



Stage 2 Alternatives Analysis

California Department of Technology, SIMM 19B.2 (Ver. 3.0.8, 02/28/2022)

2.1 General Information

1. **Agency or State Entity Name:** 7350 - Industrial Relations, Department of

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

2. **Proposal Name:** EAMS Modernization Project

3. **Department of Technology Project Number (0000-000):** 7350-093

4. **S2AA Version Number:** Version 2

5. **CDT Billing Case Number:** CS0059556

Don't have a Case Number? [Click here to get one.](#)

2.2 Submittal Information

1. Contact Information

Contact Name: Benjamin Bonte

Contact Email: bbonte@dir.ca.gov

Contact Phone: 510-286-0945

2. Submission Type: Updated Submission (Post-Approval)

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

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

Sections Changed if an update or resubmission: (List all the sections that changed.)

2.3 Baseline Processes and Systems, 2.3.7 Technical Complexity Score, 2.4 Requirements and Outcomes, 2.7.3 Market Research Approach, 2.8 Viable Alternative Solutions, 2.9.1 Project Organization Chart, 2.10.1 Project Management Risk Assessment, 2.10.2 Project Charter, 2.10.4 Project Roadmap (High Level), 2.12 Financial Analysis Worksheets

Summary of Changes: (Summarize updates made.)

Section 2.3 - consolidated the court and claim baseline processes and systems

Section 2.3.7 - re-evaluated Technical Complexity Score

Section 2.4 - inserted mid-level requirements

Section 2.7.3 - inserted additional updated Market Research info

Section 2.8 - updated Viable Alternative Solutions info

Section 2.9.1 - updated Project Organization Chart

Section 2.10.1 - re-evaluated Project Management Risk Assessment

Section 2.10.2 - updated Project Charter as one consolidated project

Section 2.10.4 - attached Project Roadmap and updated the key dates

Section 2.12 - updated Financial Analysis Worksheets

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

4. Attach [Procurement Assessment Form](#) to your email submission.

5. Conditions from Stage 1 Approval (Enter any conditions from the Stage 1 Business Analysis approval letter issued by CDT or your AIO):

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

2.3 Baseline Processes and Systems

1. Current Business Environment (Describe the current business environment of which the effort will be understood and assessed in 500 words)

The Division of Workers' Compensation (DWC) and Workers' Compensation Appeals Board (WCAB) within the Department of Industrial Relations (DIR) monitor the administration of workers' compensation claims and provide administrative and judicial services to assist in resolving disputes that arise in connection with claims. DWC procured an Electronic Adjudication Management System (EAMS) to be designed, developed and implemented by Deloitte Consulting. EAMS went live in August 2008. EAMS was designed to support the following business process areas: 1. Case Management: Provide the ability to initiate cases, process documents to create workflow and capture case information; 2. Calendaring: Provide the ability to schedule all types of court hearings and create schedules that do not conflict with various parties' availability while at the same time fully utilizing the resources (rooms, judges and timeslots) of DWC district offices. 3. Document Management: Provide the ability to accept and manage documents and 4. Business Intelligence: Provide the ability to access, analyze and act on information by exploring data, data relationships and trends. In addition, DWC has two special funds that pay claims to injured workers under certain circumstances. Claims are paid from the Uninsured Employers Benefits Trust Fund (UEBTF) when illegally uninsured employers fail to pay workers' compensation benefits awarded to their injured employees by the Workers' Compensation Appeals Board. The Subsequent Injuries Benefits Trust Fund (SIBTF) is a source of additional compensation to injured workers who already had a disability or impairment at the time of their work injury. For benefits to be paid from the SIBTF, the combined effect of the injury and the previous disability or impairment must result in a permanent disability of at least 70 percent. The fund enables employers to hire disabled workers without fear of being held liable for the effects of previous disabilities or impairments, SIBTF benefit checks are issued to injured workers by the SIBTF Claims Unit after benefits are awarded by the Workers' Compensation Appeals Board. UEBTF/SIBTF does not have a dedicated electronic claims benefits administration system. They currently use Curam (a COTS Case Management, Calendaring and Cashiering system) to input a payment request to SCO for processing, and most claims administration process is largely manual and handled via paper, shared drive and emails. The Qualified Medical Examiner (QME) system is an integral part of the overall adjudication process. Both non-represented injured workers and represented injured workers utilize this important process to assess their disability claims and determine how much they are entitled to in workers' compensation benefits. Although that system is not currently part of EAMS, due to the fact that the QME process is a significant part of the litigation process its modernization is a required piece of the EAMS project and the overall modernization of the court management function. Without the QME system DWC court cases would be severely delayed or even halted, therefore delaying benefits to injured workers.



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Tip: Current Environment costs will be asked for in the Financial Analysis Worksheet to be completed in Section 2.12.

