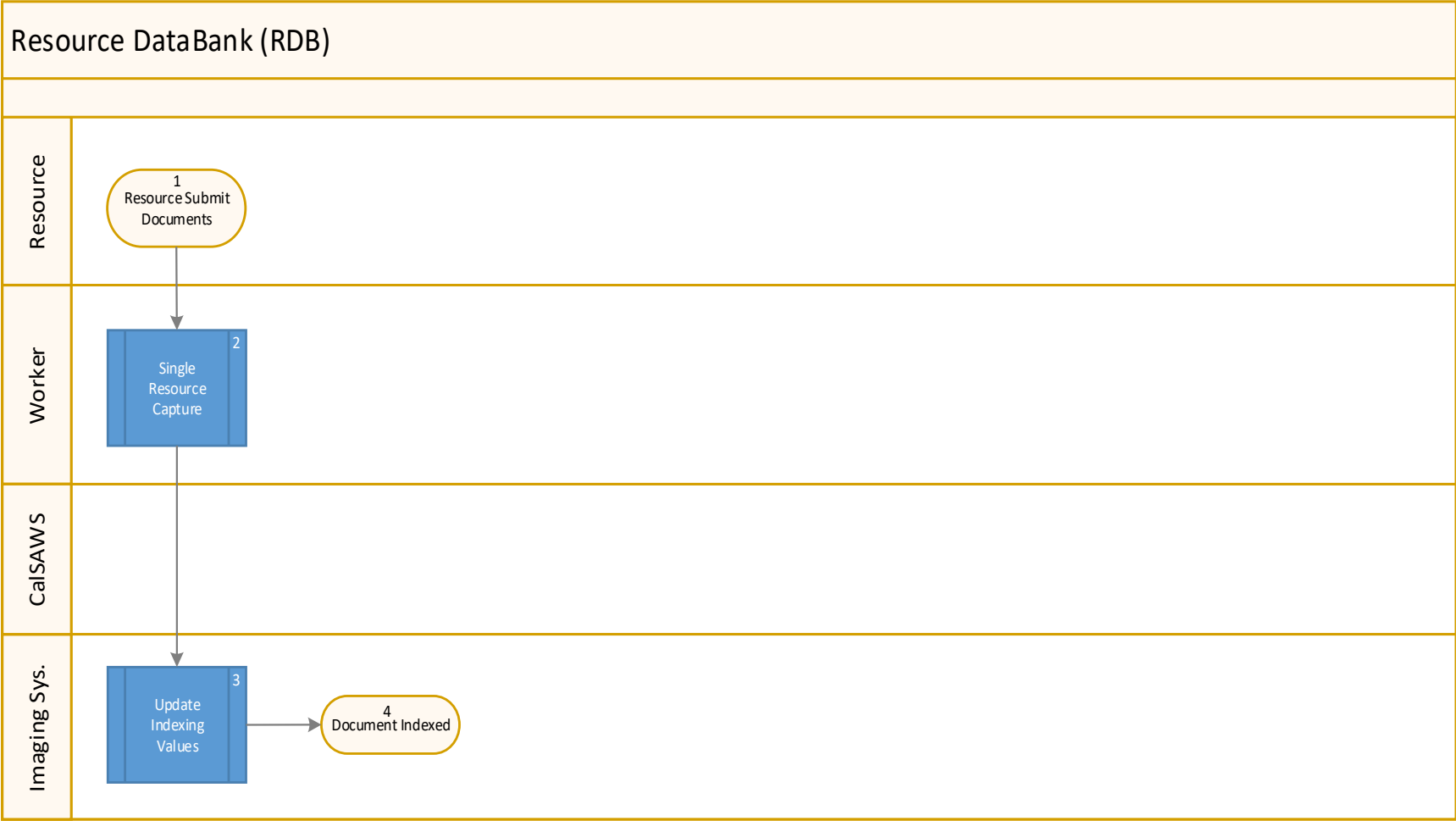
Security			
Step	Responsi- bility	Description	Require- ment
1	County Dept.	<p>The Other County Department supervisor initiates a request for user(s) to receive specific rights to the ‘Other County Documents’ drawer. The available rights will include:</p> <ul style="list-style-type: none"> • Capture • View • Edit • Delete 	2204

		Assumption: <ul style="list-style-type: none"> i. Security rights are assigned at a County's specific 'Other County Documents' drawer level. They are not defined by case number or document types. (e.g. Worker A is only granted rights to the Adoptions Drawer. Worker B is granted rights to all four Other County Documents drawers. Worker C doesn't have any rights to any of the Other County Documents drawers.) ii. Security around Confidential Documents is handled through CalSAWS security. 	
2	Worker	The Local Security Administrator (LSA) creates the user account(s) within CalSAWS and assigns security rights provided in Step 1.	
3	Imaging Sys.	The security rights are updated in the Imaging System.	2192

