30: Manage Documents

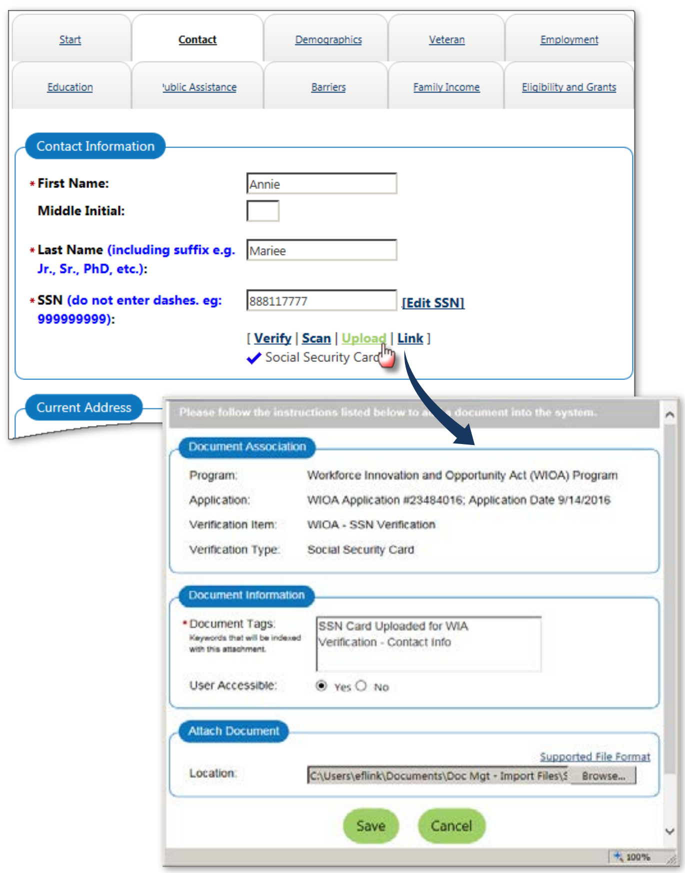
Chapter Contents

Introduction

There are many points in Virtual OneStop where the system helps staff validate or verify data input through verification records, such as when a staff member asks a client to provide a Social Security card, birth certificate, or driver's license to verify information.

For agencies that have the *Document Management* and *Document Scanning* modules as part of their Virtual OneStop system, authorized staff members can indicate the type of verification document used to verify the data, then acquire and attach a view of the document by scanning or importing it.

These verifications and associated documents can be scanned (acquired) or uploaded (added) to the documents stored for an individual (as files). Documents can be directly added from the documents tab, which lists all documents added for an individual (and then used in verifications as needed). Documents can also be directly added (in context) at the point that they are needed for verifications (e.g., from a link in an application, as shown at right). They are then linked to the relevant verification with appropriate associations. Such verification links are displayed at many points in Virtual OneStop.

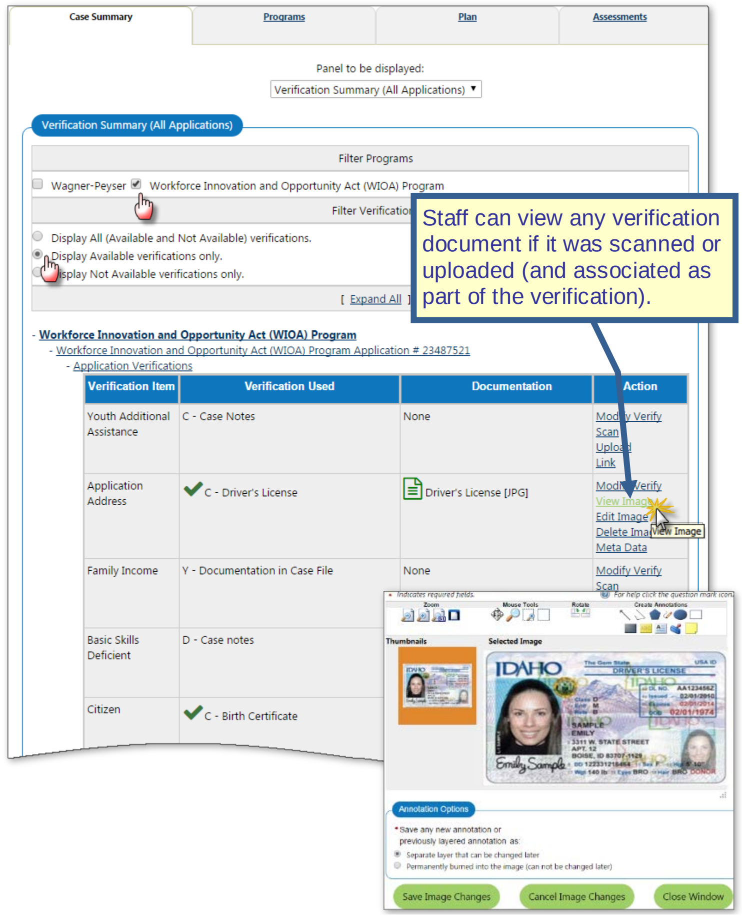


Upload and Document Association Performed "in context" at the Point of the Application

There is even a Verification Summary Panel from which staff can view all verifications required for an application, verifications that were made, and documents linked to each verification.

Most importantly, all three actions (acquiring the document, attaching the document to the verification, and viewing the document) can occur at the point of, and in context with, the specific screen and process where the verification is performed (e.g., a disability/medical record at the point of verifying disability in a WIOA application). All verifications for an individual, and any associated documents linked to the verification, can be seen on the Verification Summary panel. This view displays verifications performed and recorded for all of the applications for programs in which this individual has been enrolled. Staff members can filter verifications by programs. They can also filter to display only the verifications available for the selected program, only the verifications not available (not verified), or to display all verifications. This view is discussed more in *Chapter 4, Individuals – Case Management*, in the topic *Summary Tab – Verification Summary Panel*.

The Verification Summary panel (shown here) is just one convenient method to view and help manage the documents acquired and associated with an individual after the external documents have been attached to the appropriate program, application, and/or activity verifications.



Case Summary Tab, Verification Summary Panel

Staff can also view or manage documents acquired and associated with an individual *in context* (e.g., at the point of linking documents to verifications in a program application). Or, staff can scan or load documents using the Documents tab, from which they can also see every document associated with the individual.

The first steps in document management are to upload or acquire the relevant document, link it to appropriate points in case management, and adjust any tags or views of the document.

