

☒ CalSAWS M&E☐ CalWIN Migration

Distribution Date:	February 26, 2024
To:	PPOC.All; Consortium.RegionalManagers.All; Committee.Imaging.All
CIT Name:	CalSAWS Imaging - Re-Enablement of Imaging OCR for BenefitsCal Document Uploads
From:	CalSAWS Project

PPOCs, please forward to the appropriate impacted staff in your county:

- | | |
|--|--|
| <input type="checkbox"/> General
<input type="checkbox"/> Policy
<input type="checkbox"/> CW
<input type="checkbox"/> CF
<input type="checkbox"/> MC
<input type="checkbox"/> CMSP
<input type="checkbox"/> FC/KG/AAP
<input type="checkbox"/> Child Care
<input type="checkbox"/> WtW
<input type="checkbox"/> Other Program(s) _____
<input checked="" type="checkbox"/> BenefitsCal
<input type="checkbox"/> Customer Correspondence
<input type="checkbox"/> Other _____ | <input type="checkbox"/> Reports
<input type="checkbox"/> Fiscal
<input type="checkbox"/> Caseload Movement
<input type="checkbox"/> Management
<input type="checkbox"/> Fiscal
<input type="checkbox"/> Security
<input type="checkbox"/> Batch and Interfaces
<input checked="" type="checkbox"/> Imaging
<input type="checkbox"/> Migration
<input type="checkbox"/> Conversion
<input type="checkbox"/> Technical
<input type="checkbox"/> Training
<input type="checkbox"/> Help Desk |
|--|--|

Description:	<p>Purpose This CIT is to inform all CalSAWS Counties of the Project's plan to re-enable Optical Character Recognition (OCR) for BenefitsCal document uploads.</p> <p>Background On December 8, 2021, SCR CA-236864 was released to temporarily allow BenefitsCal document uploads to skip OCR processing to reduce the volume of documents that end up in the County Barcode Verification and Exception queues. This was beneficial for Counties learning how to use a new system and establishing business processes for queue maintenance.</p> <p>Today, BenefitsCal document uploads still skip OCR processing. They are accepted into the Imaging Solution with the mapped document type customers select in BenefitsCal. This has led to misclassification and difficulty locating documents in the Imaging Solution.</p> <p>Counties and Community Based Organizations (CBOs) have requested to re-enable OCR for BenefitsCal document uploads. Counties have had time to understand how the Imaging Solution works and confirm their business processes. OCR processing will help to ensure a greater accuracy in the form names and barcodes attached to BenefitsCal document uploads.</p>
--------------	---

Two-Phase Re-Enablement Plan

The Project has a two-phase plan to begin processing BenefitsCal document uploads by OCR again. The two-phase approach will allow time for the Project to monitor system performance, queue volumes, and the overall impact of this enhancement before enabling OCR Statewide.

Phase one, targeted for March 4, 2024, is tracked under SCR CA-272302. The Counties in phase one make up approximately 25% of the documents received from BenefitsCal document uploads. The Counties in phase one are:

- Riverside
- Orange
- Sacramento
- San Francisco
- Yolo
- Monterey
- Placer
- Santa Cruz

Phase two, targeted for May 20, 2024, is tracked with SCR CA-237670. It will include all the remaining Counties.

OCR processing and routing of documents will be the same for both phases.

How OCR Will Process BenefitsCal Document Uploads

After a customer uploads documents via BenefitsCal, the documents are passed automatically to the Imaging Solution. Once Imaging receives the documents, the OCR process will begin.

OCR looks for specific items on a page to try to select the correct CalSAWS or Imaging form name of the document. The form name may be a form that can be generated from the CalSAWS template repository or an approved Imaging form name. The list of form names currently available are listed in the Imaging Form Name Matrix.

The OCR logic, training, and confidence thresholds will not change. OCR looks for the following information to select a form name in this order:

1. A CalSAWS barcode on the bottom right.
2. A CalSAWS or Imaging form number on the bottom left of the document.
3. Certain keywords or phrases on the page to identify a person level document.

If OCR cannot confidently locate this information on a document, the form name will default to the mapped value the customer selected in BenefitsCal. Please refer to the attached "BenefitsCal Document Upload Mapping" for this information. These documents will not go to the Exception queue.