Attach relevant documentation to email submission (i.e., business process, workflow, problem analysis, user/stakeholder list, research findings). If these types of documents are not available, please indicate “Not Available,” and explain the reason below:

Not available reason: [Click or tap here to enter text.](#)

2. Technical Context (Describe the technical environment of which the effort will be understood and assessed in 500 words)

The major components of Electronic Adjudication Management System (EAMS) are: 1. Curam – a COTS Case Management, Calendaring, and Cashiering System. Curam has been substantially modified since August 2008. 2. FileNet – a COTS Document Management System. 3. Oracle – a division-wide relational database system with integration to the Workers’ Compensation Information System (WCIS) and 4. Cognos- a COTS reporting software tool. EAMS currently supports approximately 7.5 million cases. The system is used primarily to manage the adjudication of benefit related issues, including the scheduling of hearings to review the issues brought before the DWC, and as a document intake/repository for case related court documents. EAMS is currently licensed for 4,300 total users—1,300 internal users and 3,000 external users.



Attach relevant documentation to email submission (i.e., logical system environment diagrams, system interactions, business rules, application flows, stakeholder information, data flow charts). If these types of documents are not available, please indicate “Not Available,” and explain the reason below:

Not available reason: [Click or tap here to enter text.](#)

3. Data Management (Enter the information to indicate the data owner and custodian of the current system, if applicable.)

Data Owner Name: [George Parisotto](#)

Data Owner Title: [Administrative Director](#)

Data Owner Business Program area: [Division of Workers’ Compensation](#)

Data Custodian Name: [Susana Fong](#)

Data Custodian Title: [EAMS Application Support Supervisor](#)

Data Custodian Technical area: [Office of Information Systems](#)

Security - Data Classification and Categorization [Choose Yes or No.](#)

Security - Privacy Threshold & Impact Assessment. [Choose Yes or No.](#)

4. Existing Data Governance and Data

- a) Do you have existing data that must be migrated to your new solution?

Answer (Unknown, Yes, No): [Yes](#)

If data migration is required, please rate the quality of the data.

Select data quality rating: [Some issues identified with the existing data.](#)

- b) Does the Agency/state entity have an established data governance body with well-defined roles and responsibilities to support data governance activities?

Answer (Unknown, Yes, No): [No](#)

If Yes, include the data governance organization chart as an attachment to your email submission.

- c) Does the Agency/state entity have data governance policies (data policies, data standards, etc.) formally defined, documented, and implemented?

Answer (Unknown, Yes, No): [No](#)

If Yes, include the data governance policies as an attachment to your email submission.

- d) Does the Agency/state entity have data security policies, standards, controls, and procedures formally defined, documented, and implemented?

Answer (Unknown, Yes, No): [No](#)

If Yes, attach the existing documented security policies, standards, and controls used to your email submission.

- e) Does the Agency/state entity have user accessibility policies, standards, controls, and procedures formally defined, documented, and implemented?

Answer (Unknown, Yes, No): [Yes](#)

If Yes, attach the existing documented policies, accessibility governance plan, and standards used to the email submission.

Access is based on defined roles

Filenet/eform roles: Simon Kuang / Rebecca Kramer

Cognos: Norman Nunez

Curam: Susana Fong, Tetsuro, Lori Clanton.

5. Security Categorization Impact Table

Consult the [SIMM 5305-A Information Security Program Management Standard - Security Categorization Impact Table](#).



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Attach a table (in PDF) that categorizes and classifies the agency/state entity's information assets related to this effort (e.g., paper and electronic records, automated files, databases requiring appropriate protection from unauthorized use, access, disclosure, modification, loss, or deletion). Each information asset for which the agency/state entity has ownership responsibility shall be inventoried and identified.

6. Security Categorization Impact Table Summary

Consult the [SIMM 5305-A Information Security Program Management Standard - Security Categorization Impact Table](#) to provide potential impact levels of the following areas:

Confidentiality: **Medium**

Integrity: **Medium**

Availability: **Medium**

7. Technical Complexity Score: 2.8



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(Attach a [SIMM Section 45 Appendix C](#) with Business and Technical Complexity sections completed to the email submission.)

2.4 Requirements and Outcomes

At this time in the project planning process, requirements and outcomes should be documented and indicative of how the Agency/State Entity envisions the final solution. This shall be accomplished either in the form of mid-level requirements (predictive methodology)/business capabilities or representative epics and user stories (adaptive methodology) that will become part of the product backlog. The requirements or representative epics and user stories must tie back to the Objectives detailed in the Stage 1 Business Analysis. Regardless of which tool/method is used, an understanding of the following, at a minimum, must be clearly articulated:

- Functional requirements
- Expected user experience(s)
- Expected system outcome
- Expected business operations (e.g., How do you envision operations in the future?)

- Alignment to the project's objectives identified in Stage 1
- Product ownership (e.g., Who owns these requirements?); and
- Verification of need(s) fulfillment (e.g., How will success be measured?)

Tip: If providing requirements, the recommended range of requirements is between 50 and 100.

Attach Requirements and/or Outcomes narratives, mid-level requirements, and/or epics/user stories to submission email.

2.5 Assumptions and Constraints

Relevant assumptions and constraints help define boundaries and opportunities to shape the scope and complexity of the project.

Assumption: Subject matter experts and other resources are available when expected.

Description/Potential Impact: The availability of subject matter experts and project resources affects the ability for the project to meet milestones and follow the projected timeline.

Constraint: A structured Organizational Change Management (OCM) approach is being communicated and applied to the EAMS modernization project. An experienced OCM Manager and OCM team have been identified. Business and IT teams have established an Organizational Change Management plan that will integrate with the project management plan.

