

Imaging Workflow Queues and Exceptions

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Purpose

The purpose of this job aid is to describe and provide general guidelines for Imaging workflow queues, exception handling, and transferring documents to another County's workflow.

What is an Imaging Workflow Queue?

The CalSAWS Imaging Solution defines workflow queues as opportunities to manage, update and manipulate documents. There are two types of Imaging workflow queues:

- **County-maintained workflow queues:** Documents pending in these queues require user intervention in the form of modifying and/or validating certain document properties. Documents can be automatically and manually routed to the County-maintained workflow queues.
- **System workflow queues:** The CalSAWS Imaging Solution automatically runs a system process in the background on documents pending in these queues. System queues perform a variety of functions, such as updating document properties or merging documents. The System uses information entered or verified by users at the point-of-capture and any extracted case or person-level context to route these documents to the next appropriate location, which may include the Optical Character Recognition (OCR) service, task generation, County-maintained workflow queues, and/or archival in the appropriate drawer.

Once a document has been finalized by either user intervention or system process, the document is removed from the workflow and archived in the relevant Imaging Solution drawer for later retrieval.

County-Maintained Workflow Queues

The Imaging Solution contains the following County-maintained workflow queues:

Workflow Queue	Description
Reindex	<p>Allows users to update document properties of documents that have been previously archived. Users may update the Form Name, Applicable Date, Received Date, County Code, and/or Notes fields.</p> <p>Users with the appropriate CalSAWS security rights may manipulate documents, such as copying or splitting pages, that are pending in this queue.</p>
Confidential Reindex	Mirrors the Reindex queue, but for confidential documents.
Reindex All	<p>Allows users to update document properties of documents that have been previously archived. Users may update the Case Number/CIN, Case/Person Name, Form Name, Applicable Date, Received Date, County Code, and/or Notes fields.</p> <p>Users with the appropriate CalSAWS security rights can also copy and split documents that are pending in this queue.</p>
Confidential Reindex All	Mirrors the Reindex All queue, but for confidential documents.
Exception	<p>Contains documents that require additional verification/validation of the Case Number/CIN, County Code, Form Name, Applicable Date, Received Date, County Code, and/or Notes fields. See the How are Documents Flagged as Exceptions? section of this Job Aid for more details.</p> <p>Users with the appropriate CalSAWS security rights may manipulate documents, such as copying or splitting pages, that are pending in this queue.</p>
Confidential Exception	Mirrors the Exception queue, but for confidential documents.
No Case Assigned	<p>Allows users to associate documents that were imaged prior to the creation of a case, to a valid CalSAWS case once it has been created or opened in the System.</p> <p>Users with the appropriate CalSAWS security rights may perform document manipulation, such as copying, splitting, and/or setting specialty flags for documents pending in this queue prior to submitting them for system processing.</p> <p>Note: This workflow queue may not be used by all Counties. Remember to follow your County's policy and</p>

	business processes when using with County-maintained workflow queues.
Person Selection	<p>Allows users to associate person-level documents, update the form name, and copy a document to link it to another person. Documents remain in this queue for 90 calendar days. After 90 days, documents are automatically routed out with the case number or CIN saved to the document.</p> <p>Users with the appropriate CalSAWS security rights may manipulate documents, such as copying or splitting pages, that are pending in this queue.</p>
Barcode Verification	<p>Allows users to manually update/validate barcode value.</p> <p>Users with the appropriate CalSAWS security rights may manipulate documents, such as copying or splitting pages, that are pending in this queue.</p>
Admin Exception	Contains documents that encounter a webservice error during system processing and is monitored by Project Imaging admins. This queue is not accessible by County users.
Document Removal	<p>Contains documents that have been marked for deletion from the System. If a document in the queue needs to be retained, users with appropriate security can route the document to Reindex or Reindex All.</p> <p>Documents in this queue longer than 30 days automatically route to the Document Removal Drawer.</p>

Note: Access to each County-maintained workflow queue is driven by CalSAWS security rights. If you do not see a workflow queue on the Perceptive Experience Capture and Indexing pages, you do not have the appropriate security rights to access that workflow queue.