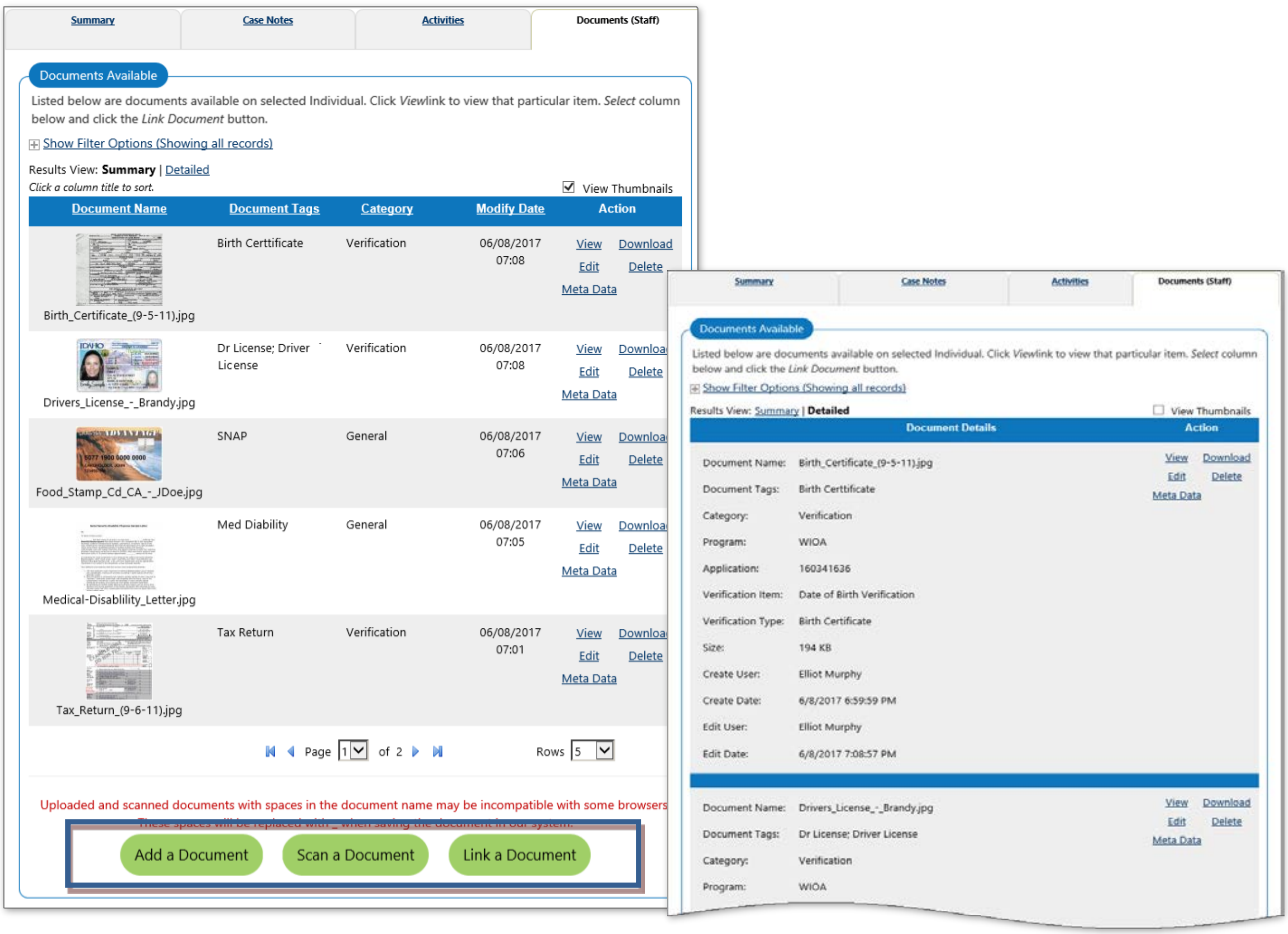
The following subtopics cover these steps, and indicate how to:

- **Use the Documents tab to add (upload) or scan documents:** Import electronic files (add) or scan in the document images for an individual to be associated with the individual's verifications or other associations, through links, at a later point in processing.
- **Use the Documents tab to link, tag, and mark documents:** Link selected documents to specific verifications, tag them for searching, and/or edit the views of them.
- **Use *Manage Documents* to search for imported documents:** Find scanned or imported documents based on tags, categories, or specific program criteria, regardless of individual associations. For example, documents initially scanned from the Documents tab are given a *General* category. Some documents may be used for case notes, others for specific program verification items. Searching by the *General* category can be an easy way to find documents that were uploaded from the Documents tab and still need to be given a specific association.
- **Add (upload), scan, link, or view documents in context:**: Access, link, or mark an available document at the point of use or related verification, by clicking the link on the appropriate screen.

The Documents Tab (Loading Documents)

The *Document Management* module provides an integrated set of tools for loading and managing documents. The management of external documents, such as an individual's hard-copy verification documents, is associated with the individual and is integrated into the system's case management workflows and processes. Therefore, hard-copy documents can be easily included with system-generated documents.

External verification or support documentation can be imported (added), acquired (scanned), and attached (linked) to the entire case, or to a specific record (such as an application or a specific enrollment) from the Documents tab. The staff member does not have to go to another application to manage documents. Documents can be managed right at the staff member's fingertips, as part of the *General Profile* available to the staff member assisting the individual.



General Profile, Documents (Staff) Tab – Summary and Detailed Views

Staff can interactively upload/import or scan documents into Virtual OneStop for an individual and attach the electronic documents to a client record with links identifying how the document is associated to the record (i.e., Document Association fields). This is done using the **Add**, **Scan**, or **Link** buttons on the Documents tab, and following basic steps indicated on the pages that are displayed.

After documents have been imported and attached to client records, staff can see a list of the electronic documents attached to a record in several flexible views, including the Summary tab view and the Documents tab view.

Below is a short description of each column in the Documents tab. Subtopics follow these column descriptions, with more details on documentation management capabilities within the Documents tab.

Document Name: This column displays the file name of the uploaded file. If the file is scanned, you can add the name as part of loading the scanned document. If it is uploaded, the file name of the uploaded document is automatically inserted.

Document Tags: This column displays the keyword that can be used by staff when searching by document tag terms in association with a document. This helps individuals identify documents more quickly, and distinguish between multiple copies with the same file name.

Category: This column indicates the *source* of the document creation, meaning the method/location from which it was added. In other words, it indicates where/how the document was uploaded or scanned. For example, when a document is scanned or uploaded form the Documents tab, its category automatically becomes *General*. When it is uploaded or scanned as part of an In-Context Verification (such as attaching a birth certificate for a "Date of Birth or Age Verification" during a program application), the Category is automatically populated as *Verification*. If a document is uploaded or scanned and attached as part of creating a case note, the category is automatically populated as *Case Note.* A document that staff attaches to a communication, such as an email message, will be given a *Communication* category. If staff managing an individual in a TAA program includes data on training benchmarks, and they upload/scan documents related to the benchmark, the category will be *Training Benchmar*k. Staff do not choose or control the Category, but the point at which they add the document determines its category.

Note: *The category is an important and useful field in the possible search criteria that can be used to search for a document.*

Size: This column indicates the file size of the stored document.

Modify Date: This column indicates the last date the file was modified. On the Documents (Staff) tab, the staff member can click for a summary or detailed view. The detailed view will list the Create Date (and time) and the Create User, as well as the Edit Date (and time) and the Edit User.

Note: *The modify date will be updated for any changes made by staff (from minor changes in document tags to changing associations). If an individual originally uploaded the file, any staff change will also lock the file from any individuals changes.*

Action: This column has links to View, Delete, or Download the available documents. The View link displays the areas for Document Image (for graphic file types, e.g., TIFF, PDF, JPEG) followed by the Document Association, Document Information, History Information, and Download Options areas. This is shown and described in the topic *Edit a Document and Create Annotations* starting on page 30-10.

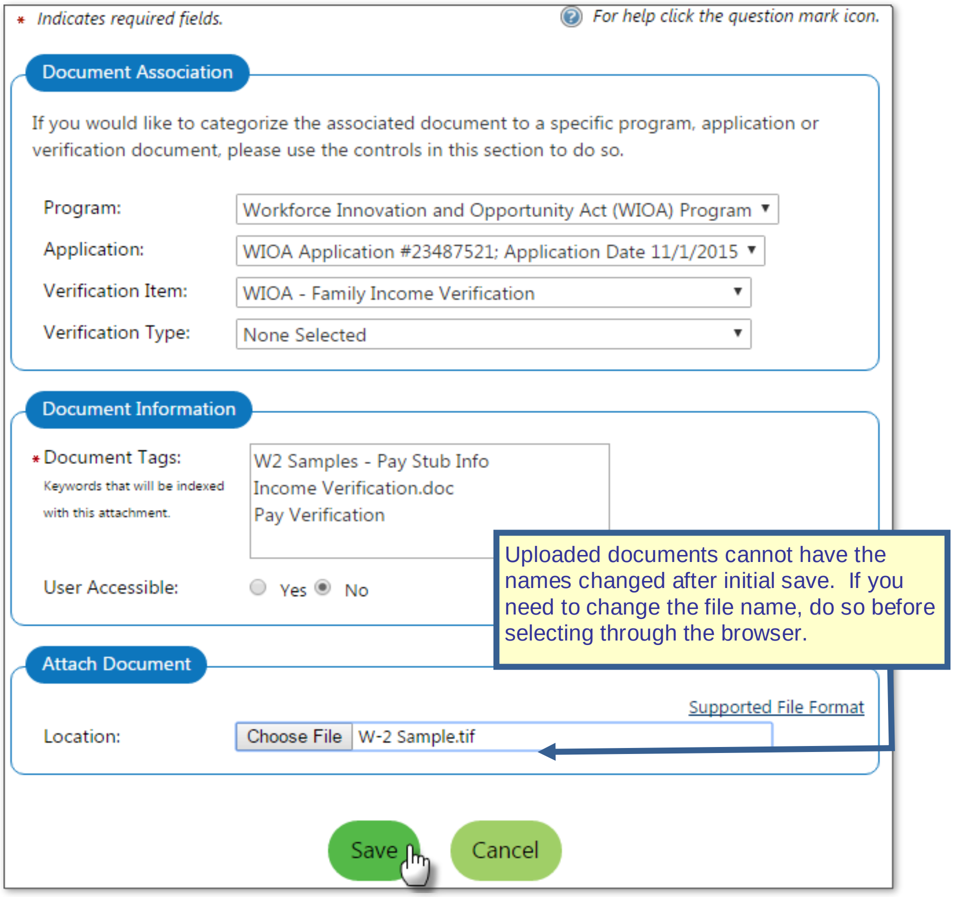
The Delete link will display a confirmation pop-up before deleting the file. Delete will not display for the individual on their Documents tab once any staff edits have been made to an Individual's uploaded file. Delete will always display for any staff who have privileges to delete documents.