Description/Potential Impact: OCM focuses on identifying, preparing and managing the internal/external stakeholders, employees, and customers that will be impacted by the new solution. Change management drives the successful adoption and usage of change within the business. It gives employees the opportunity to understand and commit to the shift and work effectively during it. OCM uses communication and feedback processes to determine how effectively change is being adopted by Stakeholders.

Assumption: Data cleansing and data mapping will be completed before data migration occurs. Bad and incomplete data will be identified and fixed. Only complete and accurate data will be migrated to the new system.

Description/Potential Impact: If bad data is migrated into the new system, it will affect the quality and accuracy of reports and data analytics efforts.

Constraint: UEBTF/SIBTF business unit functions will be handled in a separate system.

Description/Potential Impact: UEBTF/SIBTF should have their own separate system that focuses on claims benefit administration functions. The current system is largely a court case management system.

TIP: Copy and paste to add Assumptions/Constraints with Descriptions/Impacts as needed.

2.6 Dependencies

Dependencies are elements or relationships in a project reliant on something else occurring before the function, service, interface, task, or action can begin or continue.

Dependency Element: Data cleansing and data mapping will occur prior to Go Live

Dependency Description: Without good quality data, the system will not be able to provide accurate reports and metrics for data analytics or policy decision making purposes.

TIP: Copy and paste to add Dependency Elements and Descriptions as needed.

2.7 Market Research

Market Research ([CDT Market Research Guidelines](#)) determines whether products or services available in the marketplace can meet the business needs identified in this proposal. Market Research can also determine whether commercial practices regarding customizing/modifying products or tailoring services are available, or even necessary, to meet the business needs and objectives of the business.

Before undertaking a Market Research approach. Contact your PAO Manager to schedule a collaborative review to review planning to date and discuss the procurement approach.

1. **Project Management Methodology:** [Adaptive Approach \(Agile\)](#)
2. **Procurement approach recommended:** [Challenge-based Procurement](#)
3. **Market Research Approach**

Provide a concise narrative description of the approach used to perform market research.

The RFI vendors will be used as a reference, but we will not be selecting a specific vendor at this stage. The Attached RFI spreadsheet further details the project team's analysis. See attached document: 2-9-2 Results of Market Research.

We selected 21 major functions from the current business needs to evaluate the vendors' proposed solutions. We evaluated 4 vendors: OnCore (RAPID Framework), Journal Technologies (eCourt), CapTech (Custom built Framework) and eSystems (Salesforce). The custom-built approach satisfied 19 of the 21 major court functions.

In addition, we attended a claims management system demo for COTS solution, PCIS-ClaimsVision. After analysis of our market research results, the COTS system approach satisfied the majority of the claims functions.

Update as of 12/2023

The EAMS project team worked with a consulting firm to update the market research for court, claims and QME solutions.

The project team identified 9 vendors to send vendor demonstration information packets to. Of the 9 vendors, 6 vendors participated.

The series of vendor demonstration and debrief meetings were successfully completed on 12/8/23.

Attached is the vendor roster and the vendor demonstration information packet.

4. Market Research Artifacts

Market Research Artifacts can include internet research, collaboration with other governmental entities, or other documentation.

Attach Market Research artifacts to the email submission.



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2.8 Viable Alternative Solutions

The CDT expects Agencies/state entities to conduct a thorough analysis of all feasible alternatives that will meet the proposal's objectives and requirements. Agencies/state entities should provide at minimum the three (3) most viable solutions, one (1) of which could be leveraging and/or enhancing the existing solution (if applicable).

1. Viable Alternative Solution #1

Name: [Configurable COTS Approach \(Recommended\)](#)

Description:

The recommended solution is acquiring configurable COTS system for court case management that includes the qualified medical examiner process, and acquiring configurable COTS system for claims management. Data and document ownership would reside with the customer while the systems and source code are owned by vendor. Systems cost would be based on a yearly subscription lease-based model. This approach is typically less expensive than a custom-built solution including lower maintenance costs and effort than a custom-built solution. The vendor will be responsible for security patches, bug fixes, upgrades and an annual release of a new version. DIR will be trained to support the upgrades. In addition, project implementation length will be shorter than a custom-built solution. Systems are ready to deliver functionality based on a generic set of requirements for that product. There may be some time needed to configure existing functions, but configurations can be applied quickly once the business decides how to use the available options. Another benefit of this approach is that an off-the-shelf software has been tested for defects and has undergone various usability tests to ensure its functionalities are working properly.

Benefits/Advantages: Costs for a COTS system solution are typically less expensive than a custom-built solution including lower maintenance costs and effort than a custom-built solution. The vendor will be responsible for security patches, bug fixes, upgrades and an annual release of a new version. DIR IT staff will be trained to support the upgrades.

Benefits/Advantages: Project implementation length will be shorter than a custom-built solution. System is ready to deliver functionality based on a generic set of requirements for that product. There may be some time needed to configure existing functions, but configurations can be applied quickly once the business decides how to use the available options.

Benefits/Advantages: An off-the-shelf software has been tested for defects and has undergone various usability tests.

Disadvantages: There is an on-going maintenance cost for licenses and vendor supports.

