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## 2010 Innovations Awards Application

**DEADLINE EXTENDED: MARCH 15, 2010**

ID # (assigned by CSG): **10-MW-08IA**

**Please provide the following information, adding space as necessary:**

State:   IOWA  

Assign Program Category (applicant):                   **HEALTH & HUMAN SERVICES – Children & Families**

- |                                     |                                                                                                     |
|-------------------------------------|-----------------------------------------------------------------------------------------------------|
| 1. Program Name:                    | <b>Statewide Imaging – A new way to do business!</b>                                                |
| 2. Administering Agency:            | <b>Iowa Department of Human Services, Division of Field Operations, Child Support Recovery Unit</b> |
| 3. Contact Person (Name and Title): | <b>Vern Armstrong, Division Administrator</b>                                                       |
| 4. Address:                         | <b>1305 E Walnut St, Hoover Building, 5<sup>th</sup> Floor,<br/>Des Moines, IA 50319</b>            |
| 5. Telephone Number:                | <b>(515) 281-3526</b>                                                                               |
| 6. FAX Number:                      | <b>(515) 281-4597</b>                                                                               |
| 7. E-mail Address:                  | <b><u>larmstr@dhs.state.ia.us</u></b>                                                               |
| 8. Web site Address:                | <b><u>https://childsupport.dhs.state.ia.us</u></b>                                                  |

9. Please provide a two-sentence description of the program.

As part of a continued effort to maximize efficiency and minimize costs, the Iowa Child Support Recovery Unit (CSRU) implemented a state-wide electronic document management system designed to allow its nearly 600 workers to view all case file documents regardless of which office manages the case where the paper file is stored. Having all of our case files imaged allows our staff to:

- Serve any customer, in any office, with instant access to all case file information
- Save significant staff time in filing paper documents and locating paper documents or case files
- Share information between workers and offices more quickly—especially helpful for serving customers with multiple cases
- Reduce or contain leasing costs as less physical space for record storage is required

- Provide optimal service to customers no matter which office the customer might contact while saving the time and cost of trying to contact the case worker in another location

10. How long has this program been operational (month and year)? Note: the program must be between 9 months and 5 years old on March 1, 2010 to be considered.

Iowa has previous limited experience with imaging. Three of its local child support offices implemented a basic imaging system fifteen years ago. But due to the hardware and software costs and limitations of the imaging software available at that time, the system was never expanded beyond those three original offices.

In 2007, Iowa decided to revisit its use of imaging and to take advantage of the significant increases in software capabilities. For this project, Iowa sought to migrate all 23 of its local offices to a new, statewide system

The first phase of this project began in the fall of 2007 and by the end of June 2008 each child support office was imaging all incoming mail and documents and the majority of documents produced by the unit (some documents are standardized and don't need to have images stored).

The second phase of the imaging project, completed in the spring of 2009, provided CSRU workers across the state the ability to view case file documents in any office, regardless of which office is managing the case.

11. Why was the program created? What problem[s] or issue[s] was it designed to address?

CSRU continually searches for ways to streamline case processing in order to maximize worker efficiencies and provide customers the best possible service. Migrating to imaged case files was first and foremost an effort to save time by reducing or eliminating paper handling and allowing staff to focus more of their resources on direct case work. Secondly, a primary goal of imaging was to improve customer access in the local offices by ensuring that any office a customer might choose to visit would have access to the entire case file. Finally, for some offices implementing imaging and a concurrent back-file conversion of paper files permitted them to remain in their current office space. Without this change, larger office space would have been necessary. This program allows our staff to provide optimal service to customers no matter which office the customer might contact while saving the time and cost of trying to contact the case worker in another location. It addressed the limitation of individual offices operating in silos and made the agency more flexible, efficient and customer friendly

12. Describe the specific activities and operations of the program in chronological order.

10/2007 – 12/2007: Project kick-off and preliminary design

Assigned project manager, held initial meetings with field workgroup, received demo of imaging software, evaluated pros and cons of moving to a new version of the imaging software and migration to a web-based platform, evaluated various image storage options and determined how much back-filing to conduct

01/2008 – 04/2008: Determined indexing protocols, released RFP for back-file conversion, held bidder's conference and awarded contract

05/2008 – 06/2008: Purchased office scanners, initiated and completed back-file conversion and initiated staff training (nearly 13,000,000 paper documents were converted from paper to electronic when the program was implemented with less than a 5% error rate)

07/2008: Implemented imaging solution

13. Why is the program a new and creative approach or method?

New technologies create new opportunities for government and business. However, not every new technology presents the same cost benefit. When faced with limited financial resources, it's critical to choose carefully when deciding which technology investments to make. A major component of our program is our interaction with customers. By implementing a state-wide imaging system, CSRU has greatly enhanced our ability to quickly access the information necessary to provide accurate, detailed responses to customers while saving staff time in the process.

By equipping each child support office with imaging capabilities, customers can receive faster, more complete service regardless of the office they contact. The time needed for filing paper copies of documents is eliminated as well as the time spent by workers searching for paperwork that had not yet been filed. Cost savings are realized not only in staff time, but also in reduced cost of office supplies for printing, filing and storing all the paper documents. By having all mail and case documents imaged, CSRU is able to improve the accuracy and integrity of case information which enables us to provide better service for our customers.

A particularly innovative approach that Iowa is incorporating into its use of imaging is the addition of bar codes on documents. Many of the forms CSRU generates are completed by customers and returned. CSRU has begun auto-printing bar codes on these forms and when they are returned, the imaging scanners automatically read these barcodes, saving staff the time necessary to index the documents (which is one of the most labor-intensive processes in any imaging system).

