

PARADOCS SYSTEM and PROFILE INFORMATION

CRITERIA	DETAILS
Scanner Workstation installed in LA.	Location: <u>300 So. Spring Street, 12th Floor</u> Scanner Desc.: <u>90ppm, 600dpi, 64MB, SCSI/USB, 500Pg, w/flatbed</u> Scanner Make/Model: <u>Canon 9080C</u> Scanner S/N: <u>918926A00292AC21CZ304227</u> Desktop Desc.: <u>P4, 512MB, 80GB HD, 19" LCD Flat Panel,</u> Desktop Make/Model: <u>Gateway E-6300</u> S/N:
Scanner Workstation installed in SF.	Location: <u>45 Fremont St., 23rd Floor</u> Scanner Desc.: <u>90ppm, 600dpi, 64MB, scsi/usb, 500Pg, w/flatbed,</u> Scanner Make/Model: <u>Canon 9080C</u> S/N: <u>1</u> Desktop Desc.: <u>P4, 512MB, 80GB HD, 19" LCD Flat Panel</u> Desktop Make/Model: <u>Gateway E-6300</u> S/N:
ParaDocs Batch Scanning Module installed in LA.	Software Version: <u>3.1.83</u> #Users Licensed: <u>1</u>
ParaDocs Batch Scanning Module installed in SF.	Software Version: <u>3.1.83</u> #Users Licensed: <u>1</u>
Provides comprehensive index database (Profile) of all Rate Filings that have been scanned. Profiler supports storage in an organized manner according to all or one of CDI's defined profile fields.	<ul style="list-style-type: none"> • <i>Uses PostGreSQL for database management of the Profile database.</i> • <i>A ParaDocs Profiler Module is used in conjunction with the Scanning module to support input of profile fields that will be used to track and retrieve the documents. Profile fields that have been defined include: <u>File #, Grouped FNs, Company Names, Grp#, Filing Type, Item, Line Type, Line of Business, Program, PN Date.</u> In addition to the input of specific profile fields, each document is also stored as a specific document type to include: <u>Public Record, RRB Record, Stored RRB Record, Stored Public Record.</u> Furthermore, the document can be separated into several document items which are a breakdown of the document into logical sections. Document items include: <u>Application, Company Filing Memos, Exhibits, Manual Rate Pages, Policy Form, Endorsements, Additional Correspondence, Manual Rules, Class Plans, Template, Confidential Correspondence, Analyst Worksheet Recommendation.</u></i> • <i>RFB ParaDocs Administrator has ability to add, remove, or modify profile fields, document types, and document items when necessary.</i>
Project enhanced to include custom import from CDI Oracle Database to the ParaDocs profile database.	Method: <i>Oracle table view (supported by ITD-ADAM) provided for ODBC from ParaDocs. Upon entry of Rate Filing #, profile fields are populated using data imported from the IDB (Oracle table).</i> Fields imported: <u>Currently: File #, Grouped FNs, Company Names, Group #, Filing Type, Line Type, Line of Business, Program, PN Date,</u> Fields not imported: <u>Item, Document Type</u>
Project enhanced to include barcode separation to fully automate separating a rate filing document into various items (sections) upon scanning and indexing/profiling.	Method: <i>Barcode Separation Sheets have been created for each document type and item that a Rate Filing document would contain. The barcode separation sheets are placed in the document at the start of each section. Upon scanning, the barcode data is read and the pages that follow are stored as a separate item (listed above) and document type (listed above) for the same Rate Filing number. The RFB ParaDocs Administrator maintains the barcode separation sheets on a PC and can print them for use. There are settings for the barcode separation function that can be maintained by the RFB Administrator. Dayspring is developing a GUI for the barcode process to provide the Admin with a GUI rather than directly working in the PostgreSQL table.</i>
RATE FILING DOCUMENT STORAGE	
Repository and index database reside within a ParaDocs PD2100 Hardware	<ul style="list-style-type: none"> • <i>The appliance runs on Linux Red Hat Enterprise platform. The interface is different than CDI applications using standard Oracle or Windows platform(s).</i>