Disadvantages: Limited scope of customization. The system may not allow for initial customizations to meet DWC's unique requirements.

- Uses strong encryption techniques to ensure the security of sensitive data
- Follows a robust role-based access control model, providing fine-grained control over data access
- Offers two-factor authentication and IP address restrictions to prevent unauthorized access
- Adheres to many globally recognized security certifications, including ISO 27001 and SOC 2 Type II
- Provides features to help organizations comply with privacy laws such as General Data Protection Regulation (GDPR) and California Consumer Privacy Act (CCPA)
- Offers additional security features like threat intelligence and vulnerability response via security operations suite
- Runs regular security audits and penetration tests to ensure the effectiveness of its security measures

Approach

Increase staff – new or existing capabilities: Yes

Modify the existing business process or create a new business process: No

Reduce the services or level of services provided: No

Utilize new or increased contracted services: Yes

Enhance the existing IT system: No

Modify Statute/Policy/Regulations: No

Please Specify: Click or tap here to enter text.

Create a new IT system: Yes

Other: Choose Yes or No. Specify: Click or tap here to enter text.

Architecture Information

Business Function(s)/Process(es): EAMS system is used primarily to manage the adjudication of benefit related issues, including the scheduling of hearings to review the issues brought before the DWC, and as a document intake/repository for case related court documents. EAMS is also used as a case management tool for the cases that fall under the UEBTF and SIBTF jurisdiction.

The internal business users of EAMS are staff of the Adjudication Unit (ADJ), Disability Evaluation Unit (DEU), Uninsured Employers Benefit Trust Fund and Subsequent Injury Benefit Trust Fund Units (UEBTF and SIBTF), Return to Work Supplemental Program Unit (RSU), and the Special Adjudication Unit (SAU), Workers' Compensation Appeals Board (WCAB), Audit Unit, Medical Unit, DWC and DIR's Legal Units, and the Return to Work Supplemental Program (RTWSP) unit.

The major components of Electronic Adjudication Management System (EAMS) are: 1. Curam – a COTS Case Management, Calendaring, and Cashiering System. Curam has been substantially modified since August 2008. 2. FileNet – a COTS Document Management System. 3. Oracle – a division-wide relational database system with integration to the Workers' Compensation Information System (WCIS) and 4. Cognos- a COTS reporting software tool. EAMS currently supports approximately 7.5 million cases. The system is used primarily to manage the adjudication of benefit related issues, including the scheduling of hearings to review the issues brought before the DWC, and as a document intake/repository for case related court documents.

Current EAMS infrastructure diagram (attached below)



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The proposed solution is to replace the existing Electronic Adjudication Management System (EAMS):

1. Curam will be replaced by COTS solutions.
2. FileNet will be replaced by Cloud solutions.
3. Oracle will be replaced by Cloud solutions.
4. Cognos will be replaced by Cloud solutions.

The proposed solution will address the following business capabilities:

1. Case management
2. Workflow management
3. Document management
4. E-filing
5. E-signature
6. OCR / Scanning
7. Reporting and Data Analytics
8. Even Logging
9. Scheduling and calendaring
10. Digital communication
11. Billing and payment processing
12. Public search
13. Self-service
14. Data quality management

TIP: Copy and paste or click the + button in the lower right corner to add business processes with the same application, system, or component; COTS/Cloud Technology or custom solution; runtime environment; system interfaces, data center location; and security.

Conceptual Architecture



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Attach a copy of the conceptual architecture to your email submission.

COTS/SaaS/Cloud Technology or Custom: COTS/SaaS/Cloud Technology

Name/Primary Technology: Will be deferred to PAL Stage 3 Solution Development

TIP: Copy and paste or click the + button in the lower right corner to add system software information if the application, system, or component uses additional system software.

Explain Existing System Interfaces:

Engagement Layer:

1. Trading Partners
 - a. Jet – electronic filing system of completed forms, pleadings, and attachments in workers' compensation cases by way of a single, secure transmission to the Division of Workers' Compensation (DWC) Electronic Adjudication Management System (EAMS).
 - b. EDEX – electronic data exchange system (EDEX) allows approved subscribers and their clients to request and receive, via electronic transmissions, summary data of Workers' Compensation Appeals Board (WCAB) cases.
 - c. Case Opening,
2. DWC sites,
3. DGS Datamailer,
4. CDT SafeCloud (SFTP),
5. PCI compliant payments partner

See attached Current EAMS infrastructure diagram

Explain New System Interfaces:

Engagement layer:

1. Call Center / IVR
2. WCIS
3. EDEX
4. DIR website
5. Email
6. DEU Calculator
7. OSP Data Mailer

3rd Party integrations:

1. Payment gateway
2. Word processing
3. Court reporting
4. Entellitrak
5. Stratafax
6. 3rd party case management
7. JET Filing Vendors

See attached Conceptual Architecture diagram

Data Center Location of the To-be Solution: Other

If Other, specify: Will be deferred to Stage 3

Security

Access

Public: [Yes](#)

Internal State Staff: [Yes](#)

External State Staff: [No](#)

Other: [Choose Yes or No](#). Specify: [Click or tap here to enter text](#).

Type of Information (Select Yes or No for each to identify the type of information that requires protection. See the SAM Section 5305.5 for more information.)