5.1 APPENDIX C: OTHER COUNTY DOCUMENT TYPES

Document Types				
Adoptions Document Types	Adult Aging Services Document Types	Child Welfare Services Document Types		Public Guardian Document Types
AAP/Placement Forms	Adult Protective Services	7-day notice	JV 180	Administrator
Adoption Forms	Correspondence	Administrative Reviews	Licensing/Placement	Case Info
Application	IHSS Assessment/Documentation	Agreement	Medical	Conservatorship
Correspondence	Legal	Application	Mental Health	Correspondence
Court	Medical	CCG	Minute Order	Court Documents
CWS Forms	Miscellaneous	Case Consultation	Other CWS	Expense
Family History	Notification/NOA	Consent to Treat	Paternity	Income
Foster Care	Provider Agreements/Information	Correspondence	Petition	Medi-Cal
Licensing Forms	QA/Fair Hearing	Court Order	Photos	Miscellaneous
ICPC		Court Reports	Psychotropic Medication Order	Policies
Medical		Court-Ordered Service Plan	Publications	Probate
Other Adoption		Custody Order	Referral	Property
Relinquishment Documents		DOJ	Release of Information	Reports
Reports		Expenses	Restraining Order	SSA Documents
State Forms		Foster Care	SDM	VA Documents
Vital Stats		Guardianship Order	SSA 11 BK	Vitals
		Home Visitor	Special Care	
		ICWA Notices	Visitation Schedule	
		ILP	Vitals	
		Immigration	Voluntary Placement	
		Immunizations	Waiver for Visits	
		Intent to Move Child		

6. RESOURCE DATA BANK (RDB)



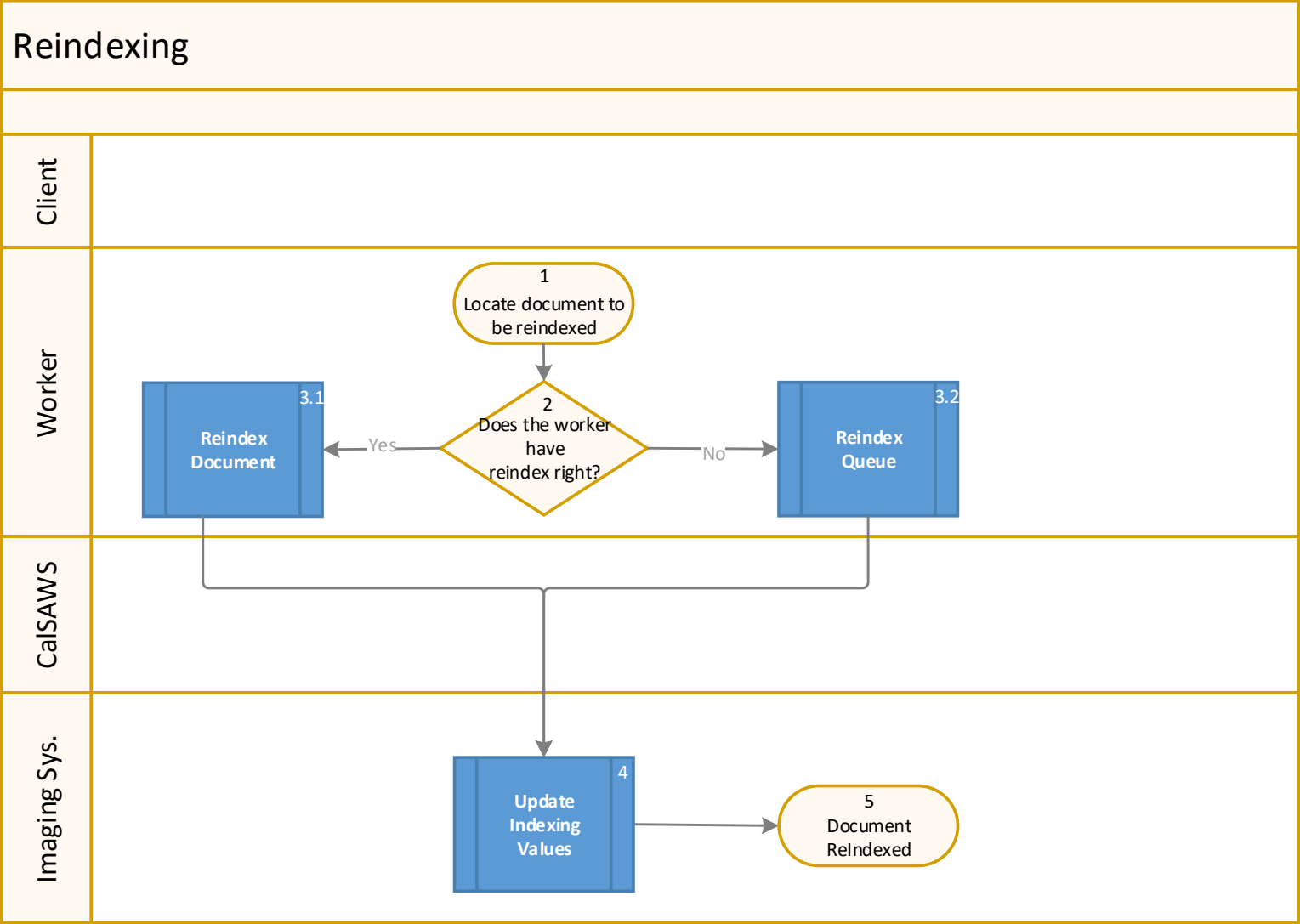
Step	Responsibility	Description
1	Resource	The resource provider turns in document(s).
2	Worker	<p>Single Resource Capture:</p> <p>The worker performs the following steps:</p> <ol style="list-style-type: none"> 6) Log into CalSAWS and navigate to the Resource Detail page of a resource 7) Scan the document(s) 8) Quality Assurance - Validate the following information: <ul style="list-style-type: none"> ○ Resource ID ○ Resource Name ○ Quality of image (recapture if needed) 9) Select a resource document type (see Appendix D) 10) Update Applicable Date <ul style="list-style-type: none"> ○ Note: Applicable Date will default to capture date 11) Finalize scan (system proceeds to Step 3) <p>Assumption:</p> <ol style="list-style-type: none"> i. The final list of document types will be determined during detailed design. This list could include up to 40 document types.
3	Imaging Sys.	<p>Update the Imaging System with the following indexing values obtained from the previous steps:</p> <ul style="list-style-type: none"> • Resource ID • Resource Name