OCR will not split BenefitsCal document uploads into separate documents.

Documents generated when a customer completes form within BenefitsCal by filling out an interactive page will not be processed by OCR because a fillable page is tied to a specific form in CalSAWS. There is no uncertainty what the document is, therefore, it does not need OCR processing. It will continue to be ingested with the form name and barcode passed from BenefitsCal.

How BenefitsCal Document Uploads Will Route Within Imaging

The Imaging Solution automatically moves and routes documents after OCR processing based on the information OCR finds on a document.

These two scenarios describe when documents may route to a County queue, requiring action by a worker:

- When OCR selects a form name that is time sensitive per CalSAWS but the document does not have a barcode, the document will route to the County [Barcode Verification](#) queue.
In the Imaging Form Name Matrix, form names with a "Yes" in the "Routes to Barcode Verification" column will follow this path.
- County users with the appropriate security rights may route a document from the County [Barcode Verification](#) queue to the County [Exception](#) queue to change the form name.

Currently, documents from BenefitsCal only route to the County queues. Documents from BenefitsCal will not route to the Office queues.


Not all the Imaging workflow queues will be used for BenefitsCal documents. Similarly, not all documents will end up in a queue.

- OCR is not expected to route documents to the County [Exception](#) queue. If OCR is unable to identify a form name, the form name will default to the customer selected document type.
- BenefitsCal document uploads will not route to the [Person Selection](#) queue. If a document is person level, it will continue to be automatically indexed to the person/CIN selected by the customer in BenefitsCal.
- All BenefitsCal documents will skip the [QA & Indexing](#) queue. The customer provides the case information when completing the document upload. These documents do not need to route to [QA & Indexing](#) for the case information to be added.
- Documents from a BenefitsCal fillable page will not route to OCR or a queue.
- BenefitsCal document uploads will not automatically route to the [Reindex](#) or [Reindex All](#) queues. Documents in the [Reindex](#) or [Reindex All](#) queues have been manually routed by a county user.

The Notes field in the Imaging Solution will continue to contain the person and document type customers select in BenefitsCal completing a document upload.

All documents uploaded via BenefitsCal in the last 90 days can be viewed from the Case Summary > Point of Service button in CalSAWS.

Expectations of OCR for BenefitsCal Document Uploads

	<p>The re-enablement of OCR for BenefitsCal document uploads will allow the Imaging Solution to index documents more accurately before they are archived in the Imaging Solution. These are the key points to note about the re-enablement.</p> <ul style="list-style-type: none"> Counties will have an overall positive experience with this enhancement. More documents will have accurate form names and tasks will generate based on the County's document routing rules. Intact barcodes on periodic reports may be read by OCR, allowing documents to be marked received. We anticipate the County Barcode Verification and County Exception queue volume will fluctuate approximately +/- 5%. It is recommended that Counties account for a slightly increased volume of documents after their phase. The Reindex and Reindex All queues may decrease because OCR will select the correct form name for documents, instead of relying on the customer's potentially incorrect selection. The steps to process documents in the queues will not change. There are instructions on how to process the queues in Job Aid Workflow Queues and Exceptions in the LMS and Online Help. <p>County Action Counties should share this information with the appropriate staff.</p> <p>If you have questions on this CIT, please reach out to the Primary Contacts and cc your Regional Managers.</p>
Primary Project Contact:	Rhiannon Chin ChinR@CalSAWS.org
Backup Project Contact:	Darcy Alexander AlexanderD@CalSAWS.org
Attachments:	<p>CIT 0027-24 Imaging Form Name Matrix – Updated 01.11.24.xlsx</p> <p>CIT 0027-24 BenefitsCal Document Upload Mapping.xlsx</p> <p>CIT 0027-24 JA Imaging Workflow Queues and Exceptions.pdf</p>
Web Portal Link:	<p></p> <p>OR</p> <p>You may also retrieve the CIT document and attachments by following these steps:</p> <ol style="list-style-type: none"> 1. Click on the CRFIs & CITs link at the top of the page. 2. Click on the "CalSAWS Information Transmittal (CIT)" folder. 3. Click on the "2024" folder. 4. Click on the appropriate CIT # folder.