Personal: [Yes](#)

Health: [Yes](#)

Tax: [Yes](#)

Financial: [Yes](#)

Legal: [Yes](#)

Confidential: [Yes](#)

Other: [Choose Yes or No](#). Specify: [Click or tap here to enter text](#).

Protective Measures (Select Yes or No to identify the protective measures used to protect information.)

Technical Security: [Yes](#)

Physical Security: [No](#)

Backup and Recovery: [Yes](#)

Identity Authorization and Authentication: [Yes](#)

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

Total Viable Alternative #1 Solution Cost (copy from FAW – Executive Cost Summary tab, cells E7 through E11):

Planning Costs: [\\$18,448,874](#)

One-Time (Project) Costs: [\\$117,943,487](#)

Total Future Ops. IT Staff OE&E Costs: [\\$19,811,808](#)

Total Proposed Cost: [\\$156,204,170](#)

Annual Future Ops. Costs (M&O): \$19,811,808

2. Viable Alternative Solution #2

Name: Custom Built Approach

Description:

The second solution is a custom built system for court case management that includes the qualified medical examiner process, and claim management. Data and document ownership would reside with the customer along with the system and source code. System costs would be based on the complexity of the system development. This approach is typically more expensive than a COTS solution including higher maintenance costs and effort than a COTS solution. The customer will be responsible for security patches, bug fixes, and upgrades. In addition, project implementation length will be longer than a COTS solution. System will need to be developed and tested based on a generic set of requirements for that product. The benefit of this approach is that the customer will have full control of designing the infrastructure of the system and functionalities to meet their business requirements.

Why is this a viable solution? Please explain:

Benefits/Advantages for custom built system: Can be maintained in-house.

Benefits/Advantages for custom built system: Will ultimately be able to incorporate other processes into the system. DWC currently has multiple other units within the division that have various antiquated systems in-place. DWC will be able to fully integrate all aspects of the division's work within a customized system with future projects. This will streamline the division's work, increase communication, and better serve the workers' compensation community.

Disadvantages: Custom built software can be more expensive than COTS.

Disadvantages: Custom built software will require considerably more time and additional resources to identify business rules, requirements, use cases, user roles, permissions, screen design/layout, test cases, and build the solution.

Disadvantages: Custom built software will be difficult to apply patches or upgrades because they will not be supported by licensed vendors.

Approach

Increase staff – new or existing capabilities: Yes

Modify the existing business process or create a new business process: No

Reduce the services or level of services provided: No

Utilize new or increased contracted services: Yes

Enhance the existing IT system: [No](#)

Modify Statute/Policy/Regulations: [No](#)

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

Create a new IT system: [Yes](#)

Other: [Choose Yes or No.](#) Specify: [Click or tap here to enter text.](#)

Architecture Information

Business Function(s)/Process(es): EAMS system is used primarily to manage the adjudication of benefit related issues, including the scheduling of hearings to review the issues brought before the DWC, and as a document intake/repository for case related court documents. EAMS is also used as a case management tool for the cases that fall under the UEBTF and SIBTF jurisdiction.

The internal business users of EAMS are staff of the Adjudication Unit (ADJ), Disability Evaluation Unit (DEU), Uninsured Employers Benefit Trust Fund and Subsequent Injury Benefit Trust Fund Units (UEBTF and SIBTF), Return to Work Supplemental Program Unit (RSU), and the Special Adjudication Unit (SAU), Workers' Compensation Appeals Board (WCAB), Audit Unit, Medical Unit, DWC and DIR's Legal Units, and the Return to Work Supplemental Program (RTWSP) unit.

The major components of Electronic Adjudication Management System (EAMS) are: 1. Curam – a COTS Case Management, Calendaring, and Cashiering System. Curam has been substantially modified since August 2008. 2. FileNet – a COTS Document Management System. 3. Oracle – a division-wide relational database system with integration to the Workers' Compensation Information System (WCIS) and 4. Cognos- a COTS reporting software tool. EAMS currently supports approximately 7.5 million cases. The system is used primarily to manage the adjudication of benefit related issues, including the scheduling of hearings to review the issues brought before the DWC, and as a document intake/repository for case related court documents.

Current EAMS infrastructure diagram (attached below)



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The proposed solution is to replace the existing Electronic Adjudication Management System (EAMS):

1. Curam will be replaced by Custom Built solution.
2. FileNet will be replaced by Cloud solution.
3. Oracle will be replaced by Cloud solution.
4. Cognos will be replaced by Cloud solution.

The proposed solution will address the following business capabilities:

1. Case management
2. Workflow management
3. Document management
4. E-filing
5. E-signature
6. OCR / Scanning
7. Reporting and Data Analytics

8. Even Logging
9. Scheduling and calendaring
10. Digital communication
11. Billing and payment processing
12. Public search
13. Self-service
14. Data quality management

TIP: Copy and paste or click the + button in the lower right corner to add business processes with the same application, system, or component; COTS/Cloud Technology or custom solution; runtime environment; system interfaces, data center location; and security.

Conceptual Architecture



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Attach a copy of the conceptual architecture to your email submission.