		<ul style="list-style-type: none">• Document Type• Applicable Date
4	Imaging Sys.	The final step is to store the document(s) for later retrieval by workers in the document repository.

6.1 APPENDIX D: RESOURCE DOCUMENT TYPES

Resource Document Types
Levy/Levy Withdrawal
License
Other Resource
Provider Agreements/Information
Provider ID/Vitals
Provider Rate Information
Trustline Registry/Information
W-9/Taxpayer ID

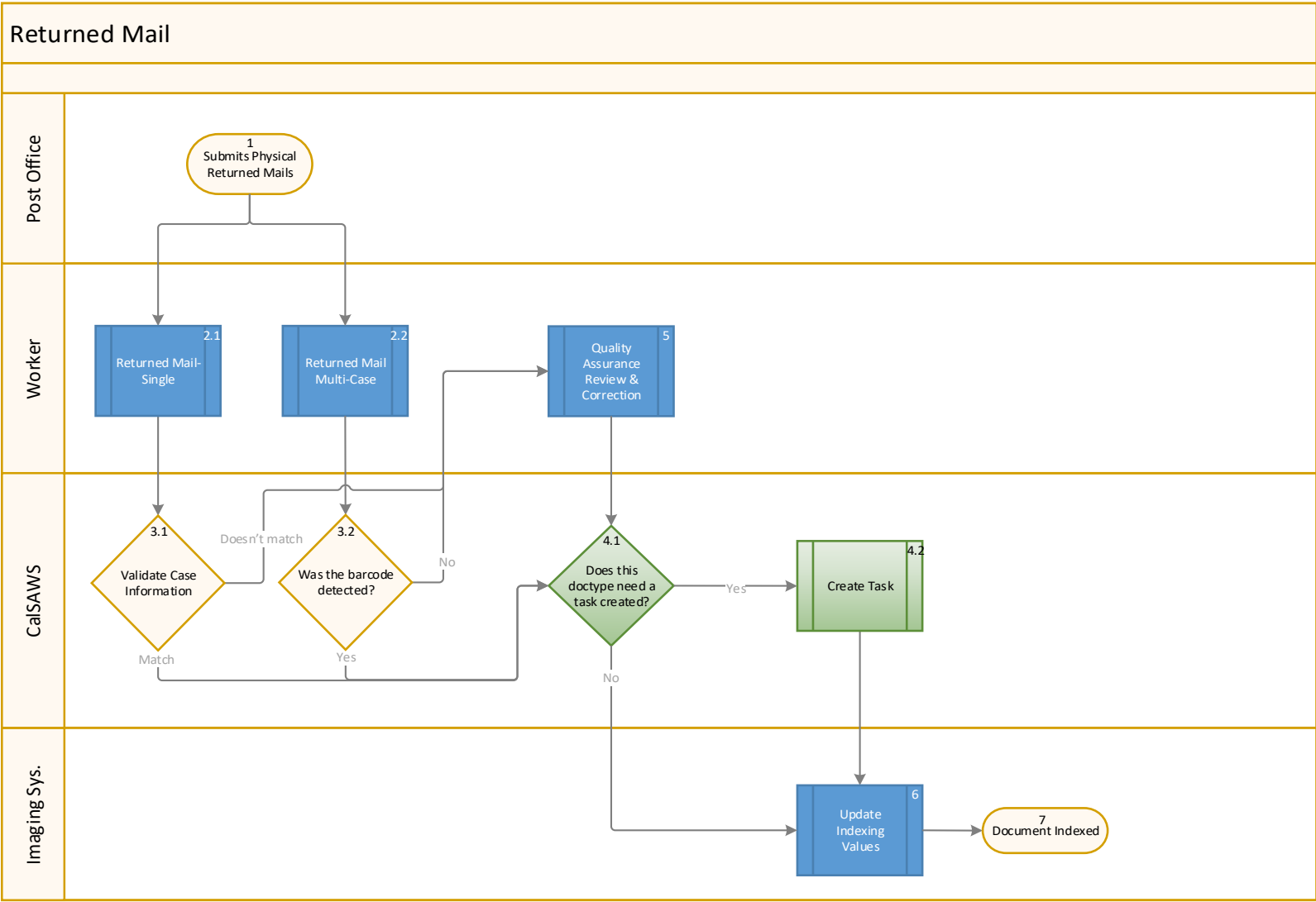
7. REINDEXING



Step	Responsibility	Description
1	Worker	The worker identifies a document to reindex (e.g. change the metadata).
2	Worker	<p>Based on the worker's security rights, they can reindex themselves or send the document to the reindex queue.</p> <p>'Worker Reindex' path:</p> <ul style="list-style-type: none"> • If the worker has the reindex security right, proceed to Step 3.1 <p>'Reindex Queue' Path:</p> <ul style="list-style-type: none"> • If the worker does not have the reindex security right, proceed to Step 3.2 <p>Assumption:</p> <ul style="list-style-type: none"> i. A 'Notes' field will be available for a worker to provide context to their reindex request.
3.1	Worker	The worker updates the metadata for the selected document. Proceed to Step 4.
3.2	Worker	The purpose of this queue is to hold documents for reindexing. A worker with the reindex security right reviews any notes provided and updates the metadata for the document(s) in the queue. Proceed to Step 4.