Staff can also Download a document in its native format. This link allows the individual to quickly open a view of the attached file (or download the file), rather using the View link.

Note: *Any files that are not supported graphic file types (such as Word or Excel files), can be uploaded and attached as files. However, staff can click and open a view of those uploaded files. Staff must download the documents (e.g., to their desktop), where they can be opened with corresponding Office products or other products that reside at that download location (i.e., software on the staff desktop that is associated with the type of file and its file extension). Clicking View on these files displays all areas except Document Image.*

Add a Document (Upload)

Any electronic document that staff members can locate through the standard file selection tool can be uploaded to the Virtual OneStop system, associated with an individual, and added to their Documents tab by clicking the **Add a Document** button. From the screen that displays for adding (importing) the document, you will be presented with controls to manually add a document into the system.



Add a Document Screen

To add a document:

From the *Staff's General Profile* while assisting an individual, click the Documents tab, then click **Add a Document**. The Add Document screen displays. You can now associate that document to a specific program in which that individual is enrolled.

- **Create document associations**
  - Select the Program that you would like to associate to the document to be uploaded. The system will reload the page to display available Application options.

    If applicable, select from the available application.
  - Select a Verification Item that you would like to associate to the document to be uploaded. The system will reload the page to display available Verification Type options.

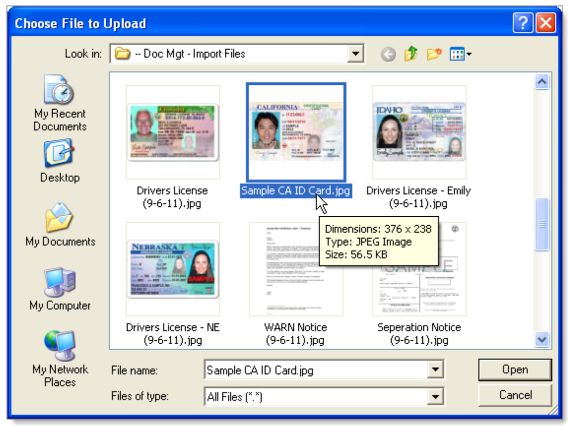
    Note: *Document Association is not required for uploading a document from the Documents tab. Regardless of association, the uploaded document will also be associated with a General category if the document is added from the Documents tab.*

- **Create document tags**
  - Enter at least one keyword that can be used by staff when searching by document tag terms in association with a document. For example, a copy of an individual's Social Security card may be scanned into the system with the words "Social Security" in the Document Tags field. Staff who search for documents with the words "Social Security" would see a list of all scanned documents with those words tagged in the Document Tags field, for a specific category.

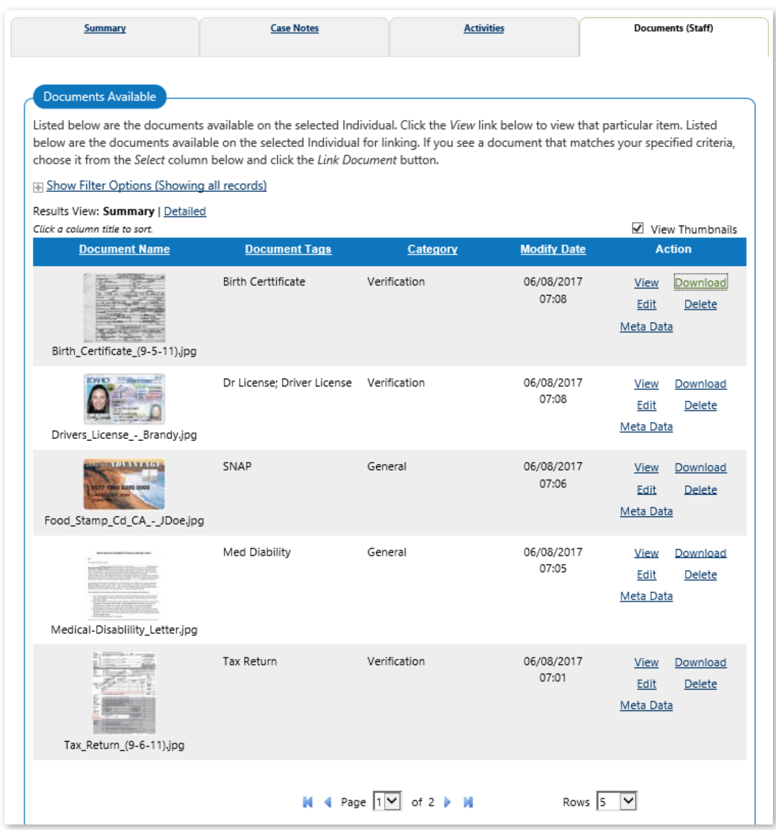
  Note: *Keep in mind that the uploaded document's file name cannot be changed after initial save/upload. You may want to include some portion of the file name as the document tag.*

- **Select user accessibility**
  - Select the *Yes* button if you want the individual to see this document as well.

  Note: *The default is* No. *This lets staff determine if the document added by staff can also be seen by / is accessible to the individual from their Documents tab.*



- **Attach the document**
  - Select the **Browse** button to locate the file you wish to upload.
  - Choose the file to upload.
  - Press **Save** as the final step to save and upload the document.



General Profile, Documents Tab (After Adding Documents)

Scan a Document

Any hard copy document that can be scanned via an available scanner can be associated with an individual and added to their Documents tab by clicking the **Scan a Document** button. The process is similar to the Add Documents process described in the previous topic. From the screen that displays for scanning (acquiring) the document image, you will be presented with controls to identify associations, scan, and upload the document into the system.

To scan and upload a document:

- **Create document associations**
  - ♦ Select the Program that you would like to associate to the document to be uploaded. The system will reload the page to display available Application options.

    If applicable, select from the available applications.

  - ♦ Select a verification Item that you would like to associate to the document to be uploaded. The system will reload the page to display available Verification Type options.