COTS/SaaS/Cloud Technology or Custom: COTS/SaaS/Cloud Technology

Name/Primary Technology: Will deferred to Stage 3 solution development

TIP: Copy and paste or click the + button in the lower right corner to add system software information if the application, system, or component uses additional system software.

Explain Existing System Interfaces:

Engagement Layer:

1. Trading Partners (Jet, EDEX, Case Opening),
2. DWC sites,
3. DGS Datamiler,
4. CDT SafeCloud (SFTP),
5. PCI compliant payments partner

See attached Current EAMS infrastructure diagram

Explain New System Interfaces:

Engagement layer:

1. Call Center / IVR
2. WCIS
3. EDEX
4. DIR website
5. Email
6. DEU Calculator
7. OSP Data Mailer

3rd Party integrations:

1. Payment gateway
2. Word processing
3. Court reporting
4. Entellitrak
5. Stratafax
6. 3rd party case management
7. JET Filing Vendors

See attached Conceptual Architecture diagram

Data Center Location of the To-be Solution: [Other](#)

If Other, specify: [Will deferred to Stage 3](#)

Security

Access:

Public: [Yes](#)

Internal State Staff: [Yes](#)

External State Staff: [No](#)

Other: [Choose Yes or No](#). Specify: [Click or tap here to enter text](#).

Type of Information (Select Yes or No for each to identify the type of information that requires protection. See the SAM Section 5305.5 for more information.)

Personal: [Yes](#)

Health: [Yes](#)

Tax: [Yes](#)

Financial: [Yes](#)

Legal: [Yes](#)

Confidential: [Yes](#)

Other: [Choose Yes or No](#). Specify: [Click or tap here to enter text](#).

Protective Measures (Select Yes or No to identify the protective measures used to protect information.)

Technical Security: [Yes](#)

Physical Security: [No](#)

Backup and Recovery: [Yes](#)

Identity Authorization and Authentication: [Yes](#)

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

Total Viable Alternative #2 Solution Cost (copy from FAW – Summary tab, cell AL33):

Total Proposed Cost: \$153,219,453

3. Viable Alternative Solution #3

Name: [Upgrade and/or further customize the current EAMS components – Curam, FileNet and Cognos](#)

Description:

Cúram requires significant enhancements and bug fixes to meet the current business needs. The original implementation plan had almost 700 requirements as part of the contract, but only an estimated 400 of those requirements were actually delivered. Developers are still trying to catch up with these shortcomings while responding to changes in laws, upgrades and business modifications.

There is currently a backlog of change requests that require further analysis and prioritization before they can be addressed/implemented. An additional challenge is that Curam's source code has been locked by IBM. Therefore, there are limitations in what the technical team will be able to implement. To keep business operations going, DWC users have created system workarounds to address the deficient system functionalities.

Cognos (business intelligence software tool) provides standard features for reporting. However, the current user interface does not allow for business users to easily create a report based on defined parameters. In many cases, business must request assistance from the technical team to query needed information. In addition, the returned data is often deemed incomplete or inaccurate and required repeated entries of different parameters to achieve the desired results.

Why is this a viable solution? Please explain:

This is not an approach that DIR recommends because its disadvantages outweigh its advantages.

Benefits/Advantages: Because this is our currently existing system, the business and technical teams are familiar with the system functions. There would be less of a learning curve or need for change management activities to update it.

Disadvantages: The current licensing model limits the number of internal and external users able to use EAMS. DWC is unable to add additional users without incurring a significant increase in costs.

Disadvantages: The reports produced by Cognos will continue to lack key information due to the limitations of Curam's database structures.

Disadvantages: Users will continue to execute manual processes because of the design of the current system. DWC may need to hire additional staff to address work backlogs if current system cannot handle needed changes.

Disadvantages: IBM has locked the source code. This makes both code modifications and troubleshooting much more difficult. This also decreases the flexibility required to respond to constantly changing business needs.

Disadvantages: Expensive COTS customization continue to be required to initiate and maintain long-term upgrades.

Disadvantages: Injured workers have scarce and unsatisfactory access to the current system because the current licensing model is very restrictive and expensive.

Disadvantages: Below are the technical shortcomings:

- The original system design uses Java for certain referential integrity aspects rather than Oracle database capabilities. As such, it's impossible to take 1-2% sample of database to use for testing, etc.
- The system navigation is unwieldy, requiring excessive unnecessary clicks.
- Many deprecated methods are still being used in the current build, which are marked for removal in future releases.
- DIR technical staff can no longer modify the core code: IBM has locked it down. This makes many needed code modifications impossible and makes troubleshooting much more difficult.
- The original system is not built with a Service Oriented Architecture. Instead, it is Closely Coupled, which makes it inadequate and difficult to modify many portions of the system.
- Because of Word integration issues, the current version of Cúram only supports IE 11 with specific extra settings, even though Microsoft no longer supports IE due to inherent security issues and recommends upgrading to Edge.
- External users object to using EAMS due to security issues and have difficulty learning it because it is not intuitive, antiquated and unnecessarily complex.

