



# Stage 1 Business Analysis

California Department of Technology, SIMM 19A.3 (Ver. 3.0.8, 02/01/2022)

## 1.1 General Information

1. Agency or State entity Name: **7760 - General Services, Department of**

If Agency/State entity is not in the list, enter here with the [organization code](#).

[Click or tap here to enter text.](#)

2. Proposal Name and Acronym: **OAH New Case Management System (OAHCMS)**

3. Proposal Description: (Provide a brief description of your proposal in 500 characters or less.)

OAH is seeking to identify and procure appropriate case management software and equipment, to replace our current, outdated case management system (CMS) no longer fully supported by the vendor. The CMS is an essential component of OAH's operations by maintaining all case information, including events, documents, tasks, entities, emails, notes, time & billing records. The new CMS will provide an increased level of information security. OAH is seeking consultant services to help identify the appropriate technology, software and equipment needs to implement and maintain a new CMS.

4. Proposed Project Execution Start Date: **7/1/2024**

5. S1BA Version Number: **Version 1**

## 1.2 Submittal Information

1. Contact Information

Contact Name: Tara Martin

Contact Email: [tara.martin@dgs.ca.gov](mailto:tara.martin@dgs.ca.gov)

Contact Phone: 916-207-4118

2. Submission Type: **New Submission**

If Withdraw, select Reason: [Choose an item.](#)

If Other, specify reason here: [Click or tap here to enter text.](#)

**Sections Changed, if this is a Submission Update: (List all sections changed.)**

[Click or tap here to enter text.](#)

**Summary of Changes: (Summarize updates made.)**

[Click or tap here to enter text.](#)

3. Attach [Project Approval Executive Transmittal](#) to your email submission.

4. Attach [Stage 1 Project Reportability Assessment](#) to your email submission.

## 1.3 Business Sponsorship

### 1. Executive Champion (Sponsor)

Title: [Deputy Director](#)

Name: [Bob Varma](#)

Business Program Area: [DGS Office of Administrative Hearings](#)

### 2. Business Owner

Title: [Chief of Administration](#)

Name: [Melissa McKinney](#)

Business Program Area: [DGS Office of Administrative Hearings](#)

### 3. Product Owner

Title: [Associate Governmental Program Analyst](#)

Name: [Carlos Trejo](#)

Business Program Area: [DGS Office of Administrative Hearings](#)

*TIP: Copy and paste or click the + button in the lower right corner on any section to add additional Executive Champions, Business Owners, or Product Owners with their related Business Program Areas as needed. +*

## 1.4 Stakeholder Assessment

The Stakeholder Assessment is designed to give the project team an overview of communication channels that the state entity needs to manage throughout the project. More stakeholders may result in increased complexity to a project.

**1. Indicate which of the following are interested in this proposal and/or the outcome of the project. (Select 'Yes' or 'No' for each.)**

State Entity Only: **Yes**

Other Departments/State Entities: **Yes**

Public: **Yes**

Federal Entities: **No**

Governor's Office: **No**

Legislature: **No**

Media: **No**

Local Entities: **Yes**

Special Interest Groups: **No**

Other: **No**

**2. Describe how each group marked 'Yes' will be involved in the planning process.**

**State Entity-** The Department of General Services (DGS), Enterprise Technology Solutions (ETS), and OAH will procure consultant services to identify the appropriate software and equipment needs to retain a new CMS. The consultant will work collaboratively with OAH staff and ETS in analyzing and documenting requirements and conducting an analysis of solutions that will meet the needs of all requirements through configuration and without significant customization. This work will lead to the development of a solicitation document to obtain offers to replace their existing CMS and to transfer information from the existing CMS to the new CMS.

