

Project Name: Appeals Document Management System

OCIO Project #:

Department: California Unemployment Insurance Appeals Board

Revision Date: 9/1/10

Concept Statement

Description

Brief description of the proposed project:

CUIAB requires an integrated system that provides unemployment insurance appeals case document management, including scanning, imaging, and data capture. Paper case files received from the Employment Development Department (EDD) will be scanned into electronic case folders and routed to the appropriate work center for action. Work centers will require scanning, imaging, and data capture ability to add necessary documentation to the electronic case file.

Need Statement

High Level Capabilities Needed:

The system must provide a document management component which provides secure, centralized storage and management of all documents related to a case and the processing of cases.

The system must provide a hierarchical storage management structure or similar model for organization of documents.

The system must accept for scanning and data capture forms submitted via paper.

What is Driving This Need?

The inability of CUIAB to consistently meet appeals federal time lapse requirements due to increased customer demand for services, outdated, inefficient business processes, a paper-driven system, and non-integrated and functionally limited technology systems. This inability to resolve cases in a timely, efficient, and predictable manner stems in part from the difficulty CUIAB has in managing documents through their lifecycle. Increased workload has also required increased storage, security, and associated costs for the hardcopy case files.

Risk to the Organization if This Work is Not Done:

Inability to deliver mandated services in an efficient and cost-effective manner. CUIAB heavily relies on paper to manage the flow of documentation through its system. As a result, case files are not processed expeditiously, get misplaced or lost, are more vulnerable to security breaches, and are subject to high postage and storage costs.

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Benefit Statement

Intangible Benefits

Process Improvements (describe the nature of the process improvement):

Automation of manual processes and procedures - electronic processing of case files improves flow and access to case records while improving confidentiality.

Insures a complete and up to date case record.

Improved capture and management of case information.

Other Intangible Benefits:

Case files centrally managed, increasing uniformity in practices and procedures.

Improves ability to effectively share critical information and meet state standards for efficient use of IT resources.

Improved case file management.

Elimination of overhead associated with a paper-based system.

Tangible Benefits

Revenue Generation (describe how revenue will be generated):

This is not a revenue generating project.

Cost Savings (describe how cost will be reduced):

Storage requirements for hard copy case files will be drastically reduced.

Postage costs associated with mailing case file hard copies will be drastically reduced.

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Cost Avoidance (describe the cost and how avoided):

N/A

Risk Avoidance (describe the risk and how avoided):

N/A

Improved Services:

The ability to better adapt to the dynamic social and economic environment, changing legislative requirements, and demand for higher service levels. Agency-wide system integration leads to improved customer service. Improves CUIAB's ability to consistently meet federal time lapse requirements.

Consistency

"No" Responses 		Rationale	Action Required
Enterprise Architecture	Yes		
Business Plan	Yes		
Strategic Plan	Yes		

Impact to Other Agencies

Nature of Impact to Other Agencies

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Agency:

Describe the nature of the impact:

There is no tangible effect on other agencies.

Agency:

Describe the nature of the impact:

Agency:

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Solution Alternatives

Alternative 1:

Commercial off the shelf (COTS) software document management/imaging/scanning solution coupled with high-speed and flatbed scanners.

Technical Considerations for Alternative 1:

An acceptable amount of customization may be necessary to meet CUIAB's business requirements.
Will be simultaneously deployed to the Headquarters office and approx. 45 satellite facilities.
The system must easily integrate into the existing CUIAB IT infrastructure.
Hardware and licenses required.

ROM Cost: \$500,000 to \$1,000,000 | Note: high end of range must not exceed 200% of low end of range

Alternative 2:

In-house developed document management system.

Technical Considerations for Alternative 2:

Extensive system development will be required.
Internal and external resources need to be made available to meet project deadlines.

ROM Cost: \$750,000 to \$1,500,000 | Note: high end of range must not exceed 200% of low end of range

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Alternative 3:

Technical Considerations for Alternative 3:
ROM Cost: _____ to _____ Note: high end of range must not exceed 200% of low end of range

Recommendation

Comparison:

Alternative 1	ROM Cost	Risk
	\$500,000 - \$1,000,000	
Alternative 2	ROM Cost	Risk
	\$750,000 - \$1,500,000	
Alternative 3	ROM Cost	Risk
	\$0 - \$0	

Conclusions:

1	A COTS solution would be faster and more cost effective to implement.
2	A document management system will greatly improve service to CUIAB customers.
3	
4	

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Recommendation:

A commercial off the shelf solution is recommended should one meet CUIAB's requirements. COTS solutions have been proven to be an efficient, cost-effective method to meet business requirements.

Concept Approach *(if known)*

System Complexity:			System Business Hours: <i>(e.g., 24x7, 9am-5pm)</i> :	
Architecture	<input type="checkbox"/> Mainframe	<input type="checkbox"/> Client Server	<input type="checkbox"/> Web Based	Num. of New Databases:
Technology	<input type="checkbox"/> New	<input type="checkbox"/> New to Staff	<input type="checkbox"/> In-House Experience	Interfaces:
Implementation	<input type="checkbox"/> Central Site	<input type="checkbox"/> Phased Roll-out		Num. of Sites:
M & O Support	<input type="checkbox"/> Contractor	<input type="checkbox"/> Data Center	<input type="checkbox"/> Project	<input type="checkbox"/> Returned to Sponsor
Procurement Approach: <i>(consult with OSI Procurement Center)</i>				Number
Open Procurement?		Delegated Procurement?		
Scope of Contract	<input type="checkbox"/> Development	<input type="checkbox"/> Implementation	<input type="checkbox"/> M & O	<input type="checkbox"/> Other:
Anticipated Length of Contract:		Years /	extensions for	years