

Department of Human Assistance Accelerates Forms Processing Using OCR & Intelligent Document Recognition



ORGANIZATION

Sacramento County
www.saccounty.net

INDUSTRY

County Government

SOLUTION

› Advanced capture

CHALLENGE

- › More applications & less staffing
- › Laborious to sort & process paper
- › Barcode separator sheets required for 14 different case types
- › Bottlenecks delayed critical tasks
- › Image clean up not automatic
- › Unable for multiple programs & departments to access a single instance of a document
- › Form type not easily identifiable in FileNet content management system

KEY BENEFITS

- › Clerical staff workload lightened
- › Form type recognition eliminates need for cover sheets
- › 75,000 pages per month processed 50% more efficiently
- › Fast processing eliminates delays in other critical functions
- › Enable single-instance storage and access for documents across departments & programs
- › Document types easily identifiable in FileNet content management system by case workers
- › Reduced paper handling & storage

“FORMS NOW ENTER THE SYSTEM 50% MORE QUICKLY ALLOWING US TO CONTINUE WORKING ON OTHER CRITICAL DEPARTMENTAL OBLIGATIONS.”

– Kathryn Montoya, Manager, DHA General Services Division, Sacramento County

Sacramento County is located in California's prime agricultural region, the fertile Central Valley. Encompassing the City of Sacramento, which is home to the State capitol, the County serves nearly 1.5 million residents.

The County's Department of Human Assistance (DHA) plans, implements and oversees a spectrum of programs and services designed to move people from public assistance to independence. The services provided by DHA touch every facet of daily life, from employment, housing and health care to transportation, education and child care. DHA's programs are specifically designed to help low-income families and individuals find workable solutions to daily-living problems as they make the transition from welfare to the workplace.

A depressed economic environment has escalated the demand for human assistance at Sacramento County. Sizable increases in client applications for services has challenged a shrinking workforce at DHA. Due to cuts in state funding, the department has experienced a 17% reduction in manpower.

One solution emerged as the answer to meeting demand using fewer resources —automation through technology.

Processing, Management & Storage of Paper Applications Costly for County

There are numerous forms and supporting documentation required to initiate and continue the many services offered by DHA. Prior to document imaging, paper copies of cases were stored in cubicle shelving and 40,000 square feet of warehouse space. Beside the high risk of lost documents, information was dif-

ficult to share. Several dedicated clerical staff were required just for moving paper. DHA was spending over \$3 million per year just to manage paper documents.

ECM & Imaging Provide Improvements, Yet More Efficiencies Required

To address problems associated with lost documents and paper storage, the County's Department of Technology had implemented Kofax Capture to digitize incoming forms and store them in an IBM FileNet content management system. By consolidating to one dedicated imaging facility, they were able to achieve same-day imaging, more volume per staff and an error rate well under .005%.

While imaging benefited DHA, significant labor was required for paper sorting and processing. Barcode separator sheets had to be applied to documents for case and category identification, yet the categories weren't viewable in FileNet. Inconsistent quality necessitated rescanning or image clean up within the ECM system.



To further advance efficiencies, the Department of Technology and DHA needed to reduce paper processing, eliminate barcode cover sheets, improve access to documents and feed identifiable information directly to FileNet.

ImageSource was engaged to evaluate the imaging environment, perform an intense ROI evaluation and make recommendations for improvement.

ImageSource Integrates Advance Capture, Providing Automation for DHA Processes

As foremost experts in forms recognition, ImageSource concluded that the standard, pre-printed forms utilized by DHA were perfect candidates for optical character recognition (OCR) and intelligent document recognition technology. Showing potential for sizable savings county-wide, Kofax Transformation Module (KTM) was selected to further automate DHA processes. The leading advanced capture software worldwide, KTM identifies, categorizes and extracts information from forms during scanning, attaches associated metadata to documents and initiates the proper workflow without human intervention.

OCR & the Elimination of Barcode Separator Sheets Yields Rapid & Substantial Processing Efficiencies

With a steep rise in application submissions, over 1,400 multi-page documents were coming through the Department on a typical day. Multiple versions of the highest volume incoming forms—Periodic Status Report for non-MediCal programs (QR7) and the Mid-Year Status Report for MediCal (MSR)—were determined to be the ideal place to start using advanced capture technology.

“THIS SOLUTION HAS LIGHTENED THE WORKLOAD FOR CLERICAL STAFF AND EXTENDED PROCESS EFFICIENCIES TO ELIGIBILITY WORKERS BY DELIVERING BETTER INFORMATION ON CASE FILES.”

— Doug Kudlick, Senior IT Analyst, DHA

ImageSource partnered with the County Department of Technology to implement the highly automated solution. Using Kofax Project Planner, KTM reviews, identifies and categorizes the forms and their attachments, such as pay stubs, rent receipts, etc. The integration enables KTM to validate extracted case numbers against the County's welfare case database. Kofax Project Planner has been configured to attach trailing documents to create complete packages.

Previously QR7 forms, which have the propensity to be submitted within a

small window of time, inundated DHA. The influx created huge bottlenecks and forced the Department to stall other critical departmental obligations. Clerical staff no longer have to print and insert barcode separator sheets. Now, QR7 forms enter the system 50% quicker, enabling the department to continue other critical processing without interruption.

KTM & FileNet Integration Enhances Efficiencies & Access to Cases

Although DHA had formerly improved the sharing of common information by providing online access to cases through FileNet, new enhancements incorporated by ImageSource have further expedited access. The classification type recognized by KTM during processing is automatically transferred to a newly configured field in FileNet. This categorization field allows case workers to clearly see forms by category in the repository, for quick identification.

“This solution has lightened the workload for the clerical staff and extended process efficiencies to eligibility workers by delivering better information on case files. They are now able to clearly identify designated document types stored in FileNet,” explains Doug Kudlick, Senior IT Analyst, DHA Information Services Division, Sacramento County.

A Solid Start Provides Powerful Infrastructure for New Efficiencies

The combination of Kofax Transformation Modules and IBM FileNet software, integrated with DHA's existing database has laid the groundwork for form identification and case number recognition. By “training” KTM to recognize other forms, these benefits will continue to expand as the Department works toward the goal of including all standardized forms.

“We can see even more potential. With this new automation, we've relieved bottlenecks and moved DHA from paper pushing to true image processing,” concludes Kathryn Montoya, Manager, DHA General Services Division, Sacramento County. “The imaging staff is seeing the benefits of OCR and is eager to do more.”

By choosing to implement software that is capable of expanding to serve the enterprise, DHA and other departments in Sacramento County can automate countless business processes in the future.

Technology



IBM FILENET

IBM® FileNet® P8 Platform is a next-generation, unified platform, combining enterprise content management reference architecture with comprehensive business process management and compliance capabilities.

FileNet includes a comprehensive set of content and process management business services that can be consumed and deployed in a service-oriented architecture. It also includes multilingual system capabilities for decentralized, federated system architecture.

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KOFAX® CAPTURE

Kofax Capture automates and accelerates business processes by capturing all types of paper and electronic documents and forms, transforming them into accurate and actionable information, and delivering it all into your core business applications, processes and workflows.

Kofax Capture, offering unmatched scalability provides a powerful centralized scanning solution. No matter what hardware or enterprise applications you choose now or in the future, Kofax Capture ensures consistent document capture, indexing and validation of your important information.

KOFAX® KTM

Kofax Transformation Modules is a suite of add-on applications for Kofax Capture that streamline the transformation of documents into structured electronic information, ready for delivery into business processes. It replaces manual, error-prone and expensive document sorting and data entry processes with automatic document classification, separation and data extraction.

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