

10-260 A. Document Capture Procedures for Employment Services Contractors

Table of Contents

The **Document Capture Procedures for Employment Services Contractors** section includes the following information:

Topic
Background
Document Capture Guidelines
Exceptions to 12-Month Limit for Document Capture of Existing WTW Documents
Document Preparation Basics
Use of Document Capture Templates
Program Approved Workarounds
Case Preparation Training for Employment Services Contractors
KOFAX (Batch Manager) Training for Document Capture Station Staff
Document Capture Station Staff Responsibilities
Document Retention Requirements
Access to Editing/Deleting Documents in DoReS
Document Capture Go-Live Expectations
Hierarchy of Document Capture Efforts
Transfer of Captured Cases to Record Library (RL)
Monthly Monitoring of WTW Document Capture Progress
Accelerated Document Capture Expectations
Related Terminology

Background

San Diego County HHSA implemented document capture (formerly known as Imaging) of active CalWORKs case documents into an electronic repository known as the Document Retrieval System (DoReS). Eligibility cases are now virtual in the CalWIN System and the accompanying documentation is captured into DoReS. To support the County’s document capture efforts and promote information sharing across Employment Services and Eligibility sites, Employment Services Contractors are required to implement document capture of all active Welfare-to-Work (WTW) cases based on the document capture Go Live date(s) established by CalWORKs Program, Eligibility Operations .

Document Capture Guidelines

When preparing WTW cases for document capture, Employment Services Contractors are required to follow existing document capture guidelines:

- An *Imaging Communication Form* will be generated from the [CalWIN KOFAX Case ID /ICF Barcode Generator](#) webpage and placed on top of the prepared documents by designated by designated Employment staff
- Only the previous 12 months of documents identified by CalWORKs Program will be captured
- Documents that are not approved by CalWORKs Program, Eligibility

- Operations will not be captured
- Documents that are resident in, or forms generated from CalWIN (i.e. Informing Notices, Notices of Action, Verification Checklist) will not be captured, unless they require Client Signature or 3rd Party Completion/Signature or are otherwise deemed appropriate for document capture by CalWORKs Program, Eligibility Operations.
- Case Narratives will not be captured
- The document capture process will not be used in lieu of making required entries in the CalWIN System

Exceptions to 12-Month Limit for Document Capture of Existing WTW Documents

Certain WTW forms will be exempt from the 12-month limit for document capture of existing case documents. Employment staff are required to follow the instructions below with regard to these documents:

EXCEPTIONS TO 12-MONTH LIMIT FOR DOCUMENT CAPTURE EXISTING DOCUMENTS	
Document Type	Document Capture Instruction
WTW Plans	All existing WTW Plans shall be captured.
Orientation Packet	The most recent Orientation Packet shall be captured, including the following forms: <ul style="list-style-type: none"> Personal Responsibility Agreement (06-302) Language Needs Determination Form (20-46) Welfare to Work Participant Profile (27-01) Welfare to Work Behavioral Health Screening Tool (27-62) or Welfare to Work Behavioral Health Screening Results (27-63) WTW Plan Rights and Responsibilities (WTW 1) Welfare to Work Plan Activity Assignment (WTW 2)
All Welfare to Work/Cal-Learn Child Care Communication Forms (27-128)	All existing 27-128 forms shall be captured by Employment staff; however, they shall continue to provide a hard copy of this form for Child Care staff in all Child Care Referral Packets. Note: As the Child Care Program is not participating in the Document Capture process at this time they shall continue to maintain hard copies of received 27-128 forms in

	their case files.
Participation documentation	All participation documentation for the prior 12 months
All CalWORKs Stage One Child Care Request Form and Payment Rules Forms (CCP7)	All existing CCP7 forms shall be captured
Regarding WTW Overpayment(s)	All supporting documentation shall be captured

Document Preparation Basics

Document preparation needs to be conducted by staff designated by the Employment Contractor’s site Management. Employment Case Managers (or designated staff) are required to prepare existing cases—both active and any remaining closed cases—for document capture into DoReS. Staff is required to segregate within each case file the appropriate approved documents that constitute the previous 12 months of activity and prepare these documents for document capture. Document preparation consists of the following:

- ✓ Removing all physical constraints (staples, paperclips, repair tears, sticky notes, etc.)
- ✓ Performing document quality review – Checking for pencil marks or ink smudges on documents and erasing them whenever possible
- ✓ Ensuring that all documents that follow the *Imaging Communication Form* are specific to that particular case
- ✓ Ensuring that the stack of documents for scanning is in the following order:
 1. *Imaging Communication Form*: which will allow the document capture system to retrieve the following metadata from CalWIN:
 - a. First Name,
 - b. Last Name,
 - c. CalWIN Case Number and
 - d. Aid Type
 2. Documents which are general in nature for the entire case.