**Other Departments/State Entities-** OAH provides impartial hearings, mediations, and alternative dispute resolution services to over 1,500 State and local, governments, agencies and departments governed by the Administrative Procedure Act (APA), other statutes and regulations, and through Inter-Agency agreements. Examples of these departments include, the Department of Consumer Affairs, and all its boards and bureaus, the California Department of Education, the California Department of Corrections and Rehabilitation, the Department of Developmental Services, the Department of Social Services, the Department of Real Estate, and the Department of Motor Vehicles, among many others. These departments and state entities not be involved in the planning process, but will be informed of changes of the new CMS and will be required to adhere to any necessary changes required by the new system.

**Public-** The Public will not be involved in the planning process, but will be informed of changes and will be required to adhere to any necessary changes required by the new system.

**Local Entities-** OAH provides impartial hearings, mediations, and alternative dispute resolution services to over 1,500 State and local, governments, cities, counties, board, bureaus, and school districts governed by the Administrative Procedure Act (APA), other statutes and regulations, and through Local Agency agreements. Local entities will not be directly involved in the planning process, but will be informed of changes of the new CMS and will be required to adhere to any necessary changes required by the new system.

## 1.5 Business Program

1. **Business Program Name:** Office of Administrative Hearings
2. **Program Background and Context:** (Provide a brief overview of the entity's business program(s) current operations.)

Office of Administrative Hearings (OAH) is an administrative tribunal that conducts hearings for a multitude of state and local government agencies. OAH operates much like a trial court with five offices across the state, with hearings and mediations in OAH facilities and in offsite locations around California conducted by approximately 100 administrative law judges (ALJs). OAH processes over 10,000 new case filings per year. There are many different hearing programs with different processes, stakeholders, and timelines.

3. **How will this proposed project impact the product or services supported by the state entity?**

OAH is seeking to replace its currently legacy case management system (CMS). OAH's current CMS, Practice Manager (PM), has been in operation for approximately 17 years. PM is an essential component of OAH's operations by maintaining all case information, including events (hearings, mediations, conferences), documents, tasks, entities, emails, notes, and time and billing records. PM is no longer fully supported by its vendor, does not integrate with newer technology, and is experiencing reporting inadequacies requiring multiple workarounds. These issues force OAH to utilize a separate secure internet based electronic filing portal for incoming and outgoing documents, without adequate integration to PM. Further, PM does not provide adequate information to the parties regarding their cases, necessitating unnecessary phone calls to OAH staff for case information. Additionally, PM does not possess the functional capability to support multiple ALJ hourly or multiple filing fees per case type. Since the vendor is no longer providing custom feature development for PM, any rate or filing fee change must be entered manually, resulting in added labor hours and increased risk of human error.

*TIP: Copy and paste or click the + button in the lower right corner to add Business Programs, with background and context and impact descriptions as needed.*

## 1.6 Project Justification

### 1. Strategic Business Alignment

#### Enterprise Architect

Title: [Department of General Services, Enterprise Technology Services](#)

Name: [Don Sur and Liep Huynh](#)

Strategic Plan Last Updated? [1/3/2022](#)

Strategic Business Goal: [OAH New Case Management System](#)

Alignment: [This project directly resolves the strategic goal.](#)

*TIP: Copy and paste or click the + button in the lower right corner to add Strategic Business Goals and Alignments as needed.*

#### Mandate(s): [None](#)

Bill Number/Code, if applicable: [Click or tap here to enter text.](#)

Add the Bill language that includes system-relevant requirements:

[Click or tap here to enter text.](#)

*TIP: Copy and paste or click the + button in the lower right corner to add Bill Numbers/Codes and relevant language as needed.*

### 2. Business Driver(s)

Financial Benefit: [No](#)

Increased Revenue: [No](#)

Cost Savings: [No](#)

Cost Avoidance: [No](#)

Cost Recovery: [No](#)

Will the state incur a financial penalty or sanction if this proposal is not implemented? [No](#)

If the answer to the above question is "Yes," please explain:

[Click or tap here to enter text.](#)