    Note: *Document Association is not required for uploading a document from the Documents tab. Regardless of association, the uploaded document will also be associated with a General designation for the document category.*

- **Create document tags**
  - ♦ Enter at least one keyword that can be used by staff when searching by document tag terms in association with a document. For example, a copy of an individual's Social Security card may be scanned into the system with the words "Social Security" in the Document Tags field. Staff who search for documents with the words "Social Security" would see a list of all scanned documents with those words tagged in the Document Tags field.
- **Identify scan options and settings**
  - ♦ Select the scanner or device source to be used
  - ♦ Select the Pixel Type
  - ♦ Select the Resolution

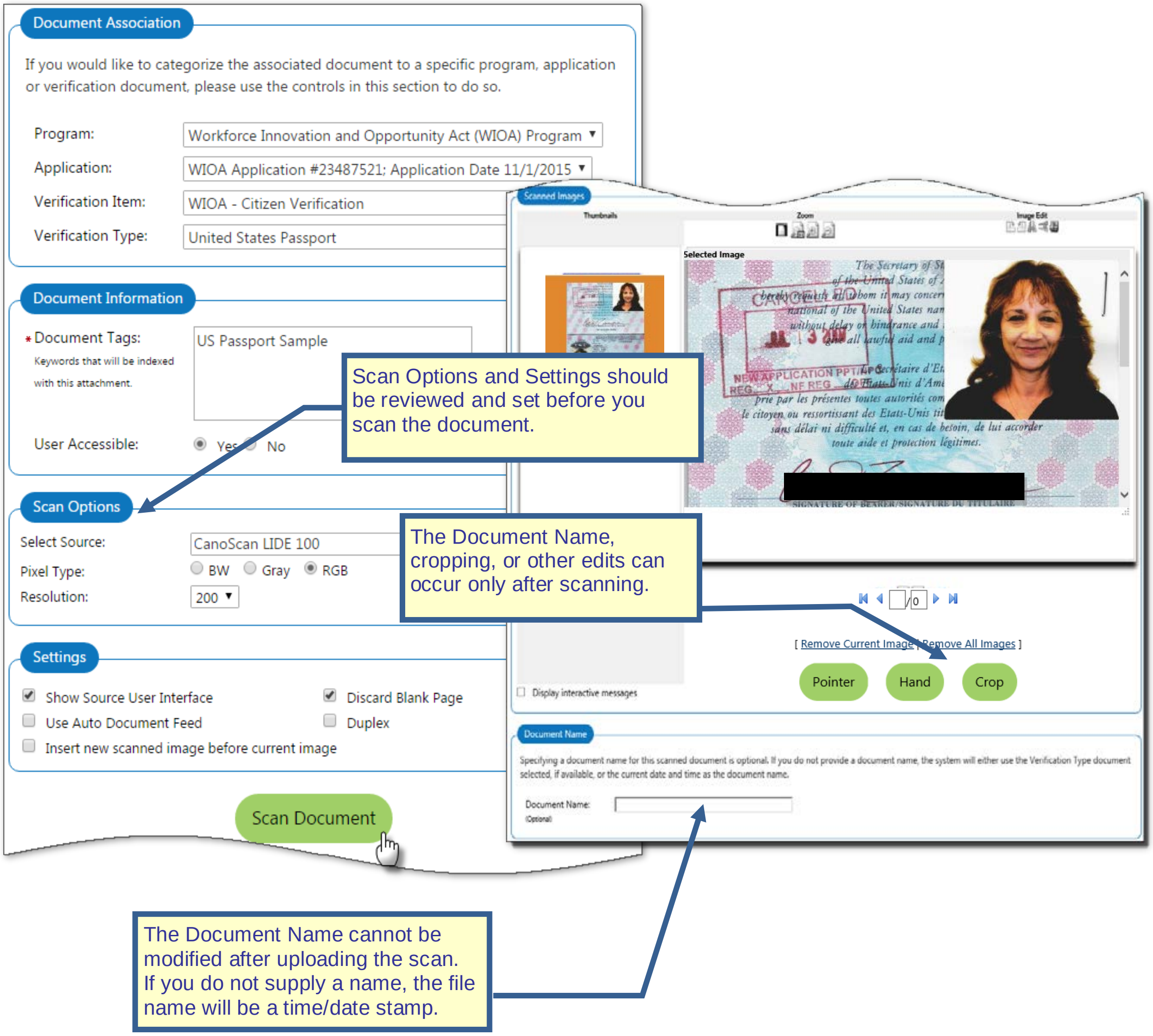
    Note: *RGB may be desirable for color images that will not scan well in black and white. However, resolution settings and pixel types for RGB color, black and white (BW), or gray scale selections affect the file size. Current configurations permit a scanned document to be a maximum of 4,000 KB in size. You will receive an error message if the size is larger, and you can change scan options to limit the file size.*

  - ♦ Review and adjust Settings check boxes as necessary.

    Note: *Applicable settings may be scanner/device-dependent. RGB type may be desirable for color images that will not scan well in BW. For most single-page scans, all these check boxes will remain blank, or will use the default settings established when the scanner is set up for the first time.*

- **Scan the document**
  - ♦ Press the **Scan Document** button to perform the image scan. After a brief file transfer, the scanned image will display in the thumbnail and image area.
  - ♦ Use image tools as desired to crop or edit the scanned image before image upload.
  - ♦ Enter a document name for the document to be uploaded. (The uploaded document's file name cannot be changed after initial save/upload.)
  - ♦ Press **Upload Document** as the final step to save and upload the scanned document.

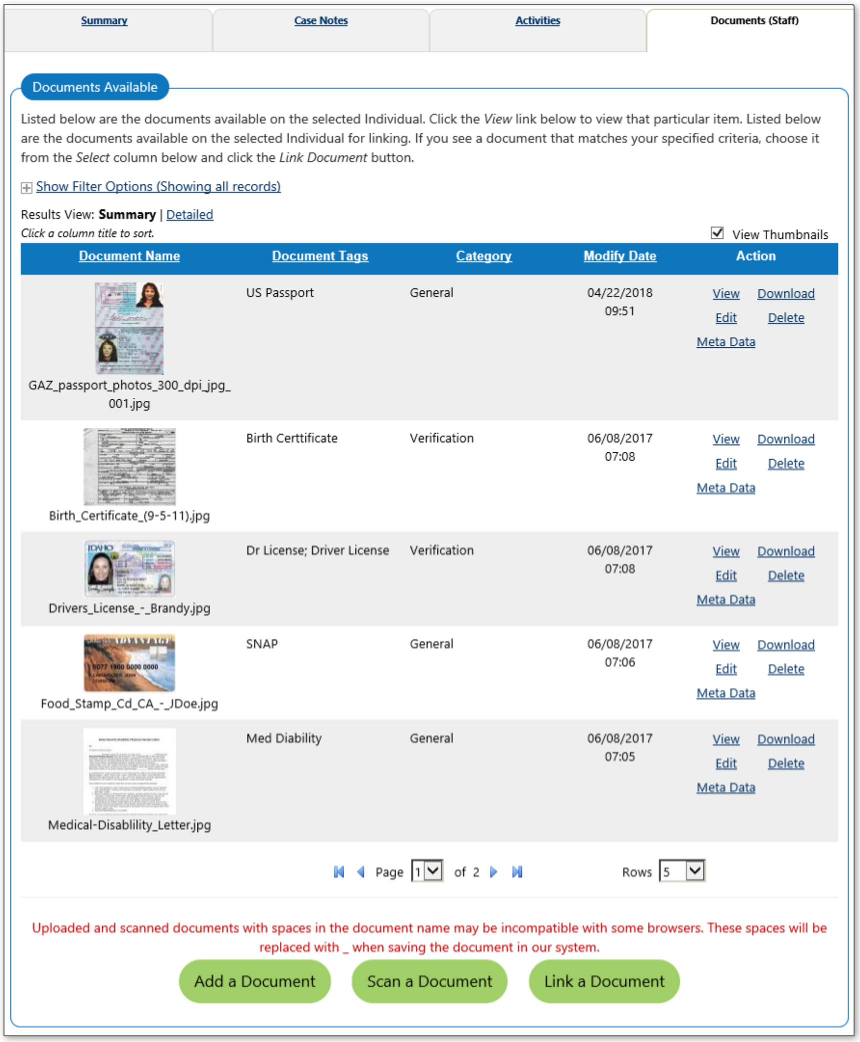
    Note: *When the file transfer/upload is complete, the Scanned Images section is emptied (the Point, Hand, Crop, and Upload buttons are grayed out), because the document was uploaded to the Documents tab.*



Scan Document Screen

- The Scanned Images section is open/free for any additional scans using the same or new associations, tagging, or scan options.
- When you are done scanning images, press the **Return to Previous Page** button (at the bottom of the screen).

  The new scanned images will be included in the list of documents now displayed on the Documents tab.