Difference Between County and Office Queues

Depending on security rights, users can access the Countywide and/or office-specific county-maintained workflow queues. Documents are routed to either the Countywide or office-specific queue based on the **Origin** field selected at the point of capture. Both Countywide and office-specific queues function the same. Queues use the following naming convention:

- Barcode Verification:
 - The Countywide queue is formatted as: "County (BV - <County Name>)"
 - The Office queue is formatted as: "Office XX (BV - <County Name>)"
- Barcode Verification Confidential:

- The Countywide queue is formatted as: "County (BVC – <County Name>)"
 - The Office queue is formatted as: "Office XX (BVC – <County Name>)"
- Exception:
 - The Countywide queue is formatted as: "County (EX – <County Name>)"
 - The Office queue is formatted as: "Office XX (EX – <County Name>)"
- Exception Confidential:
 - The Countywide queue is formatted as: "County (EXC – <County Name>)"
 - The Office queue is formatted as: "Office XX (EXC – <County Name>)"
- No Case Assigned:
 - The Countywide queue is formatted as: "County (NC – <County Name>)"
 - The Office queue is formatted as: "Office XX (NC – <County Name>)"
- Person Selection:
 - The Countywide queue is formatted as: "County (PS – [County Name])"
 - The Office queue is formatted as: "Office XX (PS – <County Name>)"
- QA & Indexing:
 - The Countywide queue is formatted as: "County (QA – <County Name>)"
 - The Office queue is formatted as: "Office XX (QA – <County Name>)"

The Document Removal, Reindex, Reindex Confidential, Reindex All, and Reindex All Confidential queues are only Countywide. These queues do not have office level separation. They use the following naming convention.

- Document Removal:
 - The Countywide queue is formatted as: "County (DR – <County Name>)"
- Reindex:
 - The Countywide queue is formatted as: "County (RI – <County Name>)"
- Reindex Confidential:
 - The Countywide queue is formatted as: "County (RIC – <County Name>)"
- Reindex All:
 - The Countywide queue is formatted as: "County (FR – <County Name>)"
- Reindex All Confidential:
 - The Countywide queue is formatted as: "County (FRC – <County Name>)"

Confidential Queues

The Confidentiality Detail page in CalSAWS determines if a document lands in a regular or confidential queue. If there is a record on the Confidentiality Detail page

when a document is scanned, the document is routed to a confidential queue if additional user intervention is needed.

Confidential documents are always stored as Case level documents. CalSAWS Imaging never routes a confidential document to the Person Selection queue.

Determining Which Workflow Queue a Document Is In

In the Imaging Solution Documents page, when viewing the search results for documents, the Processing Queue column indicates if a document is in a County-maintained queue or a System queue. If this column is blank, the document is not currently in a queue. Documents can be in one of the County-maintained workflow queues listed above or in one the following queues which cannot be accessed by County users:

- System Queue
- System Processing
- Admin Exception

When you open a document where the Processing Queue column lists a County-maintained queue, a blue stamp displays stating Document Awaiting county action in <County-maintained> queue. The stamp will only display if the document is in TIF or JPEG format. Documents that are physically scanned, virtually printed, or processed by OCR are in TIF format. Documents that are not TIF or JPEG (e.g., PDF, GIF, PNG, etc.) captured using file upload and are not processed by OCR may not have the blue queue stamp display. If you have the appropriate security rights, you can access the document in the County-maintained queue by clicking the blue stamp and then clicking the link icon. Continue with processing the document as described in the Processing Documents in the Queues section of this Job Aid.

Searching the County-Maintained Workflow Queue(s)

To access documents for a specific case number that are pending in County-maintained workflow queue(s), follow the steps below. These steps assume you are already on the Perceptive Experience Home page.

Steps	Action
1.	Click the Capture & Indexing button on the Perceptive Experience Home page.
2.	Click the Expand caret for the <County-maintained workflow queue> where the document is pending modification under the Workflow Processes panel.
3.	Select the County or Office <County-maintained workflow queue> .
4.	Locate the document by building a search: a) Click the Add Constraint (+) icon.

	b) Enter or select Case Number from the second drop list. c) Select equal to from the third drop list. d) Enter <Case Number> in the last field. e) Click the Search button.
5.	Click the document hyperlink to open the Perceptive Experience Document Viewer , where you can modify and route the document out of the workflow queue.

Processing Documents in the Queues

County-maintained workflow queues may have multiple routing options. Users with access to County-maintained workflow queues can see the main routing option. The main routing option is what users select to process a document in most situations. For example, most documents in Barcode Verification will be processed using the Barcode Handling option. However, only users with the appropriate CalSAWS security rights can access the additional routing options – these provide greater control over document movement in the System. For example, not all users will have access to Document Removal. This is determined by your County’s local security officer.