Note: As each WTW participant has their own Employment Services case, there may be few case-related documents for document capture.
 3. Documents which are person specific to the WTW participant will be grouped together.
 4. Templates need to be used for approved items that do not contain a form number (i.e. social security cards, birth records, utility bills, etc.) Whenever possible the associated item needs to be copied directly onto the template. (See [Use of Document Capture Templates](#) section).

[Top](#)

Use of Document Capture Templates

Document capture templates are utilized to capture approved documents that:

- Do not have a form number, and/or
- Are not captured in CalWIN, and/or
- Require a work-around, as instructed by CalWORKs Program, Eligibility Operations.

[Top](#)

Appropriate template use is based on verification requirements of the CalWORKs program and the CalWIN window(s) that each template is associated with. Templates are not to be used to capture forms that are already listed in the KOFAX Drop Down Menu or that are resident in, or generated from CalWIN and do not require a signature and/or 3rd Party Completion/Signature.(i.e. Informing Notices, Notices of Action, Verification Checklist) unless they are deemed appropriate for document capture by CalWORKs Program, Eligibility Operations.

Note: Employment sites need to order templates from the Xerox Print Center. Employment staff can refer to the [Document Capture Template Guide \(Employment Version\)](#) for additional guidance regarding proper template use.

Program Approved Workarounds

When necessary, Employment and Document Capture Station staff are required to follow CalWORKs Program approved workarounds to capture documents that are on the [Approved Forms for Document Capture Process \(Employment Services Version\)](#) but are not listed in the KOFAX Drop Down Menu. Workarounds are also outlined in this document and may consist of conducting document capture using a specific template or using a form number already available in KOFAX. Employment and Document Capture Station staff are required to follow these guidelines during the Case Preparation and/or document capture process, as appropriate.

Case Preparation Training for Employment Services Contractors

County provided Training for Trainers regarding Case Preparation; these staff members will, in turn, train Employment Case Managers and any additional Employment staff regarding proper case preparation procedures.

KOFAX (Batch Manager) Training for Document Capture Station Staff

Employment Services Contractors are required to ensure that all staff designated to operate the Document Capture Stations attend County provided trainings regarding KOFAX (Batch Manager). These staff are responsible for the daily operation of the Document Capture Station, including:

- Maintaining the integrity of the DoReS system by ensuring that only approved documents are captured, and
- Conducting routine equipment maintenance on a weekly basis (See *Document Capture Station Staff Responsibilities*), and
- Reporting any KOFAX or equipment issues to the Operational Support

[Top](#)

**Document
Capture Station
Staff
Responsibilities**

Employment Services Contractors are required to ensure that Document Capture Stations are sufficiently staffed to ensure that document capture is continually in operation throughout the entire work day.

Document Capture staff are required to operate Document Capture Stations based on the procedures outlined in the KOFAX Training Manual and supplemental materials provided by CalWORKs Program, Eligibility Operations. Batch size shall be limited to a maximum of 75 to 100 pages; large cases that exceed these limits shall be broken down into multiple batches. If Capture staff is processing single documents for multiple cases, they shall be limited to no more than 25 individual batches at one time.

[Top](#)

When creating batches, Capture staff shall utilize the following naming convention:

- Initials
- Underscore and
- Case Number
- Example: "BB_1Bxxxxx"

Note: As each Document Capture station functions independently, the batches submitted into one station cannot be accessed nor processed at another; this is important for Employment sites that have multiple Document Capture Stations.

Document capture staff is required to complete and provide the [Welfare-to-Work Document Capture Communication Form](#) to the assigned Employment Case Manager. This form will contain the:

- Case Name and Case Number of the captured case,
- Assigned ECM #,
- Date the documents were captured,
- Document types that were captured, and
- Document Capture staff Initials, Worker Number and Date.

The document capture retention date begins the 10 calendar day period to allow Employment staff to review the captured documents in DoReS and work with document capture staff to correct any documents, if needed, before they are destroyed (see [Document Retention Requirements](#)).

Document Capture staff is also responsible for maintaining the integrity of the Document Capture System (DoReS). For this reason, they are required to review submitted documents and conduct the following actions :

- Reject and return submitted cases/packets that do not meet Case Preparation Protocols to the Supervisor of the submitting Employment Case Manager (or designated staff) for follow up and re-submission, and/or
- Reject and return submitted documents or forms if they are not on the Approved WTW Forms list, and/or

- Reject and return identical documents that have already been captured (to avoid over-verification and/or duplication) as long as existing version in DoReS is legible, and/or
- Document rejection reason (s) under the **Imaging Station Response** section of the *Imaging Communication Form* and return to the appropriate staff

Document Retention Requirements

Employment Services Contractors are required to designate Document Retention Areas at all Employment sites that conduct document capture. These areas will serve as temporary storage of all captured documents (with the exception of any original documents that are to be promptly returned to the client). The retention timeframe of 10 days (following the capture date) will allow both Document Capture Station staff and the Employment Case Manager sufficient time to review DoReS and:

- Ensure that all submitted documents were captured successfully or
- Work with Capture staff to correct any documents, as needed.