General Profile, Documents Tab (after scanned document)

Link a Document (Selecting from Available Files)

By selecting **Link a Document**, staff can link any document that has been uploaded as a file (through adding or scanning) and that is associated with the individual they are assisting. Linking a document for specific needs such as verifications or case notes can be done from the Documents tab, as described below. It can also be done by clicking to Link the documents, in context, at key points in the processing and verification of the individual's information (e.g., in program applications). When done *in context,* the Document Association selections are pre-populated.

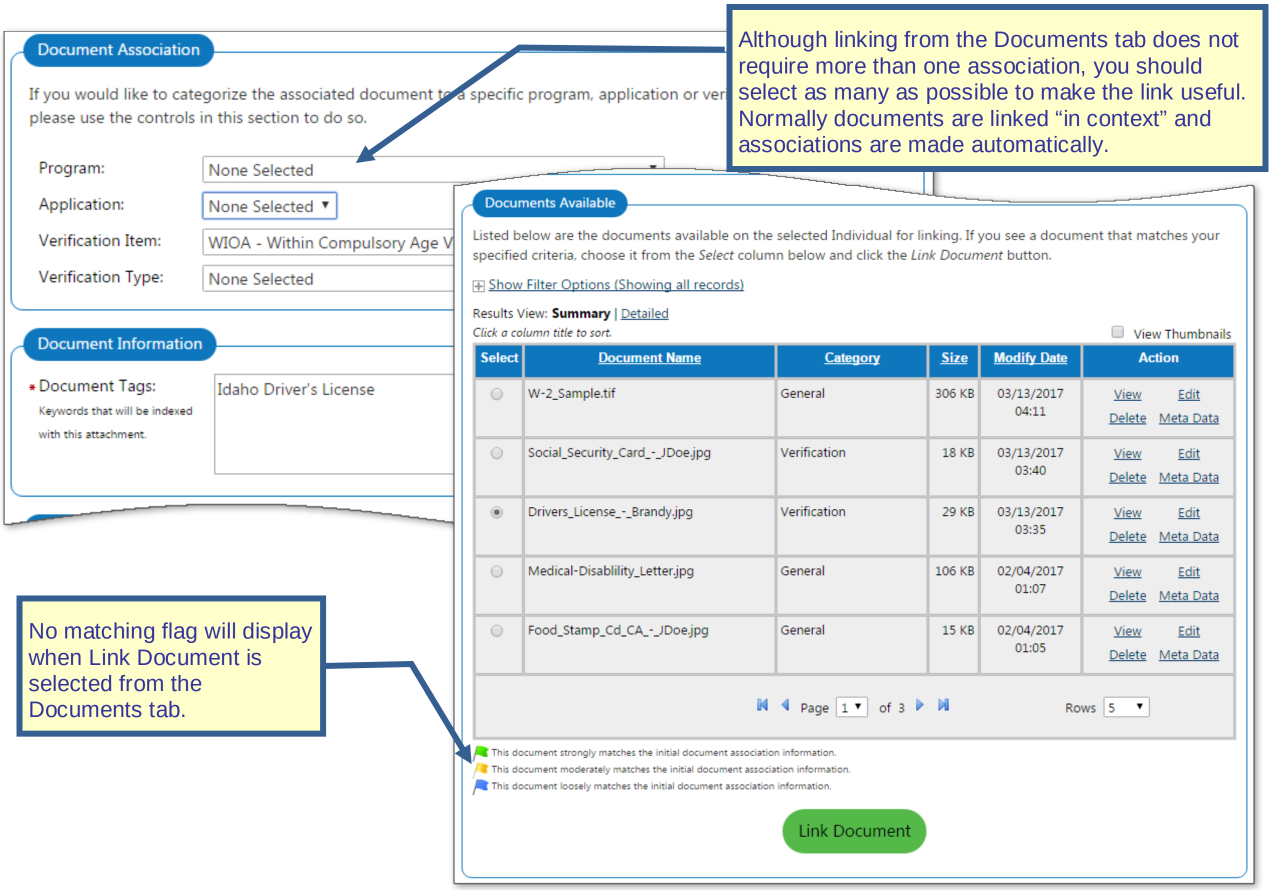
To link a document (from the Documents tab):

- Click the **Link a Document** button.
- Create/Select Document Association.

  These selection controls are identical to creating/selecting a Document Association when you add or scan a document.

  - ♦ Select the Program, Application, verification Item, and Verification Type options that you want to associate with the document to be linked.

    Note: *Document Association should normally include all association types for a linked document.*



Link Document Screen (from Documents Tab)

- Create Document Tags. At least one is required.
- Select the document to be associated by clicking the associated radio button.
- Press the **Link Document** button to complete the link.

  The Documents tab is redisplayed after the link is completed.

  Note: *The link you are making should not have exactly the same associations and tags as the existing document. If there is already a document recorded with the exact same categories, tags and associations and you try to link to it without any tag or association changes, an error message may display at the top of the screen to indicate that you need to change one of the associations. If you link from an “in context” point, such as an application verification, all the associations will be predefined and cannot be changed.*

Edit a Document and Create Annotations

By selecting the Edit link for a document, staff can see a view of the existing document image (displayed at the top of the screen), which is similar to the view and options displayed when a document is scanned. The view screen displays the image first, followed by document association elements, and then by download options.

Depending on the staff members’ permissions, they can use the tools above the image to create annotations for the image, and then save the viewed document with the same or modified associations.

To view and annotate a document:

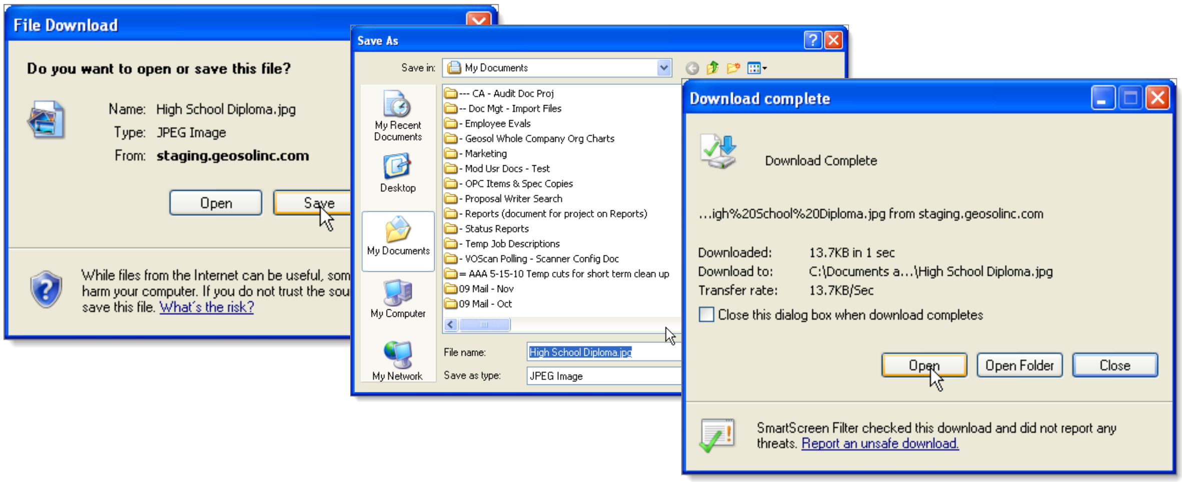
- Click the Edit link in the Action column for the desired document.

  A screen displays the document image and associations (as shown in the following figure).