Approach

Increase staff – new or existing capabilities: **No**

Modify the existing business process or create a new business process: **Yes**

Reduce the services or level of services provided: **No**

Utilize new or increased contracted services: **Yes**

Enhance the existing IT system: **Yes**

Modify Statute/Policy/Regulations: **No**

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

Create a new IT system: **No**

Other: **Choose Yes or No.** Specify: [Click or tap here to enter text.](#)

Architecture Information

Business Function(s)/Process(es): EAMS system is used primarily to manage the adjudication of benefit related issues, including the scheduling of hearings to review the issues brought before the DWC, and as a document intake/repository for case related court documents. EAMS is also used as a case management tool for the cases that fall under the UEBTF and SIBTF jurisdiction.

The internal business users of EAMS are staff of the Adjudication Unit (ADJ), Disability Evaluation Unit (DEU), Uninsured Employers Benefit Trust Fund and Subsequent Injury Benefit Trust Fund Units (UEBTF and SIBTF), Return to Work Supplemental Program Unit (RSU), and the Special Adjudication Unit (SAU), Workers' Compensation Appeals Board (WCAB), Audit Unit, Medical Unit, DWC and DIR's Legal Units, and the Return to Work Supplemental Program (RTWSP) unit.

The major components of Electronic Adjudication Management System (EAMS) are: 1. Curam – a COTS Case Management, Calendaring, and Cashiering System. Curam has been substantially modified since August 2008. 2. FileNet – a COTS Document Management System. 3. Oracle – a division-wide relational database system with integration to the Workers' Compensation Information System (WCIS) and 4. Cognos- a COTS reporting software tool. EAMS currently supports approximately 7.5 million cases. The system is used primarily to manage the adjudication of benefit related issues, including the scheduling of hearings to review the issues brought before the DWC, and as a document intake/repository for case related court documents.

Current EAMS infrastructure diagram (attached below)



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The proposed solution will need to address the following business capabilities:

1. Case management
2. Workflow management
3. Document management
4. E-filing
5. E-signature
6. OCR / Scanning
7. Reporting and Data Analytics
8. Event Logging
9. Scheduling and calendaring
10. Digital communication
11. Billing and payment processing
12. Public search
13. Self-service
14. Data quality management

TIP: Copy and paste or click the + button in the lower right corner to add business processes with the same application, system, or component; COTS/Cloud Technology or custom solution; runtime environment; system interfaces, data center location; and security.

Conceptual Architecture



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Attach a copy of the conceptual architecture to your email submission.

COTS/SaaS/Cloud Technology or Custom: [COTS/SaaS/Cloud Technology](#)

Name/Primary Technology: Java, Java/JEE and SFTP/Java

TIP: Copy and paste or click the + button in the lower right corner to add system software information if the application, system, or component uses additional system software.

Explain Existing System Interfaces:

Engagement Layer:

1. Trading Partners (Jet, EDEX, Case Opening),
2. DWC sites,
3. DGS Datamiler,
4. CDT SafeCloud (SFTP),
5. PCI compliant payments partner

See attached Current EAMS infrastructure diagram

Explain New System Interfaces:

The New System Interfaces will remain the same.

Cloud Computing Used: [No](#)

Server/Device Function: [Web Server/App Server](#)

Hardware: [HP ProLiant](#)

Operating System: [Microsoft Windows](#)

System Software: [IBM WebSphere](#)

System Interfaces:

[Cognos 11](#), [FilNet 5.2](#), [DWC EAMS eForms](#), [Public Search](#), [BusinessTone](#), [IBM Payment](#), [Lien Payment](#), [Lien correspondence](#), [Refunds](#), [JET](#), [SAFE – CDT](#), [EDEX \(Electronic Data Exchange System\)](#).

Data Center Location of the To-be Solution: [State data center operated by CDT](#)

If Other, specify:

Security

Access:

Public: [Yes](#)

Internal State Staff: [Yes](#)

External State Staff: [No](#)

Other: [Choose Yes or No](#). Specify: [Click or tap here to enter text](#).

Type of Information (Select Yes or No for each to identify the type of information that requires protection. See the SAM Section 5305.5 for more information.)

Personal: [Yes](#)

Health: [Yes](#)

Tax: [No](#)

Financial: [No](#)

Legal: [Yes](#)

Confidential: [Yes](#)

Other: [Choose Yes or No. Specify: Click or tap here to enter text.](#)

Protective Measures (Select Yes or No to identify the protective measures used to protect information.)

Technical Security: [Yes](#)

Physical Security: [Yes](#)

Backup and Recovery: [Yes](#)

Identity Authorization and Authentication: [Yes](#)

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

Total Viable Alternative #3 Solution Cost (copy from FAW – Summary tab, cell AL50):

Total Proposed Cost: [\\$50,065,784](#)

2.9 Project Organization

Project planning includes the process of identifying how and when specific labor skill sets are needed to ensure that the proposed project has sufficient staff with the appropriate knowledge and experience by the time the project moves into execution. All staff identified in the following sections should be included in the Financial Analysis Worksheet to be completed in Section 2.12.

1. Project Organization Chart:

Attach the Project Organization Chart to your email submission.



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EAMS_Modernization

2. Is the department running this project as a matrixed or projectized organization?

[Projectized](#)

In each of the following sections, provide a concise description of the approach to staffing the proposed project including contingencies for business/program, IT, or administrative areas to maintain ongoing operations in conjunction with the proposed project.