## **Improvement**

Better Services to the People of California: **Yes**

Efficiencies to Program Operations: **No**

Improved Equity, Diversity, and/or Inclusivity: **No**

Improved Health and/or Human Safety: **No**

Improved Information Security: **Yes**

Improved Business Continuity: **Yes**

Improved Technology Recovery: **No**

Technology Refresh: **Yes**

Technology End of Life: **No**

## **1.7 Business Outcomes Desired**

### **Executive Summary of the Business Problem or Opportunity:**

OAH is seeking a new CMS to maintain all case information, including events (hearings, mediations, conferences), documents, tasks, entities, notes, emails, time & billing records, and to produce legally required reports to the Legislature and other State Agencies. Additionally, the new CMS will increase functionality by ensuring communication with other software systems used in connection with OAH's proceedings, DGS enterprise software, and more cloud computing.

### **Better Services to the People of California**

The new CMS will better serve the People of California by providing a more sophisticated system for protecting personal information and case detail. The new CMS will also increase the ability of parties to obtain information about their case without necessitating a call to OAH personnel.

### **Improved Information Security**

New case management systems can audit each transaction created, edited, or deleted within their systems. This is an important feature to secure the privacy of personal data held within the system. Any breach of personal data can be traced back to the individual(s) with a specific timestamp of the event.

The new CMS can also provide the opportunity to secure any personal and private information collected during the OAH business process. Restrictions can be specifically applied to OAH staff, so only individuals who are supposed to view the private data can access it. Also, any violations will be tracked and can be corrected, immediately.

### **Improved Business Continuity**

Since the new CMS will be cloud-based Software as a Service, business continuity will be improved by being more accessible to staff and judges regardless of circumstance, natural disaster, pandemic, and other unforeseen issues.

## Technology Refresh

This request is primarily to refresh the legacy system, purchased in 2007. While automation and enhancements will be available in the new solution, no significantly new functionality will be introduced.

### Objective ID: 1.1

**Objective:** Better Services to the People of California (business driver). The new CMS will better serve the People of California by providing a more sophisticated system for protecting personal information and case detail. The new CMS will also increase the ability of parties to obtain information about their case without necessitating a call to OAH personnel.

**Metric:** Utilize requirements traceability matrix to test and confirm functionality is present

**Baseline:** Current CMS does not have an auditing feature at present and cannot limit access to divisions.

**Target Result:** Upon implementation, the system allows admins to restrict access by division, case type, and/or user access to prevent any violation of customers' PII.

### Objective ID: 2.1

**Objective:** Improved Information Security (business driver). The new CMS will improve the information security of the data OAH collects. It will protect confidential information and, OAH data from being accessed by those with malicious intent and will be in compliance with state and federal standards. It will have user tracking to determine who created, edited, deleted, or viewed case data, as well as the ability to provide specific or limited access to staff within OAH's Special Education and General Jurisdiction divisions.

**Metric:** Create a usage audit report to provide a history of transactions

**Baseline:** Current CMS does not have these features at present; New CMS will have these features after implementation.

**Target Result:** Upon implementation, new CMS will have usage audit feature and limited access roles to access specific data (i.e. staff for OAH divisions will only be able to access their specific division's information)

### Objective ID: 3.1

**Objective:** Improved Business Continuity (business driver). The new CMS will be accessible to staff and judges to enable OAH to proceed with its hearings regardless of circumstance, natural disaster, pandemic, and other unforeseen issues.

**Metric:** OAH staff confirm they are able to access the system without restriction to a physical location

**Baseline:** Current CMS server is a physical server, located on DGS network and requires a connection to DGS to access.

**Target Result:** Upon implementation, OAH Staff will be able to connect to new CMS, whether using VPN, connected to the DGS network or by Cloud Based application.

**Objective ID:** 4.1

**Objective:** Technology Refresh (business driver). Practice Manager, OAH's case management system, is over 17 years old, is no longer supported by the manufacturer.