Barcode Verification and Barcode Verification Confidential Workflow Queue(s)

The Barcode Verification or Barcode Verification Confidential queues function the same. The verification and processing steps in both queues are the same.

Most documents in the Barcode Verification queues can be validated using the following steps. These steps assume you have already opened a document in the Barcode Verification or Barcode Verification Confidential queue.

Step	Action
1.	Update the Barcode field. Note: You may need to zoom in to the document using the Zoom toolbar to visually confirm the printed, 16-digit barcode value, which should be located on the bottom right corner of the document. Barcodes can also be found on the document listed within CalSAWS on the Distributed Documents List page.
2.	Click the Send To button.
3.	Select Barcode Handling from the Send To options.

Use the following steps if the document does not have a barcode and has the correct form name. There will be situations when a document does not have a barcode, and a barcode cannot be found on the CalSAWS **Distributed Documents**

List page. The document can be routed out of Barcode Verification using the following steps. The **Customer Reporting List** page does not automatically update if a barcode is not entered. Manually update the **Customer Reporting List** page if needed. These steps do not apply to SAR 7s, since a SAR 7 routed out of Barcode Verification without a barcode will return to the queue. Please refer to your County's business process for addressing SAR 7s that do not have a barcode.

Step	Action
1.	Click the Send To button.
2.	Select Barcode Handling from the Send To options.

Use the following steps if a document does not have a barcode and the form name is incorrect.

Step	Action
1.	Click the Send To button.
2.	Select Exception from the Send To options.
3.	Follow the verification steps for the Exception queue.

Use the following steps if the document is no longer needed and can be removed from the Imaging Solution.

Step	Action
1.	Click the Send To button.
2.	Select Document Removal from the Send To options.

Use the following steps if the document should be sent to another CalSAWS county.

Step	Action
1.	Update the County Code field to the County the document belongs to.
2.	Click the Send To button.
3.	Select Barcode Handling from the Send To options.

Processing Documents in the Exception and Exception Confidential Workflow Queue(s)

The Exception and Exception Confidential queues function the same. The verification and processing steps in both queues are the same.

Most documents in the Exception queues can be validated using the following steps. These steps assume you have already opened a document in the Exception or Exception Confidential queue.

Step	Action
1.	a) Update or verify the Form Name field. b) If needed, update the Case Number, Applicable Date, Received Date, County Code or Notes fields. Note: Only a case number can be selected in Exception . Selecting a person is completed in the Person Selection queue for non-confidential cases.
2.	Click the Send To button.
3.	Select Exception Handling from the Send To options.

Use the following steps if a barcode should be entered for the document.

Step	Action
1.	Click the Send To button.
2.	Select Barcode Verification from the Send To options.
3.	Follow the standard verification steps for the Barcode Verification queue.

Use the following steps if the document is no longer needed and can be removed from the Imaging Solution.

Step	Action
1.	Click the Send To button.
2.	Select Document Removal from the Send To options.

Use the following steps if the document should be sent to another CalSAWS county.

Step	Action
1.	Update the County Code field to the County the document belongs to.
2.	Click the Send To button.
3.	Select Other County Documents from the Send To options.

No Case Assigned Workflow Queue(s)

Most documents in the No Case Assigned queue can be validated using the following steps. These steps assume you have already opened a document in the No Case Assigned queue.

Step	Action
1.	Perform Quality Assurance on the document, which includes updating the Case Number/CIN and Form Name fields, setting specialty flags, and if necessary, merging/splitting/copying/deleting pages, re-scanning pages, etc.
2.	Click the Send To button.
3.	Select Pre-OCR from the Send To options.

Use the following steps if the document is no longer needed and can be removed from CalSAWS Imaging.

Step	Action
1.	Click the Send To button.
2.	Select Document Removal from the Send To options.

Person Selection Workflow Queue(s)

Documents in the Person Selection queue can be validated using the following steps. These steps assume you have already opened a document in the Person Selection queue.

Step	Action
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1.	Click the magnifying glass next to the Case/Person Name field.
2.	Ensure the search populates with the correct case number and click the Search button.
3.	Select the correct person for the document.
4.	Ensure all other document properties, including the Form Name , are correct and click the Send To Person Handling button.

To keep the document as case level and not linked to a person, do not change the Case/Person Name fields. Click the **Send To Person Select Handling** button.