Employment Services Contractors are required to ensure that captured document packets are:

- Placed into the Document Retention area and organized based on date captured, and
- Retained for 10 calendar days before being destroyed, and
- Pulled out for confidential shredding based on the date captured.

Access to Editing/Deleting Documents in DoReS

Due to system integrity and security concerns, a very limited number of Employment Services staff with Automation or Corrective Action roles at their respective sites (2 per site) will be provided with sufficient access to edit document data and/or delete documents from the DoReS. This enhanced access will not allow changes to the captured documents themselves.

Employment Staff with this access shall limit their activities to the following:

- Correcting document types
- Correcting the person associated with the captured document
- Correcting the case number associated with the captured document
- Deleting duplicate documents (captured at Employment sites)
- Deleting captured documents (captured at Employment sites) that are not approved by CalWORKs Program, Eligibility Operations

Employment Staff may contact CalWORKs Program staff, if needed, for additional guidance regarding correction of document data or document deletion.

Document Capture Go Live Expectations

After the document capture Go Live date, Employment Services Contractors are required to ensure that:

- All new cases are created as virtual, and
- Staff begins to conduct case preparation activities, and

- The document capture progress of all existing active and closed cases is closely monitored in line with County directives.

Note: Employment Services Contractors shall ensure that appropriate staff has access to CITRIX and/or DoReS for Document Capture purposes. In addition, contractors shall ensure that their staff logs into both automated systems at least once per month in order to preserve their access.

Hierarchy of Document Capture Efforts

After Go Live, Employment sites shall adhere to the following hierarchy when conducting document capture:

1. All new WTW cases are required to be virtual from the Go Live date
2. All Welfare to Work Pregnant and Parenting Teen Cases (WTW PPT) cases are required to be virtual prior to transitioning to the Cal Learn program.
3. Prior 24-month documentation, as appropriate, for active cases
4. Closed cases that were not sent to the Record Library (RL) by the Go Live date

Transfer of Captured Cases to Record Library (RL)

Employment Services Contractors are required to ensure the following with implementation of document capture:

- All cases that are captured (active and closed) are sent to the RL.
- Once documents are captured, physical case files will be stored in RL—both Active and Closed—and will no longer remain at contractor site.
- Ensure that active case files for captured cases are transferred to RL within 15 days from the capture date.
- When Active cases are sent to RL, they need to be scanned as being sent to RL in the Case Folder Tracking Application (CFTA).
- Boxes of Active cases must be clearly marked as such before transfer to the RL so they do not get mixed in with closed case files.
- If documents older than 12 months are needed at a later date, they shall be recalled from the RL using existing procedures.

Monthly Monitoring of WTW Document Capture Progress

After the document capture Go Live date, Employment Services Contractors are required to monitor their staff to ensure that monthly document capture goals regarding existing WTW cases are met. Employment Case Managers (or designated staff) are required to prepare and submit 10% of their caseload for document capture on a monthly basis until all existing WTW cases are captured into DoReS. Employment Services Contractors shall utilize the daily *DoReS Scanned Documents Report* provided by CalWORKs Program, Eligibility Operations to monitor the progress of their staff.

CalWORKs Program, Eligibility Operations will also assist with monitoring document capture progress of existing WTW cases at all Employment sites, including the issuance of periodic status reports to outline overall document capture progress and identify any areas of concern.

Accelerated Document Capture Expectations

[Top](#)

After Employment Services Contractors complete the process of document capture of existing and new WTW cases, based on timeframes and protocols established by CalWORKs Program, Eligibility Operations, Employment sites are required to follow the Accelerated Document Capture Process. This is a standardized timeframe for converting all verifications/documents received into virtual items within 24 hours of receipt (by next business day if documents are received after normal business hours or on weekends). Employment Services Contractors shall ensure that staffing of Document Capture Stations is sufficient to meet this timeframe.

Related Terminology

Document Capture	The process of converting a physical document to another format, usually a digital representation
DoReS	Document Retrieval System – repository of captured documents which can be accessed as a stand-alone system.
CalWIN Interface	The CalWIN KOFAX Case ID /Imaging Communication Forms allow for KOFAX to retrieve the metadata required for validation, this occurs via the case number and aid type.
Document Capture Staff	Employment Services staff designated to conduct the document capture process.
KOFAX 8.0	Enhanced product that captures the “pictures” of the scanned items recognizes several currently used forms and allows for retrieval of case data for validation purposes.
Scan Document Review	Placement of documents into the scanning system. Allows for recognition of documents to be confirmed and proper placement of unrecognized documents in preparation for validation.
Validation	Process by which the user ensures the document is appropriately indexed with the correct case and person metadata from the retrieval window from CalWIN.