View Document Screen (from Documents Tab)

- View the document and edit, as appropriate (in the Document Image area).
- If associations are incomplete, adjust selections in the Document Associations area.
- If tags need to be added, edited, or are incomplete, adjust the text for the tags in the Document Information area.
- If you want to download a copy of the file before you save or cancel the view screen (i.e., save it to your local computer):
  - Under the Download Options area, click the desired format file type (TIFF, PDF, JPEG)
  - Click Yes if you want to include annotations in the downloaded image file
  - Click the Download Document link
  - Click to **Save** the document and identify the location for the save (as shown in the following figure)

Note: *The abilities for creating annotations, as well as the abilities to change document associations, download a document without annotations, or identify the document as accessible to individual users, are dependent on the staff members' privileges. Many staff members may have the ability to view documents but not to edit them from the view screen. Consult your system administrator if you do not have these abilities, and should have them.*



Standard Internet Download Options

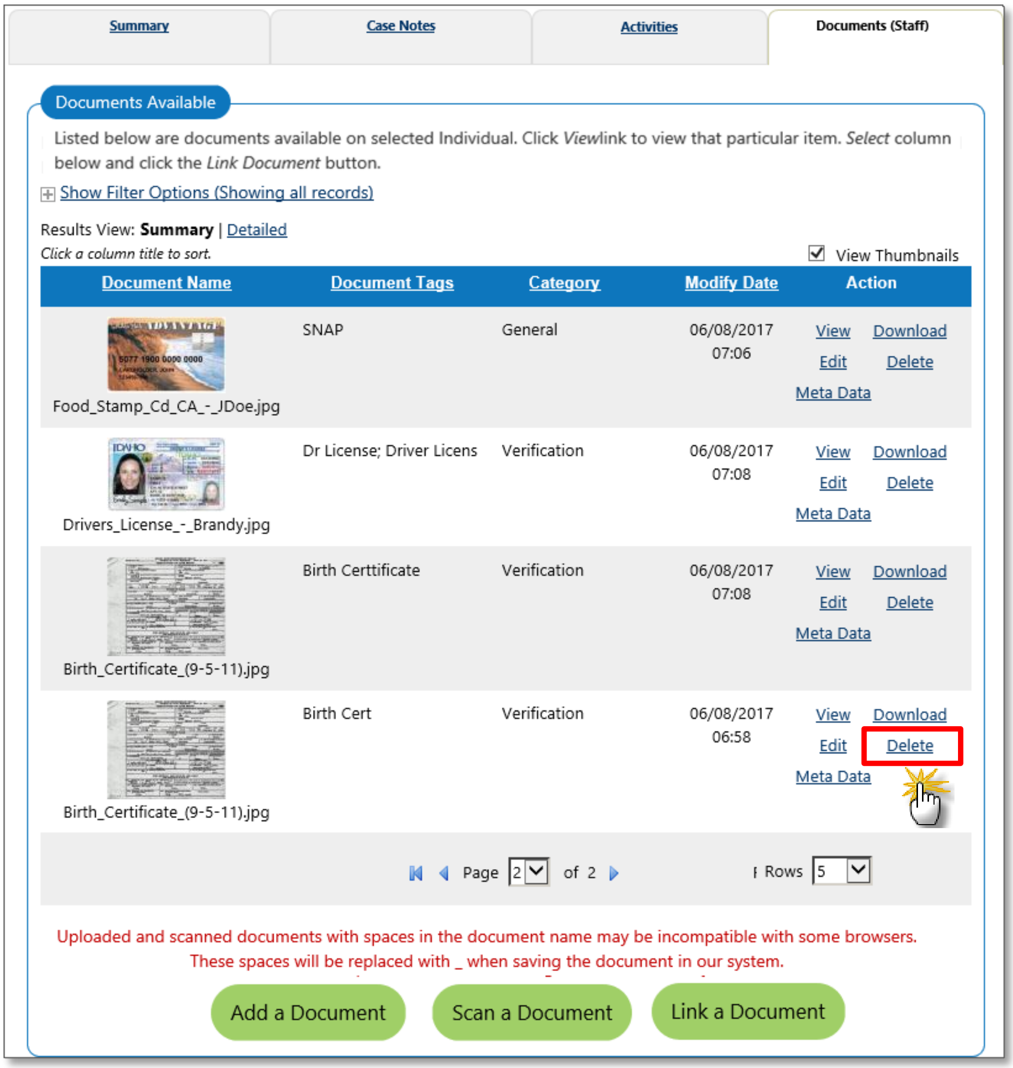
- If annotations or updated associations were made, press **Save**.

  Note: *Document Association is not required for uploading a document from the Documents tab. Regardless of association, a document uploaded form this tab is associated with a General category.*

Delete a Document

By selecting the Delete link for a document, staff can remove a document image file containing specific annotations, associations, and tags.

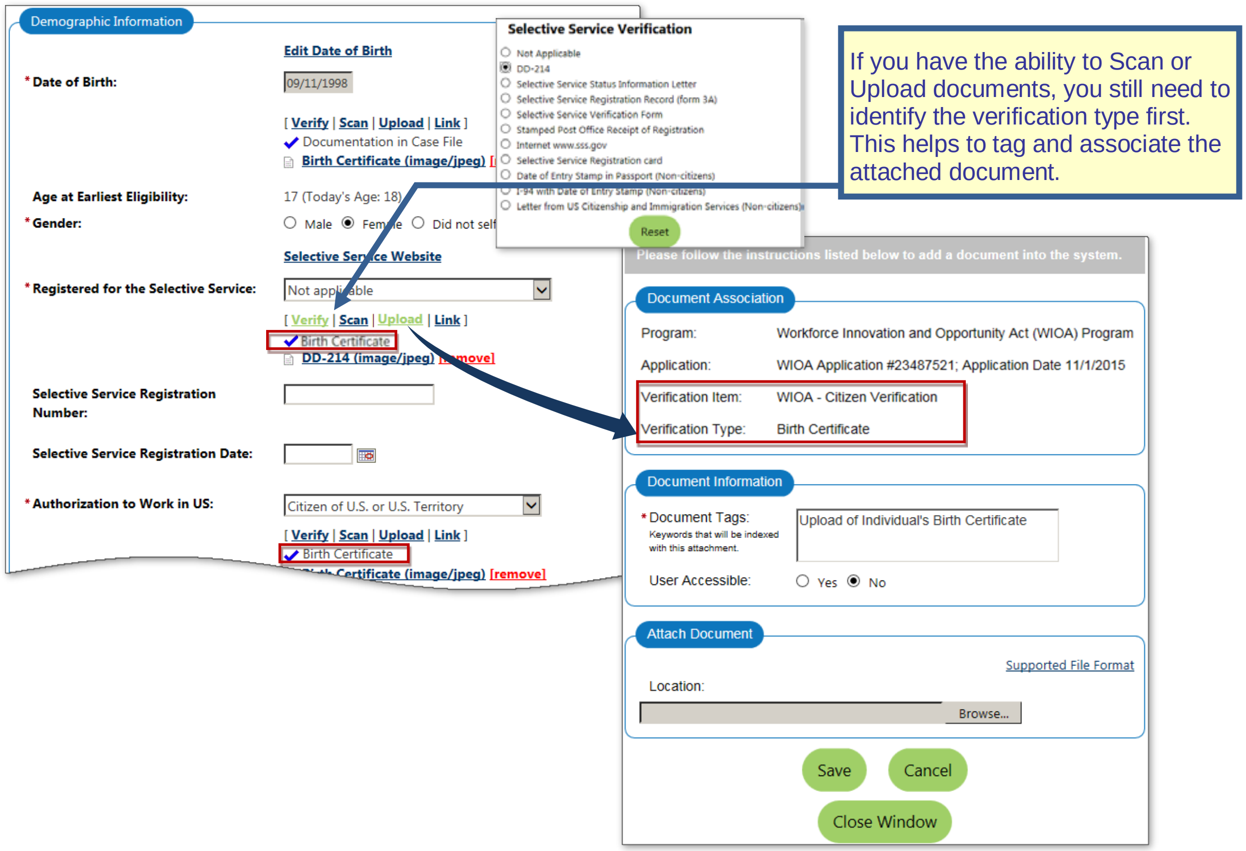
Note *Multiple association-related links to a specific added or scanned document file can exist (as shown in the figure below). If there is only one verification-related document link (one listing of the document that was upload/scanned), then deleting that image from the listed documents associated to the individual makes it no longer a part of any document listings for that individual.*



Sample Document List with Multiples of the Same Document Upload File

In-Context Scanning, Linking, and Viewing

The use of *in context* hyperlinks provides some of the most powerful and time-saving options for document management. These hyperlinks are available when scanning, linking, or viewing documents while assisting an individual with a specific program application or other verification.