**Metric:** Contract agreement for support of the CMS for 3 years minimum.

**Baseline:** The current CMS is no longer supported by the manufacturer.

**Target Result:** Upon implementation, the CMS will be supported by the manufacturer.

*TIP: Copy and paste or click the + button in the lower right corner to add Objectives as needed. Please number for reference.*

*TIP: Objectives should identify WHAT needs to be achieved or solved. Each objective should identify HOW the problem statement can be solved and must have a target result that is specific, measurable, attainable, realistic, and time-bound. Objective must cover the specific. Metric and Baseline must detail how the objective is measurable. Target Result needs to support the attainable, realistic, and time-bound requirements.*

## 1.8 Project Management

**1. Project Management Risk Score:** Click or tap here to enter text.

(Attach a completed [Statewide Information Management Manual \(SIMM\) Section 45 Appendix A Project Management Risk Assessment Template](#) to the email submission.)

**2. Project Approval Lifecycle Completion and Project Execution Capacity Assessment**

Does the proposal development or project execution anticipate sharing resources (state staff, vendors, consultants, or financial) with other priorities within the Agency/state entity (projects, PALs, or programmatic/technology workload)?

**Answer:** Yes

Does the Agency/state entity anticipate this proposal will result in the creation of new business processes or changes to existing business processes?

**Answer (No, New, Existing, or Both):** Both New and Existing Processes



## 1.9 Initial Complexity Assessment

**1. Business Complexity Score:** [Click or tap here to enter text.](#)

(Attach a completed [SIMM Section 45 Appendix C](#) to the email submission.)

**2. Noncompliance Issues:** (Indicate if your current operations include noncompliance issues and provide a narrative explaining how the business process is noncompliant.)

Programmatic regulations: [No](#)

HIPAA/CIIS/FTI/PII/PCI: [No](#)

Security: [No](#)

ADA: [No](#)

Other: [No](#)

Not Applicable: [No](#)

Noncompliance Description:

[n/a](#)

**3. Additional Assessment Criteria**

If there is an existing Privacy Threshold Assessment/Privacy Information Assessment, include it as an attachment to your email submission.

How many locations and total users is the project anticipated to affect?

Number of locations: [5](#)

Estimated Number of Transactions/Business Events (per cycle): [15,000](#)

Approximate number of internal end-users: [100 ALJs](#)

Approximate number of external end-users: [25,000-50,000 on a yearly basis](#)

## 1.10 Funding

### Planning

**1. Does the Agency/state entity anticipate requesting additional resources through a budget action to *complete planning* through the project approval lifecycle framework?** [No](#)

If Yes, when will a budget action be submitted to your Agency/DOF for planning dollars?

[Click or tap to enter a date.](#)

**2. Please provide the Funding Source(s) and dates funds for planning will be made available:**

Planning will be funded via department funds. No external funding is being requested.

### **Project Implementation Funding**

1. Has the funding source(s) been identified for ***project implementation***? [Yes](#)

If known, please provide the Funding Source(s) and dates funds for implementation will be made available:

Other: Requesting augmentation of Service Revolving Fund (SRF) via Budget Change Proposal in Spring 2024.

Will a budget action be submitted to your Agency/DOF? [Yes](#)

If “Yes” is selected, specify when this BCP will be submitted: [Spring 2024](#)

2. Please provide a rough order of magnitude (ROM) estimate as to the total cost of the project: [Less than \\$10 Million](#)

**End of agency/state entity document.**

**Please ensure ADA compliance before submitting this document to CDT.**

**When ready, submit Stage 1 and all attachments in an email to [ProjectOversight@state.ca.gov](mailto:ProjectOversight@state.ca.gov).**

## Department of Technology Use Only

Original "New Submission" Date: [03/20/2023](#)

Form Received Date: [03/20/2023](#)

Form Accepted Date: [03/20/2023](#)

Form Status: Completed

Form Status Date: [03/20/2023](#)

Form Disposition: [Approved](#)

If Other, specify: [Click or tap here to enter text.](#)

Form Disposition Date: [03/20/2023](#)

Department of Technology Project Number (0000-000): [7760-322](#)