1. Administrative

[Defer to Stage 4](#)

2. Business Program

[Defer to Stage 4](#)

3. Information Technology

[Defer to Stage 4](#)

4. Testing

[Defer to Stage 4](#)

5. Data Conversion/Migration

[Defer to Stage 4](#)

6. Training

[Defer to Stage 4](#)

7. Organizational Change Management

[Defer to Stage 4](#)

8. Resource Capacity/Skills/Knowledge for Stage 3 Solution Development

This narrative should include the experience level and quantity of procurement, contract management, and budget staff who will be responsible for the Stage 3 Solution Development.

For Stage 3 Solution Development, DIR procurement staff have robust experience in dealing with the procurement vehicles identified for this project. Aside from leading the procurement phases of large projects (OASIS and LETF), DIR has successfully executed the purchase of many items using leveraged procurement agreements (CMAS, etc.). DIR in-house procurement, contract management and budget staff with work with DIR's established Project Management Office to conduct the Stage 3 activities.

2.10 Project Planning

1. Project Management Risk Assessment

Updated Project Management Risk Score: 1.6

Attach Updated PM Risk Assessment to your email submission. [SIMM Section 45A](#)



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2. Project Charter

Is your project charter approved by the designated Agency/state entity authority and available for the Department of Technology to review? **Choose:** 'Yes,' 'No,' or 'Not Applicable.' If 'No' or 'Not Applicable,' provide the artifact status in the space provided.

[Project Charter \(Approved\):](#) Yes

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

Attach a copy of the Project Charter to your email submission.



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3. Project Plans

Are the following project management plans or project artifacts approved by the designated Agency/state entity authority and available for the Department of Technology to review?

Choose: 'Yes,' 'No,' or 'Not Applicable.' If 'No' or 'Not Applicable,' provide the artifact status in the space provided.

Note: For Low to medium complexity and cost projects, discuss with your PAO manager the option of submitting a Master Project Management Plan in place of individual plans.

[Scope Management Plan \(Approved\):](#) Yes

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

[Communication Management Plan \(Approved\):](#) Yes

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

[Schedule Management Plan \(Approved\) :](#) Yes

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

[Procurement Management Plan \(Approved\): Yes](#)

Status: Click or tap here to enter text.

[Requirements Management Plan \(Approved\): Yes](#)

Status: Click or tap here to enter text.

[Stakeholder Management Plan \(Draft\): Yes](#)

Status: Click or tap here to enter text.

[Governance Plan \(Draft\): Yes](#)

Status: Click or tap here to enter text.

[Contract Management Plan \(Draft\): Yes](#)

Status: Click or tap here to enter text.

[Resource Management Plan \(Draft\): Yes](#)

Status: Click or tap here to enter text.

[Change Control Management Plan \(Draft\): Yes](#)

Status: Click or tap here to enter text.

[Risk Management Plan \(Draft + Risk Log\): Yes](#)

Status: Click or tap here to enter text.

[Issue and Action Item Management Plan \(Draft + Issue Log\): Yes](#)

Status: Click or tap here to enter text.

[Cost Management Plan \(Approved if planning BCP approved\): Yes](#)

Status: Click or tap here to enter text.

4. Project Roadmap (High-Level)

Attach a high-level Project Roadmap showing remainder of planning phase and transition into execution phase to the email submission.



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- a) Planning Start Date: 10/4/2021
- b) Estimated Planning End Date: 4/24/2025
- c) Estimated Project Start Date: 4/28/2025
- d) Estimated Project End Date: 6/30/2029

2.11 Data Cleansing, Conversion, and Migration

If in Section 2.3 (above) the answer to the question “Do you have existing data that must be migrated to your new solution?” was marked “Yes,” please complete this section.

The California Department of Technology recommends having a Data Consultant start data cleansing, conversion, and migration activities as soon as possible.

Identify the status of each of the following data activities. If “Not Applicable” is chosen, explain why the activity is not applicable or if “Not Started” is chosen, explain when the activity will start and its anticipated duration:

1. Current Environment Analysis: In Progress

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

2. Data Migration Plan: Not Started

[Plan to begin after S4 Approval.](#)

3. Data Profiling: Not Started

[Plan to begin after S4 Approval.](#)

4. Data Cleansing and Correction: In Progress

[Plan to begin after S4 Approval.](#)

5. Data Quality Assessment: In Progress

[Plan to begin after S4 Approval.](#)

6. Data Quality Business Rules: Not Started

[Plan to begin after S4 Approval.](#)

7. Data Dictionaries: Not Started

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

8. Data Conversion/Migration Requirements: Not Started

[Plan to begin after S4 Approval.](#)

2.12 Financial Analysis Worksheets

Attach [F.2 Financial Analysis Worksheet\(s\)](#) to the email submission.

End of agency/state entity document.

Please ensure ADA compliance before submitting this document to CDT.

When ready, submit Stage 2 and all attachments in an email to ProjectOversight@state.ca.gov.

Department of Technology Use Only

Original “New Submission” Date: 8/1/2024

Form Received Date: 8/1/2024

Form Accepted Date: 8/1/2024

Form Status: Approved

Form Status Date: 01/10/2025

Form Disposition: Completed

Form Disposition Date: 01/10/2025