Document Upload, Link, and View In-Context Hyperlinks (shown for Application Demographic Info Section)

When these hyperlinks are used, they open the same screens as they do in the previous discussions for scanning, linking, and viewing from the Documents tab. However, these links allow the staff member to automatically associate or access the document at the time they need it for verification. The Document Association fields are automatically populated in-context to where the verification activity occurs, and matches for linking documents are indicated based on the associations in possible documents.

Scanning a Document (In-Context)

The screen and process for scanning a document from the in-context Scan hyperlink is the same as it is from the Documents tab, detailed earlier in the topic *Scan a Document* , except that all fields under Document Association are pre-filled based on the in-context location. In other words, the specific program, application, verification item for that application, and the verification type (the type of document scanned) will already be selected from the drop-down lists.

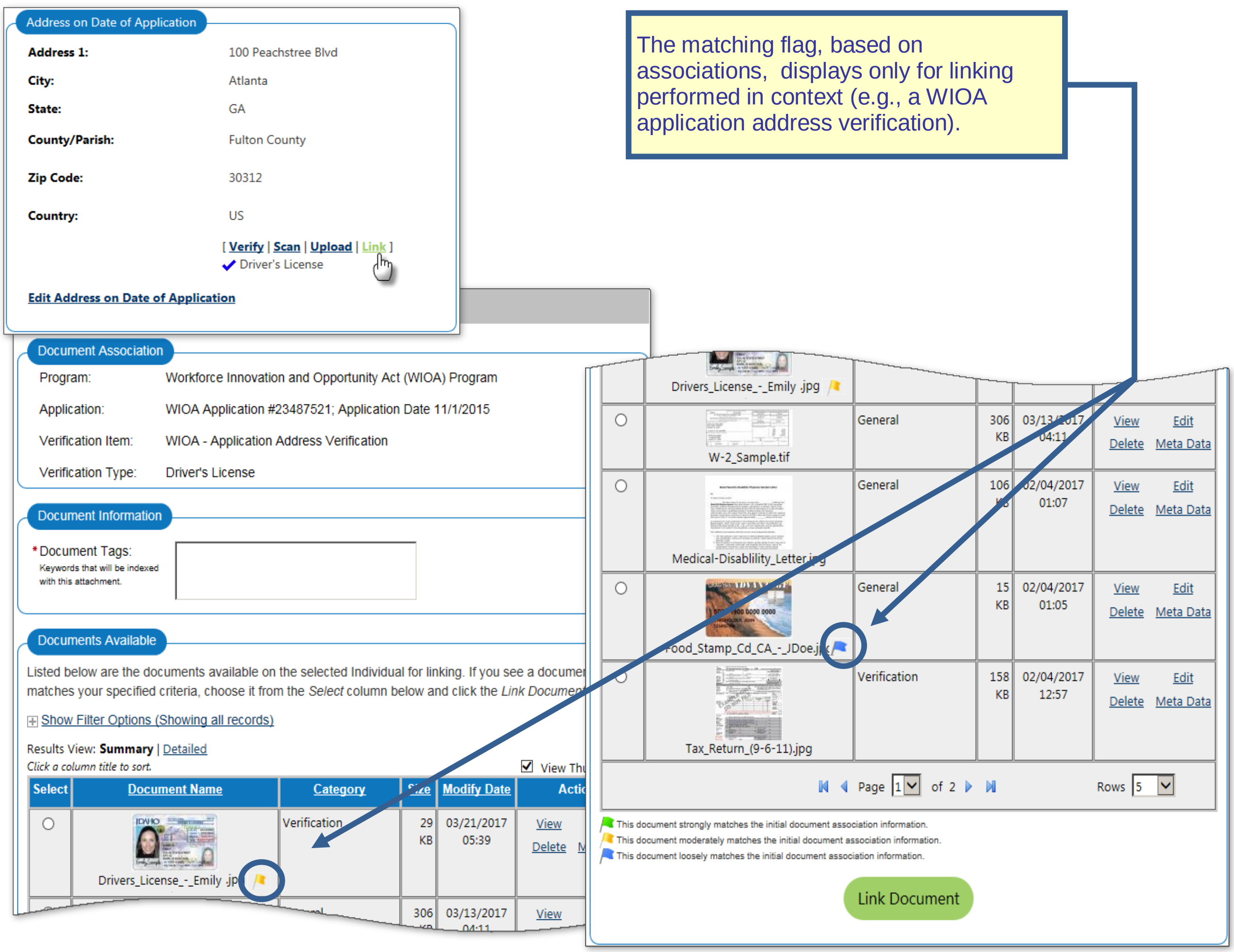
Linking a Document (In-Context)

The screen and process for linking a document from the in-context Link hyperlink is the same as it is from the Documents tab, detailed earlier in the topic *Link a Document (Selecting from Available Files),* except that all fields under Document Association are pre-filled based on the in-context location, and the list of available documents includes flags to indicate the most likely matches to the pre-filled Verification Item and Verification Type.

Note: *If you link from an "in context" point, such as an application verification, all the association fields will be pre-selected and cannot be changed.*

To link a document (from the Documents tab):

- Click the **Link a Document** button.
- Review Document Associations. They should be correctly pre-selected; change only if any indicate "None Selected."
- Enter key tag words for document tags.
- Review the documents available and any "matching" flags for those documents, and click the radio button to select the desired document.



Link Document Screen (from In-Context Link on a Program Application)

Note: *Pre-selected associations are compared to those on available documents to determine which "matching" flags are displayed on the list (as shown in the preceding figure).*

 *A strong match – matching on both Verification Item and Verification Type fields*

 *A moderate match – matching on only Verification Type field*

 *A loose match – matching on only the Verification Item field*

The Document Management Search

Staff members with access to the *Document Management* module can select *Search Documents* from the left navigation menu to search for any external documents that have been scanned or uploaded into the system, regardless of whether those documents have been associated with a specific individual, a program, an application, validation requirements, or case notes.

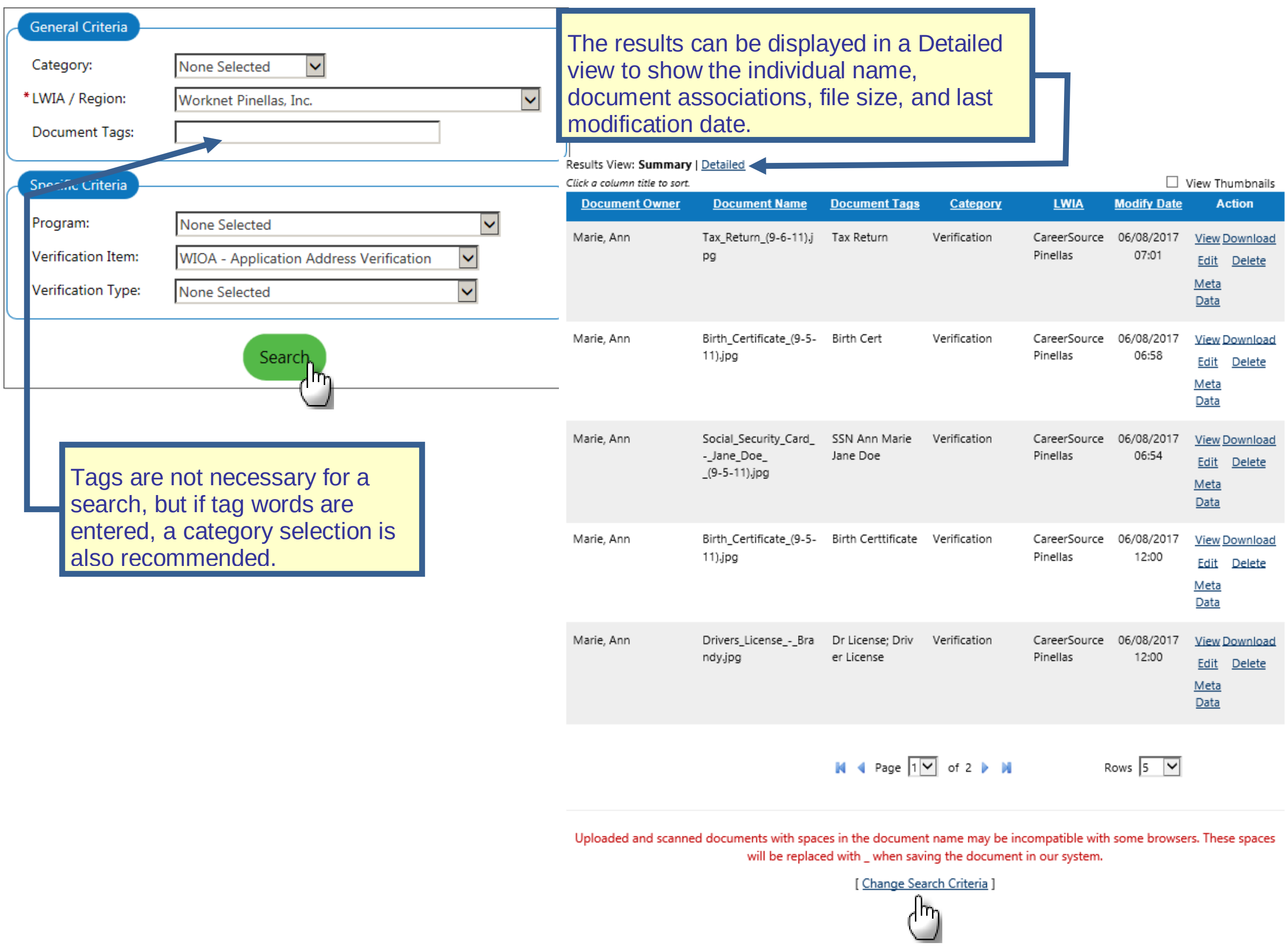
To search for an uploaded or scanned document:

- Select **Document Management** ▸ **Search Documents**
- Select your search category

  Note: *The category is an auto-assigned field, determined at document creation to reflect where the document was entered.*
  General *= from the Documents tab*
  Case Note *= from the Case Notes tab*
  Verification *= from the Case Notes tab*
  Communication *= from a Communication message*

- Search for the desired document by entering keywords that are in the document tags of existing documents.
- Enter the program, verification item, and/or verification type, as desired.
- Click the **Search** button.

  The results are displayed in a list.



Document Search Criteria and Search Results Screens

Verification Summary Panel and Document Management

Staff are required to verify data at certain points when managing programs (e.g., WIOA and TAA applications, as well as certain enrollments, follow ups, and closures). Verifications are recorded "in-context" at the point at which the verifying document is identified (e.g., verifying the SSN with a Social Security Card by clicking a Verify link). The Verification Summary Panel lets staff see a quick listing of all the verifications recorded, sorted by programs. The view can also be filtered to display all the verifications points that did not have document types entered for verification information. The Verification Summary panel can display made (available) or unmade (not available) verifications for a program's applications, participations, and other records. In other words, the Verification Summary panel displays a quick summary of all verifications that were performed or recorded. This usually occurs in-context as part of step-by-step program applications.

Although the Verification Summary panel is not where verifications are made or identified, the Verification Summary panel lets staff quickly view all the verifications already made for a specific program application. It also lets them isolate all the verifications which still may be needed. This can be particularly helpful if an individual has begun a process (such as a WIOA application) and is making an appointment to come into a One Stop Center to complete the process. For example, a staff member can quickly view the verifications not made for a specific application and identify documents that the individual may need to bring for verification as they complete their WIOA application. Or they may view only a WIOA application's associated and available verifications (as shown in the previous figure).

In other words, the purpose of the panel is not specifically for *"document management"* in the sense of performing the uploading or scanning of documents. It is a tool to review the different "document-related" verifications which are required as part of a specific program's application.

The advantage of seeing all of the verifications for the individuals from this Verification Summary panel is that staff can display all verifications, and they can quickly and easily filter for programs type, and for only verifications available (already made), or for verifications not available (not made).

Although the Verification Summary panel is not where verifications are made or identified (that is done through in-context links at the point of creating an application, participation, or enrollment record), the Verification Summary Panel lets staff quickly view all the verifications already made for a specific program application. They can also click a View link in the action column to see the document used for making that verification, if the document for the verification was uploaded or scanned.

Although any documents to be uploaded or scanned for verifications usually have the upload, scan, or link occur at the point of verification, the links in the action column will also allow that attachment of a document to occur from this screen.

The verifications in this Verification Summary panel display as a table for each program, with three columns:

Verify: This column lists each verification element, which occurs at least once in the application, and which requires staff to identify what document was used (e.g., a "Date of Birth or Age Verification").

Description: This column indicates "Not Available" if no verification was performed and identified in the application yet. If it was, the selection that staff chose (from a drop-down list) for the verification document is displayed (e.g., "B - Birth Certificate" for Date of Birth and Age Verification indicates that staff chose the second drop-down, "B" to note that a Birth Certificate was used to verify age).

Action: This column has links to Scan, Upload, Link, or **View** the actual document used by staff in making this verification. The first three links are rarely used on this panel (the document should be attached when verifying data while completing the application). Normally, the **View** link is the only link used from the Verification Summary Panel.

All four links in the action column are shown (they are shown wherever the verification indication is shown). If a verification is made, but no document attached, the appropriate document could be added from this panel, as well.

Frequently Asked Questions

What are the main differences between what individuals see on their Documents tab and what staff see on their view of Individual Documents tab and on Documents (Staff) tab?

- Individuals won't see any documents that Staff has marked to hide. However, staff looking at the Individual's Documents tab will see a message for documents they have hidden from the individual, and another message for documents that they could hide from the individual.
- Individuals won't be able to *View* their documents after they upload or scan them unless they re-enter their password.
- Staff can also see documents from the Documents (Staff) tab. From that tab, staff sees the Category. The Category is related to the source of creation (e.g., Verification, vs. Communication vs. General vs. Résumé); if staff uploads from the Documents tab and picks a verification item, the Category is Verification. From the Documents (Staff) tab, staff will also see the modify date (not the create date), and they can change to a Detailed view. The Detailed view lets them see all tags, document associations, and the create and edit date and the user, from the list (they don't have to click view for this information).

What about the document information/association fields for scan/upload. Does that differ for individuals and staff?

- Yes. The options for Document Association and Classification are quite different for the two users.

  For staff: There are **four document association fields** (Program, Application, Verification Item, and Verification Type). From the Documents tab, staff is not required to pick these items, but if they do, each selection narrows the list for the next selection. For example, they can associate the document to the WIOA program and tie it to the individual's WIOA application, or they can pick a specific Verification Item (e.g., Disability verification) and then pick the specific type (medical records, workers comp records). These four selections are system-filled if staff uploads/scans from a verification link.

  For Individuals: There is only one association, called *Document Description*, which is a required selection. This results in a drop-down with a subset of the many possible verification types. For example, verifying citizenship could be done with an alien registration card, birth certificate, or passport. Most of the other verification items available to staff when they pick Citizen / Alien Status for verification are not in the Document Description list for individuals.

Can staff hide documents that individuals uploaded or scanned?

- Yes, even if individuals upload the documents themselves. Staff may still access them later, put annotations such as revision bars on them, hide the image, or limit whether the annotations can be included in downloads.

Can individuals or staff launch all the types of documents that can be uploaded or scanned from the Documents tab?

- Both staff and individuals can open and see the particular types of documents whose image can be viewed by clicking on the View screen (such as TIFF, PDF, JPG, JPEG, JIFF, GIF, or BMP files). But individuals will have to use their password to open the files when they click View.

  For all other file types supported for uploads, staff or individuals can click View to see basic associations and to download the files. However, the user will have to download the other file types (such as sound files, WAV or .MP3 , or word processing or spreadsheet files, .DOCX or .XLS). They can then open those files from their operating system's recognized applications that are associated with the file type.

What can be searched for from the Document Search tool?

- Users can search based on the document classifications and/or on terms in the document tags. Users cannot search based on a user name (staff will usually know a user name, directly assist that user, and see their Documents tab).