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Appliance w/2GB RAM, (2) 160GB SATA drives. Repository must store electronic Rate Filing documents converted from paper documents	<ul style="list-style-type: none"> • <i>The appliance is located in Los Angeles with connectivity from San Francisco over existing T3 lines.</i> • <i>The configuration settings, and any changes to the Web Explorer software are automatically recognized within the associated Batch Scanning software running on the scanning workstations in LA and SF.</i> • <i>The appliance is configured for RAID 1 (per ISO direction) where there is a mirror of the data stored on another drive. If either drive fails, the other continues to function as a single drive until the failed drive is replaced.</i>
Estimated total storage (with retrieval) of 5 million pages over the next 5 years.	<p>Total System Storage Capacity: <u>250GB</u> Available Capacity _____</p> <p>Available Storage: <u>1 00GB</u> _____</p> <p>Page estimates to be scanned: # Incoming: <u>600K pages/year</u> #Backfiles: <u>4M pages</u></p>
Converted (all) 11,000 Rate Filing documents to ParaDocs that were previously scanned by RFB staff and stored as .TIF files on CD.	<ul style="list-style-type: none"> • <i>Documents were copied (converted) to ParaDocs repository and profiled using the only data field (Rate Filing #) captured at the time they were scanned and stored to CD. Therefore, these documents can only be retrieved by Rate Filing #.</i> • <i>Documents were originally scanned at a low resolution (below 200dpi) resulting in poor resolution (compared to the standard minimum 200dpi).</i> • <i>RFB has indicated that since these documents are more than 5 years old, the limitations on retrieval (filing # only) and the poor resolution are not a big issue.</i> • <i>It is suggested that RFB explain the limitations on these older converted documents to the system end-users.</i> • <i>It is not easily recognized whether all documents converted from CD are accessible and legible. RFB will only know a document is bad when it is retrieved. RFB will maintain the old CD copies as a backup for retrieving any CD filings that may not be accessible in ParaDocs</i>
Supports storage and retrieval of multiple document format types to include: <input checked="" type="checkbox"/> TIF <input checked="" type="checkbox"/> PDF <input checked="" type="checkbox"/> MSWord or other native application <input checked="" type="checkbox"/> HTML	<p>CDI Standard Format to be used for Document Storage: <u>.TIF</u> _____</p> <p>CDI Standard Format to be used for Document Retrieval: <u>.PDF</u> _____</p> <p><i>System can add a document (MSWord or other) as a separate document type using the same file number (under menu selection: File, Batch Process, Pages). Profile fields must be entered manually. Dayspring is working on ability to import fields for these added documents. RFB has used this feature and it is working.</i></p>
Supports scanning, storage and retrieval of a two-sided document.	<p><i>System set to automatically recognize both sides of a scanned document, and to remove blank pages (blank page recognition). Scanner must also be set for duplex scanning.</i></p>
Supports the ability to maintain scanned batches on the local scanning workstation temporarily and release them to the repository when desired.	<ul style="list-style-type: none"> • <i>Scanned and profiled documents (batches) are maintained locally and are sent to the Web Explorer Repository (the ParaDocs Appliance in LA) when the batch is saved. When the batch is posted to the repository after it has been profiled, the copy on the local drive is automatically deleted.</i> • <i>Documents can be scanned in a non-batch mode, which will allow the images to be stored locally until they are released to the appliance when desired. The non-batch mode requires manual profiling since barcode function won't work in non-batch mode.</i>
Batches scanned and indexed in SF are sent to central repository in LA.	<ul style="list-style-type: none"> • <i>ParaDocs supports remote scanning/profiling, so, documents (batches) are scanned in SF and then transmitted over CDI's DS3 lines.</i> <p>Frequency: <u>Documents (batches) are sent at random times, estimated to be more frequently over the first 6 months of the life of the system to support backfiles.</u></p> <p>Response Time: <u>Batch of 300 pp transmits and is saved to ParaDocs in approximately 20-30 seconds.</u></p> <ul style="list-style-type: none"> • <i>Transmission from SF to LA should not fail due to the file size, but we have been advised not to exceed 1,000 pages. LA has processed a batch size of 1800 pages, but the server is in LA.</i> • <i>RFB will need to develop procedures for handling of large documents for most efficient transmission.</i>
Batches scanned in SF or LA can be indexed using a licensed batch scanning	<ul style="list-style-type: none"> • <i>Profiler Module can be separated from the Batch Scanning Module and loaded onto another workstation for profiling (in any city).</i>

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workstation located at any CDI office site.	
ISO Security Approvals obtained for ParaDocs System.	ParaDocs Appliance: <u>approved by ISO 02/09/06</u> Scanner Workstation: <u>approved by ISO 10/05/06</u> PVR Workstation: <u>approved by WAN Security Administrator – 05/03/06</u>
Images and database are secure, with access rights assigned.	<ul style="list-style-type: none"> • <i>Confidential documents are stored separately, with no interface to them from the public.</i> • <i>Public viewing room workstations are “locked down” for secured access.</i> • <i>Access rights are assigned by the ParaDocs Administrator within the RateFiling Bureau. Access can be controlled to the file level.</i> •
Backups are performed in-house using CDI’s standard Commvault Galaxy Backup System.	<p>RFB purchased and ITD installed Galaxy iDataAgent software (w/annual maintenance) on the appliance to support backup to CDI’s Enterprise backup system (Commvault).</p> <p>There are four folders backed up for Para-Docs:</p> <ol style="list-style-type: none"> 1. /usr/local/data/repository (recursive) 2. /var/paradocs (recursive) 3. /var/www/html (recursive) 4. /etc (recursive) <ul style="list-style-type: none"> • Files will be backed up as per CDI’s standard backup routine (full backups every 4 weeks, starting on Friday; incremental backups daily Mon-Friday-backups starting after 7pm.)