4	Imaging Sys.	<p>Update the Imaging System with the changed indexing values obtained from the previous steps:</p> <ul style="list-style-type: none">• Case Number• Case Name• Document Type• Applicable Date• Form Name• Form Number <p>Assumption:</p> <ul style="list-style-type: none">ii. All document(s) with the same indexing values (Form Name, Form Number, Document Type, Applicable Date, Case Name, and Case Number) will be appended into a single document.iii. A task will not be automatically created when a document is reindexed.
5	Imaging Sys.	<p>The final step is to store the document(s) for later retrieval by workers in the document repository.</p>

8. RETURNED MAIL



Step	Responsibility	Description
1	Post Office	The Post Office returns undeliverable mail to county office.
2.1	Worker	<p><i>Returned Mail – Single Case:</i></p> <p>The worker performs the following steps:</p> <ul style="list-style-type: none"> 12) Log into CalSAWS and navigate to the Case Summary page within the context of the case 13) Optional: Update Applicable Date <ul style="list-style-type: none"> ○ Note: Applicable Date will default to capture date 14) Scan the document(s) 15) Quality Assurance - Validate the following information: <ul style="list-style-type: none"> ○ Case Name ○ Case Number ○ Quality of image (recapture if needed) ○ Applicable Date 16) Form Name is set to 'Return Mail' 17) Finalize scan (system proceeds to Step 3.1) <p>The worker can choose from the following options:</p> <ul style="list-style-type: none"> 1) Override the creation of a task during scanning 2) Select program from dropdown <ul style="list-style-type: none"> ○ This defines which worker is tasked ○ List is predefined based on case information
2.2	Worker	<i>Returned Mail – Multi-Case:</i>