Reindex and Reindex Confidential Workflow Queue(s)

The Reindex and Reindex Confidential queues function the same. The verification and processing steps in both queues are the same.

Most documents in the Reindex queues can be validated using the following steps. These steps assume you have already opened a document in the Reindex and Reindex Confidential queue.

Step	Action
1.	Update or verify the Form Name field. If needed, update the Applicable Date, Received Date, County Code or Notes fields.
2.	Click the Send To button.
3.	Select Workflow Archive from the Send To options.

Use the following steps if the document is no longer needed and can be removed from the Imaging Solution.

Step	Action
1.	Click the Send To button.
2.	Select Document Removal from the Send To options.

Use the following steps if the document should be sent to another CalSAWS county.

Step	Action
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1.	Update the County Code field to the County the document belongs to.
2.	Click the Send To button.
3.	Select Other County Documents from the Send To options.

Use the following steps if the case number or CIN needs to be updated.

Step	Action
1.	Click the Send To button.
2.	Select County (FR – [County Name]) from the Send To options.
3.	Continue actioning the document in the Reindex All queue.

Reindex All and Reindex All Confidential Workflow Queue(s)

The Reindex All and Reindex All Confidential queues function the same. The verification and processing steps in both queues are the same.

Most documents in the Reindex All queues can be validated using the following steps. These steps assume you have already opened a document in the Reindex All and Reindex All Confidential queue.

Step	Action
1.	Update the document's properties as appropriate. You can edit the following properties: <ul style="list-style-type: none"> • Case Number/CIN • Case/Person Name • Form Name • Applicable Date • Received Date • County Code • Notes
2.	If applicable, associate the document to a person as follows: <ol style="list-style-type: none"> a) Click the magnifying glass icon next to the Case/Person Name field. b) Ensure the Case Number is correct and click the Search button. c) Select the correct person.

3.	Click the Send To button.
4.	Select Workflow Archive from the Send To options.

Use the following steps if the document is no longer needed and can be removed from the Imaging Solution.

Step	Action
1.	Click the Send To button.
2.	Select Document Removal from the Send To options.

Use the following steps if the document should be sent to another CalSAWS county.

Step	Action
1.	Update the County Code field to the County the document belongs to.
2.	Click the Send To button.
3.	Select Other County Documents from the Send To options.

Routing Archived Documents to the Reindex, Reindex All or Document Removal Queue

To route archived documents to the Reindex, Reindex All or Document Removal queue, follow the steps below. These steps assume you are already on the Perceptive Experience Home page.

Step	Action
1.	Click the Documents button on the Perceptive Experience Home page.
2.	Select the <Drawer> where the archived document is stored under the Document Views panel.
3.	Conduct a pre-defined or advance search to locate the archived document. Note: Only documents in which the Processing Queue column is blank can be routed to Reindex, Reindex All, or Document Removal.
4.	Click the document hyperlink to open the Perceptive Experience Document Viewer .
5.	Click the Add to Workflow icon.

6.	Confirm Reindex Reasons is selected from the Select a workflow process drop list.
7.	a) Select [County Code] – Document Requires Removal from the Select a Queue drop list to route the document to the Document Removal queue. b) Select [County Code] - Reindex – Form Only from the Select a Queue drop list to route the document to the Reindex queue. c) Select [County Code] - Reindex All from the Select a Queue drop list to route the document to the Reindex All queue.
8.	Click the Add button to route the archived document to the selected workflow queue. Note: You can disregard the Priority field, as it does not impact the routing of the archived document to your selected workflow queue.

Note: Separate CalSAWS security rights are required to route archived documents to the Reindex, Reindex All and Document Removal queues. Users without the security rights to route documents out of archival are not able to view the Add to Workflow button. Remember to follow your County’s policy and business processes when routing documents out of archival.

How are Documents Flagged as Exceptions?

When documents are imaged into the Imaging Solution, users can determine if the documents are routed to OCR. Documents captured using any of the core capture profiles (Single Case, Multi Case, Ignore Barcode, and Returned Mail) can have the OCR Bypass flag set.

If the flag is set to “true,” the document will not be processed by OCR. The document will not route to the Exception queue. It may be routed to the Barcode Verification or Person Selection queue, depending on the form name selected.

If this flag is set to “false,” the document will be processed by OCR. OCR first looks for a CalSAWS barcode on the bottom right. If it can’t find a valid barcode value, OCR will look for a form number on the bottom left. If both of these fail, OCR attempts to extract and validate certain key words that are linked to a person level form name.