RATE FILING DOCUMENT RETRIEVAL

Provides access to ParaDocs system for 32 concurrent users.	<ul style="list-style-type: none"> • <i>CDI purchased a 32 user license. Up to 32 users can use the system at the same time, but the 33rd user will be locked out.</i> • <i>RFB ParaDocs Administrator will provide login to authorized users.</i> • <i>32 users logged in at the same time has not been tested for system degradation. RFB will test when conditions permit.</i> • <i>A feature is currently being developed by Dayspring to automatically log off users who are logged in, but have been inactive on the system for a specified period of time. There is not currently such a time-out feature.</i>
Provides ability to search and retrieve a Rate Filing document according to specified criteria.	<ul style="list-style-type: none"> • <i>RFB has defined at least 4 stored queries to include: <u>Search all fields</u>, <u>Search by File Number</u>, <u>Search by Program</u>, <u>Content Search</u>. These queries are built to allow users to enter fields that will retrieve related records.</i> • <i>A wildcard character (% , *) can be used to retrieve certain parameter of related records.</i> • <i>Users can create individual or shared queries. Training on creating queries has been provided to RFB scanning staff and Administrators. RFB will provide any additional training needed.</i>
Provides user-friendly web-based interface for search and retrieval of an electronic Rate Filing document.	<ul style="list-style-type: none"> • <i>User interface to search and retrieve documents is considered user-friendly for RFB staff. And, Interface for public search and retrieval is considered user-friendly, however, feedback from the public has not been acquired yet. RFB will need to monitor the public interface to ensure that it remains original and no public or other unauthorized changes are made.</i>
All documents scanned and stored (regardless of origin city), must be retrievable from any authorized workstation on CDI’s LAN/WAN.	<ul style="list-style-type: none"> • <i>All documents in ParaDocs are retrievable from any authorized workstation on CDI’s LAN/WAN. Access is provided via a web browser and URL. Document image retrieval has been successful from LA, SF and SAC.</i>
Provides access trail for storage and retrieval of a Rate Filing document.	<ul style="list-style-type: none"> • <i>Lists access, checkin/checkout information on all documents stored.</i> • <i>Does not support audit trail for batches scanned into the system after they have been posted to ParaDocs and</i>

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	<i>removed from the scanning workstation.</i>
Supports access to at least 5 years of Rate Filings (via index) from two Public Viewing Room (PVR) Workstations in LA, and two in SF.	<ul style="list-style-type: none"> • <i>PVR Workstations (1800Mhz PC surplus from the 05/06 technology refresh) are installed (2) in LA and (2) in SF. .</i> • <i>The PVR workstations will support access to 5 years of Rate Filings; additional years will be available, but may be stored as archives which may not be retrievable within the system queries.</i>
Supports ability to securely download (burn) a copy of a Rate Filing document image to a CD/DVD, and/or print the document image.	<ul style="list-style-type: none"> • <i>The PVR workstations support ability to burn a copy of a ParaDocs Rate Filing image to CD and can print the document image. The PVR workstations are also configured to support the ability to burn a SERFF filing to CD.</i>
Supports ability for a Rate Filing document image to be used as an e-mail attachment.	<ul style="list-style-type: none"> • <i>A document image can be saved to the local workstation and then attached to an email. However, ITD has policies that restrict sending large filings as email attachments due to impact on CDI's mail servers. ITD is working with Dayspring to activate use of the "document pass" feature which provides a link to the document, rather than attach the entire document to an email.</i> • <i>The system does provide the ability to automate the email process, but this requires integration with CDI's outlook system and is not configured at this time.</i> • <i>Documents are sent via email as an e-book which contains an index.html file, and 2 directories: 1) Docs; 2) images. This is a little non user-friendly, but is necessary to support unzipping of the files.</i>
Legally supports CIC requirements for providing the public access to Rate Filing documents.	<ul style="list-style-type: none"> • <i>Documents are saved as .tif files which is currently an approved method for storing documents with protection that the document has not been altered.</i> • <i>Legal has reviewed the system and issued initial approval for the use of electronic documents.</i> • <i>RFB must provide legal with procedures and then RFB can obtain written approval to comply with Govt. code.</i>
System includes 2 licenses for Adobe Full Version to support writing capabilities for PDF documents.	<ul style="list-style-type: none"> • <i>RFB will need to develop procedures for using Adobe to make edits to a Rate Filing document that has been retrieved in .pdf (as necessary).</i> • <i>RFB can request installation of the Adobe software for any workstation they want to have the ability to make edits to a retrieved document image in.pdf.</i>
ENHANCEMENT CAPABILITIES	
Capable of enhancement to support OCR of desired data from a Rate Filing document.	<i>The system claims to support third party OCR products that can capture a specified zone on the document. This would be beneficial for a system where documents are captured at the front-end of the process.</i>
Capable of enhancement to generate reports of Rate Filing documents stored.	<ul style="list-style-type: none"> • <i>System can generate reports showing some profile data using the Group Option, "Export to Spreadsheet" function.</i> • <i>ParaDocs can be mapped to a third party report writing tool</i>