	<p>The worker performs the following steps:</p> <ul style="list-style-type: none"> 6) Organize the documents to be scanned <ul style="list-style-type: none"> a. One of the following barcoded documents is placed at the beginning: <ul style="list-style-type: none"> i. System generated barcoded document If one was provided in the returned mail ii. Cover sheet (printed from Case Summary in CalSAWS) <ul style="list-style-type: none"> 1. Cover sheet will contain a system generated barcode applicable to the non-bar-coded document <ul style="list-style-type: none"> a. The worker can choose from the following options: <ul style="list-style-type: none"> i. Override the creation of a task during scanning ii. Select program from dropdown <ul style="list-style-type: none"> 1. This defines which worker is tasked 2. List is predefined based on case information 2. No-case cover sheet (generic shelf-stock) <ul style="list-style-type: none"> a. Cover sheet will contain generic information identifying that the following documents are not associated to a case b. The non-system generated documents following the no-case cover sheet are then routed to the no-case queue b. The contents of the envelope c. The following will act as a separator between different cases: <ul style="list-style-type: none"> i. Cover sheets ii. Barcoded documents iii. Separator sheets iv. Envelopes d. Repeat Steps a and b as necessary for the same or other cases 7) Optional: Update Applicable Date <ul style="list-style-type: none"> a. Note: Applicable Date will default to capture date 8) Scan the document(s) <ul style="list-style-type: none"> a. Note: This mode does not require the worker be logged into CalSAWS as the information provided by the barcode will be used to associate to the correct case. 9) Quality Assurance - Validate the following information: <ul style="list-style-type: none"> a. Barcode number
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		<p>b. Quality of image (recapture if needed)</p> <p>10) Form Name is set to 'Return Mail'</p> <p>11) Finalize scan (system proceeds to Step 3.2)</p>
3.1	CalSAWS	<p>The system attempts to locate a CalSAWS system generated barcode.</p> <p>'Match' path:</p> <ul style="list-style-type: none"> • If a barcode is recognized and the case matches the case chosen by the worker, the document proceeds to Step 4.1. • If a barcode is not found or recognized, the system will use the case chosen by the worker. The document proceeds to Step 4.1. <p>'Doesn't Match' path:</p> <ul style="list-style-type: none"> • If a barcode is recognized and the case does not match the case chosen by the worker, the document proceeds to Step 5. <p>Assumption:</p> <ul style="list-style-type: none"> i. All CalSAWS System generated forms have a unique barcode which is used to identify the document. ii. The CalSAWS barcode will be designed by the Correspondence Team, and the imaging solution will be able to read the data it contains.
3.2	CalSAWS	<p>The system attempts to locate a CalSAWS system generated barcode.</p> <p>'Yes' path:</p> <ul style="list-style-type: none"> • If a barcode is recognized, the document proceeds to Step 4.1.

		<p>'No' path:</p> <ul style="list-style-type: none"> If no barcode is found, the document is routed to Quality Assurance Review and Correction in Step 5. <p>Assumption:</p> <ul style="list-style-type: none"> i. All CalSAWS System generated forms have a unique barcode which is used to identify the document. ii. The CalSAWS barcode will be designed by the Correspondence Team, and the imaging solution will be able to read the data it contains.
4.1	CalSAWS	<p>The Form Number from Step 2.1 or 2.2 determines if a task needs to be generated by the CalSAWS Application.</p> <p>Assumption:</p> <ul style="list-style-type: none"> iv. Each county will configure its own rules for task creation.
4.2	CalSAWS	<p>If the Form Number for the document requires a task, the appropriate task type is created, and the document moves to Step 6.</p> <p>Note:</p> <ul style="list-style-type: none"> If the program was chosen in Steps 2.1 or 2.2 override the CalSAWS task configuration/categories to target the worker assigned to the program. A task will not be created if it was overridden in Steps 2.1 or 2.2.

5	Worker	The worker updates the document with the appropriate case name and case number. Proceeds to Step 4.1
6	Imaging Sys.	<p>Update the Imaging System with the following indexing values obtained from the previous steps:</p> <ul style="list-style-type: none">• Case Number• Case Name• Document Type• Applicable Date• Form Name• Form Number <p>Assumption:</p> <p>iv. All document(s) with the same indexing values (Form Name, Form Number, Document Type, Applicable Date, Case Name, and Case Number) will be appended into a single document.</p>
7	Imaging Sys.	The final step is to store the document(s) for later retrieval by workers in the document repository.