14. What were the program's start-up costs? (Provide details about specific purchases for this program, staffing needs and other financial expenditures, as well as existing materials, technology and staff already in place.)

Estimated:

Scanners (minimum 1 per office) -	\$194,720
Joggers -	\$4,950
Letter Openers -	\$3,960
Licensing/1 <sup>st</sup> Year Maintenance -	<u>\$196,700</u>
	\$400,330

The base imaging system (hardware and software) were in place prior to initiating this project. The primary costs were for licensing (\$196,700) for the new version of the software.

Note that any project incorporating back-file conversion will incur additional costs usually based upon a per page rate. Conversions costs can vary widely based upon a number of factors, including but not limited to volume of documents, pre-conversion document preparation, amount of work performed by state staff vs. conversion staff, and whether conversion is conducted onsite versus at a separate, procured facility.

15. What are the program's annual operational costs?

CSRU currently pays \$240,000 annually for software and hardware licensing and maintenance costs. Child support's non-mainframe data storage resides on an enterprise level server. Storage costs are not included as an ongoing cost.

16. How is the program funded?

Funding is part of the regular child support program budget (34% state/66% federal funds).

17. Did this program require the passage of legislation, executive order or regulations? If YES, please indicate the citation number.

No legislation, executive order or regulations were required to develop or implement Iowa's imaging process.

18. What equipment, technology and software are used to operate and administer this program?

Hardware:

- Test and production web servers running in a CISCO Load Balancing farm
- File storage server connected to an agency WAN SAN
- Multiple virtual test and production process servers
- Test and production SQL servers (running SQL 2005)
- OCR server
- Kodak i1400 series scanners in each local office

Software:

- SQL 2005
- KOFAX (for the OCR server)
- Microsoft Sharepoint (user interface to Global 360)
- Process 360 v.9.5 (Global 360's imaging software)
- Scan Manager v.2.5

19. To the best of your knowledge, did this program originate in your state? If YES, please indicate the innovator's name, present address, telephone number and e-mail address.

Although background information was gathered from other State's regarding their use of imaging, all of the design, development and implementation was conducted by in-State staff. The project's executive sponsor is:

Carol Eaton, IV-D Director  
Iowa Department of Human Services  
Division of Field Operations  
Child Support Recovery Unit  
400 SW 8<sup>th</sup> Street, Suite H  
Des Moines, IA 50309  
515-281-5647

20. Are you aware of similar programs in other states? If YES, which ones and how does this program differ?

We are aware of limited use of this technology in other state child support programs. We do not know the extent to which other programs are back-filing documents, barcoding, incorporating workflow and developing an interface with the courts.

21. Has the program been fully implemented? If NO, what actions remain to be taken?

Yes, the program has been fully implemented and because of the success of the initial implementation, planning additional phase-in features that will further enhance our imaging capabilities (see #23 below for details).

22. Briefly evaluate (pro and con) the program's effectiveness in addressing the defined problem[s] or issue[s]. Provide tangible examples.

Pros:

- Imaging has made it easier for workers to access documents and provide more detailed responses to customers, regardless of where the paper file is housed or which office the customer contacts.
- CSRU can be much more flexible in managing resources across our offices by having shared access to documents statewide. Imaging also reduces telephone, e-mail, fax and other similar costs as the need for staff contacting other offices about a case is greatly reduced.
- Elimination of paper files in offices has reduced the staff time needed to manage the paper files as well as the office space needed to store them.
- The implementation of this program also provided a platform for transitioning customer calls back to the field offices from a centralized call center. Previously, only case information that was stored on our certified computer system could be viewed statewide. Now all court orders, customer correspondence and all other important case information is available to staff, regardless of their location in the state.

Cons:

- The initial implementation of statewide imaging was challenging. Overall development and post-implementation time would have been lessened if we had lengthened the planning phase. Professional training on the software capabilities (which did eventually occur later in the project) would have been very helpful prior to initiating design.

23. How has the program grown and/or changed since its inception?

Since the program's inception, we have begun working on several enhancements that will extend the functionality of the base imaging system:

- **Barcoding** – Adding barcodes to forms generated by CSRU that are likely to be used by the customer speeds the indexing process as the scanner can read the barcode and automatically pull the case demographic data that needs to be attached to the document prior to it being catalogued. This saves a significant amount of data entry time due to the huge volume of forms being imaged. CSRU has begun using barcoding on a select number of production forms and is currently expanding both the number of forms containing bar codes and the amount of data that will be auto-indexed.
- **Imaging Workflow** – Our imaging software has a comprehensive workflow engine that will allow us to direct imaged documents automatically to staff, supervisors or attorneys as required. Workflows can be set up both for documents as they are generated by CSRU staff and for returned documents from customers. Managing document processing through a standardized workflow allows best practices to be embedded into everyone's daily work and the tools included with the software allow managers to immediately see where bottlenecks are occurring and where workload adjustments may be necessary. CSRU is currently in the initial design phase for workflow and has chosen the review and adjust process for our workflow pilot.

- E-Filing with the Iowa Courts – The Iowa Supreme Court has mandated that all filers (government organizations at all levels, the private bar and pro se) begin submitting only electronic versions of documents to the Court for new actions. Because CSRU is already 100% imaged, it is uniquely positioned to meet this requirement. As CSRU files over 240,000 documents with the Iowa Courts annually, a specialized, highly automated interface that will speed the exchange of documents between our two systems is being developed. CSRU plans to begin piloting this interface in late spring of 2010.

24. What limitations or obstacles might other states expect to encounter if they attempt to adopt this program?

A clear understanding of what you are attempting to address with an imaging solution and a thorough understanding of the specific capabilities of the software and hardware being contemplated will greatly speed the development process and help to create a better initial rollout.

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