Documents that are fully processed by OCR are sent back to the appropriate system workflow queue to continue system processing and archival.

Documents that are flagged as exceptions by OCR are automatically sent to the Barcode Verification or Exception queues. See the table below for the list of criteria that the OCR Service applies to each document to determine whether it should be flagged as an exception:

Document Type	Criteria – Flagging Documents as Exceptions
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Barcoded Documents	<ul style="list-style-type: none"> • The extracted barcode value(s) do not match the case context of the document(s). • The extracted barcode value(s) are invalid. • OCR encounters a webservice error while attempting to extract barcode value(s).
County-Generated Documents	<ul style="list-style-type: none"> • OCR is unable to extract valid QR barcode(s) or form number(s). • The extracted form number(s) cannot be validated. • The document(s) do not contain CalSAWS form number(s) on the bottom left.
Person-Level / Verification Documents	<ul style="list-style-type: none"> • The extracted Form Name(s) cannot be validated.

Note: The System routes time-sensitive, barcoded documents that are flagged as exceptions to the Barcode Verification queue instead of the Exception queue. Additionally, if the OCR service recognizes a No Case Coversheet, the System automatically routes the associated documents to the No Case Assigned queue.

Transferring Other County Documents via County-Maintained Workflow Queue

Other County Documents refer to documents that belong to one County but are received and captured in a different County.

The two ways to transfer Other County Documents to the appropriate County depend on whether or not the documents are barcoded.

Transferring Other County Documents that are Barcoded

Other County documents that are barcoded are transferred via the Barcode Verification queue. The following table describes the workflow of transferring barcoded documents to another County:

Step	Action
Initial Capture	The user captures the other County's barcoded documents using Multi-Case capture.
Initial Barcode Processing	The System automatically processes the barcodes at the point-of-scan.
Initial Quality Assurance	The user performs quality assurance on the scanned batch, during which the barcode values should be validated, and submits the document forward for initial system processing.
Initial System Processing	Due to the discrepancy between the County of the scanning user and the County Code field associated with the barcode, the System automatically routes the

	documents to the scanning County's Barcode Verification queue.
Scanning County's Barcode Verification queue	Users with access to the Barcode Verification queue verify the county code and barcode values are correct and route the documents to Barcode Handling .
Post-Barcode Verification System Processing	The System automatically routes the documents to the receiving County's Barcode Verification queue, based on the document's County Code .
Receiving County's Barcode Verification queue	Staff in the receiving County with access to the Barcode Verification queue verifies the barcode values and routes the document forward for system processing and archival, as per the standard Imaging workflow.

If barcoded document(s) from another County need to remain in the scanning County, user within the scanning County's Barcode Verification queue with access to the manual routing options routes the document(s) to the Exception queue. Within the Exception queue, users reindex the document(s) to a local case.

Note: The previous routing logic only applies for multi-case scanning. To transfer other County documents that have been scanned using a different scan mode, follow the process below.

Transferring Other County Documents that are Non-Barcoded

Other County documents that are non-barcoded are transferred via the Exception, Reindex, or Reindex All queues.

To transfer the other County's non-barcoded documents, users with access to the scanning County's Exception, or Reindex, or Reindex All queue set the County Code field to the destination County. After updating the County Code field, users route the documents to Other County Documents, which is a system workflow queue. From here, the System automatically sends the documents to the destination County's Exception queue for review.

If there are no issues with the transferred document(s), users in the receiving County verify the document properties in the Exception queue and route the documents forward for system processing and archival, as per the standard Imaging workflow.

Re-Routing Other County Documents back to the Sending County

If users in the receiving County notice a discrepancy or issue with the transferred document(s), they re-route the document(s) back to the sending County using the County Code field. These steps assume you are already viewing the document(s) in the Perceptive Experience Document Viewer.

Note: Steps one and two are only relevant for barcoded documents that have been transferred from another County via the Exception queue. To re-route non-barcoded documents back to the sending County, start on Step 3.

Steps	Action
1.	Click the Send To button.
2.	Select Exception from the Send To drop list to route the document(s) to your County's Exception queue.
3.	Users with access to your County's Exception queue open the document(s) that are now pending in the Exception queue.
4.	Update the County Code field to the appropriate County. Note: Users can determine the sending County's County Code value by inspecting the last two values of the Username field or email.
5.	Click the Send To button.
6.	Select Other County Documents to re-route the document(s) back to the sending County.